ANNEX 3: ETHICS SELF-ASSESSMENT

INTRODUCTORY NOTES

Since the ethics self-assessment used within EuroTechPostdoc2 is the same as the one used in Horizon 2020 proposals, we refer to the Horizon 2020 Guide on How to complete your ethics self-assessment for more details on how to fill in this assessment.

Please, first complete the ethics issues checklist. If you answered yes to any of the questions you need to give more information on this specific issue in the section 'Self-Assessment' below. If you answered no to all questions, you do not need to fill in the Self-Assessment section.

The ethics self-assessment must include the information referred to in the ethics issues checklist and any of the documents already available. Documents that are not submitted together with the proposal should be kept on file and may have to be provided later on, if requested by the PMO.

If feasible, you should request the necessary authorizations from the concerned authorities in parallel to the evaluation of the proposal.

Please, include all files into one pdf file that can be uploaded to the portal.

RESEARCH AREAS EXCLUDED FROM FUNDING

Research areas excluded from funding are:
1. Research activities aimed at human cloning for reproductive purposes.
2. Research activities intended to modify the genetic heritage of human beings which could make such changes heritable (Research related to cancer treatment of the gonads can be financed).
3. Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer
4. Research that leads to the destruction of human embryos.

ETHICS ISSUE CHECKLIST

Name of Applicant	
Project Title:	

Section 1: HUMAN EMBRYOS/ FOETUSES		Yes	No
Does your research involve Human Embryonic Stem Cells (hESCs)?			
If YES:	- Will they be directly derived from embryos within this project?		
	- Are they previously established cells lines?		
Does your research involve the use of human embryos?			
If YES:	- Will the research lead to their destruction?		
Does your research involve the use of human foetal tissues / cells?			

Section 2: HUMANS		Yes	No
Does your research involve human participants?			
If YES:	- Are they volunteers for social or human sciences research?		
	- Are they persons unable to give informed consent (including children/minors)?		
	- Are they vulnerable individuals or groups?		
	- Are they children/minors?		
	- Are they patients?		
	- Are they healthy volunteers for medical studies?		
Does your research involve physical interventions on the study participants?			
If YES:	- Does it involve invasive techniques (e.g. collection of human cells or tissues, surgical or medical interventions, invasive studies on the brain, TMS etc.)?		
	- Does it involve collection of biological samples?		

Section 3: HUMAN CELLS / TISSUES		Yes	No
Does your research involve human cells or tissues (other than from Human Embryos/Foetuses, see section 1)?			
If YES:	- Are they available commercially?		
	- Are they obtained within this project?		
	- Are they obtained from another project, laboratory or institution?		
	- Are they obtained from a biobank?		

Section 4: PROTECTION OF PERSONAL DATA		Yes	No
Does your research involve processing of personal data?			
If YES:	- Does it involve the processing of special categories of personal data (e.g. genetic, health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction.)?		
	- Does it involve processing of genetic, biometric or health data?		
	- Does it involve profiling, systematic monitoring of individuals or processing of large scale of special categories of data, intrusive methods of data processing (such as, tracking, surveillance, audio and video recording, geolocation tracking etc.) or		

	any other data processing operation that may result in high risk to the rights and freedoms of the research participants?		
Does your research involve further processing of previously collected personal data (including use of preexisting data sets or sources, merging existing data sets)?			
Does your research involve publicly available data?			
Is it planned to export personal data from the EU to non-EU countries? Specify the type of personal data and countries involved			
Is it planned to import personal data from non-EU countries into the EU? Specify the type of personal data and countries involved			

Section 5: ANIMALS		Yes	No
Does your research involve animals?			
If YES:	- Are they vertebrates?		
	- Are they nonhuman primates (NHP) (e.g. monkeys, chimpanzees, gorillas, etc.)?		
	- Are they genetically modified?		
	- Are they cloned farm animals?		
	- Are they an endangered species?		

Section 6: THIRD COUNTRIES		Yes	No
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues? Specify the countries involved:			
Is it planned to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?			
Is it planned to import any material from non-EU countries into the EU?			
If YES:	Specify the materials and countries involved:		
Is it planned to export any material from the EU to non-EU countries?			
If YES:	Specify material and countries involved:		
In case research involves low and/or lower-middle income countries, are any benefit-sharing actions planned?			
Could the situation in the country put the individuals taking part in the research at risk?			

Section 7: ENVIRONMENT & HEALTH AND SAFETY	Yes	No
Does your research involve the use of elements that may cause harm to the environment, to animals or plants? For research involving animal experiments, see Section 5.		
Does your research deal with endangered fauna and/or flora /protected areas?		
Does your research involve the use of elements that may cause harm to humans, including research staff? For research involving human participants, see section 2.		

Section 8: DUAL USE	Yes	No
Does this research involve dual-use items in the sense of Regulation 428/2009, or other items for which an authorisation is required?		

Section 9: EXCLUSIVE FOCUS ON CIVIL APPLICATIONS	Yes	No
Could your research raise concerns regarding the exclusive focus on civil applications?		

Section 10: MISUSE	Yes	No
Does your research have a potential for misuse of research results?		

Section 11: OTHER ETHICS ISSUES	Yes	No
Are there any other ethics issues that should be taken into consideration? Please specify:		

ETHICS SELF-ASSESSMENT

If your proposal raises one of the issues listed in the ethics issue checklist above, you must include further information in this ethics self-assessment, including but not limited to copies of ethics approval, informed consent forms, information sheets etc, in accordance with the Horizon 2020 guidelines. For details, see the Horizon 2020 Guide on How to complete your ethics self-assessment.