**NASPA Application Form (Animal Research)**

This application form is to be completed by researchers seeking approval from the University’s NASPA Committee for activities that involve live animals, animal-derived material or their data. This form covers activities that are outwith the scope of the Animals (Scientific Procedures) Act 1986 as amended in 2012 (ASPA) and where informed consent is used to recruit animals and their owners.

Completed applications must be submitted by email to [naspa@surrey.ac.uk](mailto:naspa@surrey.ac.uk). If the Committee subsequently decides that the research does fall under ASPA, it will be referred to the University’s Animal Welfare and Ethical Review Board (AWERB). If there is a significant level of human participation, NASPA may also refer your application to Assurance team ([Assurance@surrey.ac.uk](mailto:Assurance@surrey.ac.uk)) and/or for review by the University Ethics Committee (UEC).

Please note that review times take on average 4-6 weeks, however where further information or clarification is required, this can take longer.

**Academic supervisors of UG and Masters student projects must complete the NASPA forms on behalf of their students**

| **Section A Project Details** | | **Guidance** |
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| **Title:** Click here to enter text. | | The project title must be the same as that stated on your SAGE-AR form. |
| **SAGE-AR Number** Click here to enter text. | | A pdf copy of SAGE-AR should be attached to this application |
| 1. | **Proposed start date:**  Click here to enter a date.  **Planned end date:**  Click here to enter a date. | Recruitment of animals and/or human participants must not begin until ethical approval has been given.  If you need to extend a study end date, please submit an amendment asking for an extension. |
| 2. | Name of **applicant** and **UoS email address:**  Click here to enter text. | Main contact for any correspondence |
| 3. | Name of **principal investigator** (if different from above) and **UoS email address**:  Click here to enter text. | Other project team members should be listed in the team summary document (see checklist) |
| 4. | Please provide a **lay summary** of the activity and its methodology (~500 words).  Click here to enter text. | Copy and paste this from the SAGE-AR |

| **Section B: Governance** | | | **Guidance** |
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| 1. | Please list **any funder(s)** in relation to this project:  Click or tap here to enter text.  Do you, or anyone involved in the research, have any interests, commercial, financial or otherwise, in any of the funders?  If yes, please confirm that you have declared this to Secretariat and Legal? | Yes  No  Yes  No  N/A | Guidance on declaring Conflicts of Interest can be found under [Ethical conduct](https://surreynet.surrey.ac.uk/ethical-conduct) on the Secretariat and Legal pages on SurreyNet. |
| **Personal Data definitions**  According to Data Protection legislation, **personal identifying information** includes the following (non-exhaustive) list:   * Name; ID number; Location data; and an online identifier (includes email and IP addresses, online user names and cookie identifiers which may allow a person to be identified). * Other factors that can identify an individual such as audio or video recordings and photographs   This broad definition therefore covers *any data that may lead to the identification of an individual* to be classed as personal data. Data that have been pseudonymised through coding and removal of personal identifiers still falls within the scope of Data Protection when the code can be linked back.  Data Protection legislation defines the following personal information as **special category data**: Racial or ethnic origin, Political opinions, Religious or philosophical beliefs; Trade Union membership; genetic data (includes inherited or acquired genetic characteristics); biometric data (e.g. facial recognition, images, fingerprints etc); physical or mental health; medical information; sexuality or sex life.  More information can be found on the UK's **Information Commissioner's Office website**. | | | |
| 2. | Does the **study involve** (please tick all that apply):  Owners of the animals/pets that need to be recruited.  Humans as research subjects  OR  Neither of the above (If neither: Proceed to Section B7) |  | Please note that a study is considered to have human participants if human participants need to be recruited into the study to enable the study to be performed.  Applications that use humans as research subjects may be reviewed by the University Ethics Committee |
| 3. | a) Will you be collecting/using **any personal data** during the project?  If Yes: Proceed to the next question  If No: Proceed to Section B7  b) Will you be collecting/using any **special category data** (as defined above)?  Click here to enter text. | Yes  No |  |
| 4. | Is the University of Surrey acting as **Data Controller** for your study?  If no, state who is the Data Controller  Click here to enter text. | Yes  No | **Data Controllers** determine the purposes and means of processing personal data. In some cases, the **University may act as Data Processor** i.e. processing personal data on behalf of funder or collaborator who is acting as Data Controller.  For UG and PGT activities, the data controller will most likely be the University. If you do not know who the data controller is, please contact the [information compliance unit](mailto:dataprotection@surrey.ac.uk?subject=Who%20is%20the%20data%20controller%20for%20my%20project?) or the [Assurance team](mailto:Assurance@surrey.ac.uk). |
| 5. | 1. Will you be **sharing identifiable data** with persons external to the University of Surrey?   *If yes, please ensure you provide details in your study protocol on what exactly will be shared, for what purpose and how the data will be transferred and managed securely by the external party*.   1. Will you be using a **third party** (external to the University) to recruit potential participants?   *If yes, please ensure details are provided in your study protocol and in your recruitment material.*   1. Will you be obtaining potential **participant contact details from a publicly accessible source**?   *If yes, make sure that details are provided in your study protocol and your recruitment material explaining the source from which you obtained contact details.* | Yes  No  Yes  No  Yes  No | It is important for researchers to gain explicit consent for sharing identifiable data with third parties.  Your study protocol and recruitment material must provide details of what will be shared, for what purpose and how it will be transferred and managed securely by an external party.  If you are sharing data with persons external to the University, your data sharing agreement or contract should identify the Data Controller. Please contact the [Faculty Research Contracts](https://surreyac.sharepoint.com/sites/FacultyResearchInnovationHub/SitePages/Research-Contracts.aspx?web=1) team. |
| 6. | On completion of your project, do you intend to **retain personal data for future research** purposes?  Click or tap here to enter text. | Yes  No | If yes, please ensure details of storage and access are included in your study protocol and in your participant information sheet. Informed consent to retain personal information must be specifically obtained. |
| **Overseas components** | | | |
| 7. | Will individuals be involved in conducting **any activities** **outside of the UK** as part of your study?  Please detail what will be done and in which country.  Click or tap here to enter text.  *Depending on the nature and location of the work you may be asked to provide further information by completing the Non-Establishment Ethical Review (NEER) form.* | Yes  No | Please ensure your study protocol or risk assessment demonstrates how risks to researcher/ participants will be mitigated and that your study protocol clearly states the roles and responsibilities of all persons/ organisations.  Assurance team may contact the insurance office to check whether adequate cover is in place |
| 8. | If conducting activities **in another country**, have you obtained a Favourable Ethical Opinion (FEO) from an institution in that country?  If no, which organisation will you be requesting a FEO from?  Click or tap here to enter text.  When do you expect to receive the FEO?  Click or tap here to enter text. | Yes  No  N/A |  |
| The University of Surrey has insurance cover provided by the Veterinary Defence Society for veterinary surgeons and Registered Veterinary Nurses (RVNs) included in the Policy Schedule. This is relevant where the proposed research involves sampling, diagnosis and/or treatment of the animals. It is the responsibility of the **Principal Investigator** to check that relevant personnel are covered for research related activity.  **All research involving live animals will be referred to the University’s Insurance Office as part of the review process. If you have any doubts about your research being covered by the University’s insurance policies, you should contact the** [Insurance Office](https://surreynet.surrey.ac.uk/staff-services/insurance/insurance-contacts) **as soon as possible.** | | | |

| **Section C: Study protocol** | **Guidance** |
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| 1. | Provide a **rationale** to explain why animals/animal-derived materials/animal data are required for the project (max 500 words)  Click here to enter text. | Place the research in context, providing a rationale and why the proposed activity is the most appropriate approach to address the research question |
| 2. | State the **objective(s)** and **expected outcome(s)**  Click here to enter text. | Define the research question(s), any hypotheses and outcomes |
| 3. | Please state any **eligibility criteria** (for animals and humans)  Click here to enter text. | Researchers should list the inclusion and exclusion criteria for the animals separately to those of humans |
| 4. | Please provide details on **recruitment** **of animals** and humans (if applicable, max 500 words)  Click here to enter text. | Explain how the animals will be identified and recruited. Ensure you include details of all your recruitment methods e.g. email, posters, location, access through an organisation, online adverts |

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| 5. | Please provide details of **any incentives and/or reimbursement** animal owners/carers or human participants will receive.  Click here to enter text. | Include any direct payments, reimbursements, travel expenses, vouchers or prize draws |
| 6. | Please describe how i**nformed consent** will be obtained or justify why informed consent is not required.  Click here to enter text. | Describe how owners are made aware of study and how informed consent will be obtained from animal owners / human participants  - please provide an Owner Information Sheet and Informed Consent Sheet (see templates) |
| 7. | **Experimental design and data analysis**  State the **number of animal(s) needed** and provide a rationale for the numbers, including group sizes where applicable.  Click here to enter text.  Provide a brief description of the **statistical analysis** that will be performed.  Click here to enter text. | A rationale for the intended sample size must be provided, even if not derived statistically. Consider using [software](https://www.statisticssolutions.com/how-to-determine-sample-size-from-gpower/) e.g. G\*power to estimate sample sizes and/or tools like [NC3Rs Experimental Design Assistant](https://nc3rs.org.uk/our-portfolio/experimental-design-assistant-eda) |
| 8. | Provide **details of the procedures** that will be carried out on or in relation to the animals, a description of what the **animals will experience** and why the procedures do not fall under ASPA.  Click here to enter text. | Provide a clear description of the procedure that will be carried out on the animals and explain how these procedures do not fall under ASPA, how they may impact on the animals' welfare. |
| 9. | Explain how you have **considered the 3Rs** in your project (max 500 words)  Click here to enter text. | The [3Rs of animal research](https://nc3rs.org.uk/who-we-are/3rs) – to replace animal use, to reduce the number of animals used and to refine procedures to minimise pain, suffering, distress or lasting harm – must be considered in all activities |
| 10. | For all individuals involved in the study who will be in direct contact with animals or animal-derived material, please detail how **their competence** will be ensured. (Max 500 words)  Click here to enter text.  *Please note that the* ***principal investigator is responsible for all the activities being performed*** *and must ensure all researchers (e.g. UG students, PGR students or members of staff) are* ***trained*** *to carry out procedures, that* ***project-specific risk assessments*** *are in place before any work commences and that a* ***record of training*** *is kept.* | If no one will be in direct contact with animals, please state N/A  For animal-derived material, summarise training plans here as described in any Risk Assessment(s)  Any animal-derived materials kept need to be logged using a sample tissue storage log in line with best practice. A sample tissue storage log can be found [here](https://surreyac.sharepoint.com/sites/FacultyResearchInnovationHub/SitePages/Research-involving-animals,-animal-derived-materials,-or-their-data.aspx). |
| 11. | Please describe how **research findings** will be **disseminated**  Click here to enter text. | Dissemination: i.e. peer-reviewed papers, conference presentations, dissertation, etc.  Researchers are encouraged to follow the [ARRIVE guidelines](https://arriveguidelines.org/arrive-guidelines) when publishing animal data. |
| 12. | Briefly, detail **any procedures** that will be carried out in **relation to human participants** (if relevant).  Click here to enter text.  Please use the table below to identify **any risks** to the owners/carers, any human participants, the research team or the study itself and describe the measures in place to **mitigate** against them. | If there is potential for human participants to disclose sensitive information, including criminal disclosures, or if there are any procedures relating to owners themselves rather than the animals, or potential emotional distress to owners, then this should be outlined here.  Risks in relation to research data do not need to be readdressed, if they have been covered elsewhere. |

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| **Consideration** | **Person at Risk** | **Scale of Risk** | **Existing Protocols** | **Additional Mechanisms** |
| *State the risk e.g. lone working, confidentiality* | *Participant and/or Researcher* | *Low/Medium/High* | *What is currently in place to mitigate this risk?* | *Is there anything in addition to the existing protocols that can be done to mitigate this risk?* |
| *Add further rows as required* |  |  |  |  |

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| 13. | 1. Please list the **study’s anticipated benefits** to animal health/welfare.   Click here to enter text.   1. Please list any potential **benefits for the animals, their owners or any human participants** taking part in the research?   Click here to enter text. | | a) Please detail the potential wider societal benefits. Researchers should include both direct and indirect benefits.  b) Please state the direct benefits for those taking part. State any additional gains to the owner and/or human participants, including free clinical advice, re-imbursement, travel cost, vouchers, etc. |
| 14. | Describe the **study setting**  Click here to enter text. | | Where will the study be run? List any site-specific requirements. |
| 15. | Will the **animals be removed from their normal environment** during the research?  Yes  No  Click here to enter text. | | If yes, please provide details (e.g. housing/caging environments, group sizes and composition, length of time away from their home environment. If applicable, describe arrangements agreed with owners.  If no, state if there will be any change to their current environment, management or whether  others within the environment will be affected by the research activity? |
| 16. | Use the table below to list any **possible adverse effects to the animals** (or other animals within the environment) and describe the measures in place to mitigate against them | | Please also include what happens if an animal involved in the study is not co-operating with the investigation, identify when an end point will be determined and how this will be determined. |
| **Adverse effect and likelihood** | | **How the adverse effect will be recognised** | **Control measures to prevent occurrence and limit severity** |
| *Add further rows as required* | |  |  |
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| 17. | Explain how the **potential benefits of the research outweigh any risks to the animal subjects and any human participants**.  Click here to enter text. | |  |
| 18. | If activities are to be performed **outside of the UK**, please explain how the country’s welfare standards correlate with those of the UK  Click here to enter text. | | Please ensure your study protocol or risk assessment demonstrates how risks to researcher/ participants will be mitigated and that your study protocol or team summary clearly states the roles and responsibilities of all persons/ organisations |

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| **Section D: Document Checklist** | **Tick** | **Guidance** |
| Where applicable, all documents should show in the footer the version number and date e.g. v1, 01/01/24 | | |
| PDF copy of completed SAGE-AR form |  | Required |
| Team Summary |  | Required  *For each team member including those located overseas, include name, position/role and a brief summary of relevant skills and experience.* |
| Data Management Plan |  | Required  *Please include full details in Governance section or provide a separate document. Advice can be sought from the University* [library](mailto:openresearch@surrey.ac.uk). |
| Risk Assessment |  | Required  *If done separately to section C12 & C16* |
| Recruitment email/advert/poster(s) |  | If required |
| Participant Information Sheet |  | If required, please use NASPA template. Must include UniS logo, version number and date |
| Consent Form |  | If required, please use NASPA template. Must include UniS logo, version number and date |
| Questionnaire(s) |  | If required, please include questionnaires for all participant groups |
| Interview Schedule |  | If required |
| Evidence of agreement with other collaborators |  | If required |
| Schematic/block diagram or flow chart of participant and data pathway |  | If useful to aid understanding |
| Other, please state:  Click here to enter text. |  | As required  *e.g. debriefing statements, gatekeeper approval letters, etc* |

**Final checks**

1. Please ensure that your documentation has been proof-read before submitting it for consideration by NASPA. If significant spelling errors are identified in the initial checks, all documentation will be returned to the researcher. Failing to proof-read study documentation can cause significant delays in the reviewing process.
2. All study documentation must show the version number and date: version x, dd/mm/yyyy.
3. Please ensure that you have this application form signed by all the relevant personnel, we cannot accept a typed name in place of a signature.
4. Please ensure any documents that will be seen by participants do not contain personal phone or email addresses

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| **Section E: Declaration and Signatures** | **Tick** | **Guidance** |
| **Signatures must be electronic or handwritten. We cannot accept a typed name in place of a signature** | | |
| **Principal Investigator**  I confirm that I have read and will retain research data in line with the University of Surrey’s [Data Protection Policy](https://www.surrey.ac.uk/sites/default/files/2018-08/data-protection-policy-2018.pdf), the [Open Research Policy](https://www.surrey.ac.uk/sites/default/files/2019-03/open-research-policy.pdf) and the [Code on Good Research Practice](https://www.surrey.ac.uk/sites/default/files/Code%20on%20Good%20Research%20Practice.pdf).  I confirm that I accept **responsibility for all the activities being performed** and will ensure all researchers (e.g. UG students, PGR students or members of staff) are **trained** to carry out procedures, that **project-specific risk assessments** are in place before any work commences and that a **record of training** is kept.  Principal Investigator: Click here to enter text.  Date: Click here to enter text. |  | Researchers are reminded that all research must be carried out in accordance with internal and any relevant external health and safety guidelines and legislation. Supervisors should ensure that students have undertaken all relevant Health and Safety training and assessments.  **For Master’s and undergraduate projects staff should apply to NASPA on behalf of their students** |
| **For other staff including PhD students**  I confirm that I will retain research data in line with the University of Surrey’s [Data Protection Policy](https://www.surrey.ac.uk/sites/default/files/2018-08/data-protection-policy-2018.pdf), the [Open Research Policy](https://www.surrey.ac.uk/sites/default/files/2019-03/open-research-policy.pdf) and the [Code on Good Research Practice](https://www.surrey.ac.uk/sites/default/files/Code%20on%20Good%20Research%20Practice.pdf).  Co-investigator: Click here to enter text.  Date: Click here to enter text. |  | Add further declarations and co-investigator names as necessary |
| **For all other students (UG and Masters)**  I confirm that I will retain research data in line with the University of Surrey’s [Data Protection Policy](https://www.surrey.ac.uk/sites/default/files/2018-08/data-protection-policy-2018.pdf), the [Open Research Policy](https://www.surrey.ac.uk/sites/default/files/2019-03/open-research-policy.pdf) and the [Code on Good Research Practice](https://www.surrey.ac.uk/sites/default/files/Code%20on%20Good%20Research%20Practice.pdf).  Student: Click here to enter text.  Date: Click here to enter text. |  | Add further declarations and student names as necessary |
| **Ethics Application Form version and date:**  Version: Click here to enter text. Date: Click here to enter text. | | |