Ethics and security

https://twitter.com/GoldingCartoons/status/11013416121 21026560/photo/1

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Ethics – why important?

- Everyone is obliged to follow fundamental ethical principles such as Helsiniki declaration of human rights and animal rights

- Mistakes in this area can have serious consequences on the wellbeing of others and on your and your host´s careers

9 aspects of Ethics issues

- HUMAN EMBRYOS/FOETUSES
- HUMANS
- HUMAN CELLS / TISSUES
- PERSONAL DATA
- ANIMALS
- NON-EU COUNTRIES
- ENVIRONMENT & HEALTH and SAFETY
- AI
- OTHER ETHICS ISSUES

Ethical review

- Ethics Issues Table (1a)
- Ethics **Self-Assessment** (1b)

Application

- Before Grant agreement!
- **Ethics Screening** of all proposals (2)
- **Ethics Assessment** of proposals raising complex and/or serious ethics issues (3)

Shortlisted PROPOSALS

- **Ethics Review*** for selected projects (4)

Ongoing RESEARCH PROJECTS

European Commission

UPPSALA UNIVERSITET

Steps to complete ethics

1. "How to complete your ethics self- assessment" is used as a **checklist** when completing the self assessment.

2. Applicants must complete the "**Ethics self assessment**" in A forms (Edit forms) online.

"How to complete your ethics self-assessment"

- A checklist for completion of Ethics self-assessment

- Background information and advice at the end of the document

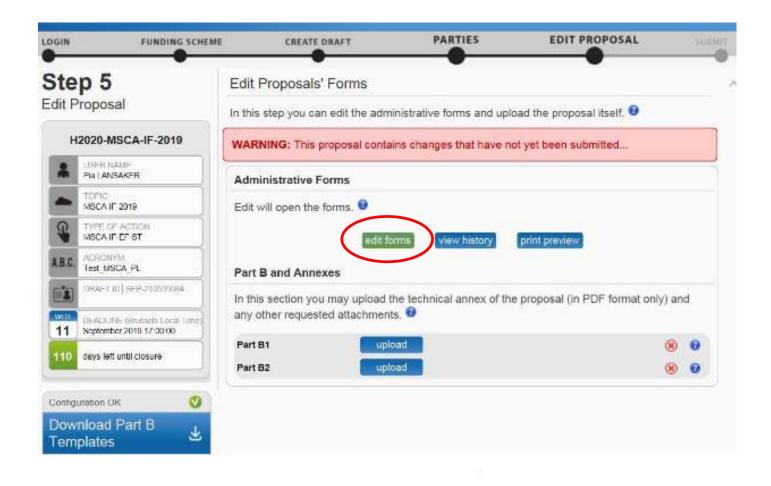# Pdf document found at the end of the Ethics screening online

EU Grants

How to complete your ethics self-assessment

Version 1.0
5 March 2021

Part A "Ethics issues table"

Horizon Europe

Application forms (Part A)

Topic:

Type of action:

Type of Model Grant Agreement:

Proposal number:

Proposal acronym:

Table of contents

Section	Title	Action
1	General information	
2	Participants	
3	Budget	
4	Ethics and security	
5	Other questions	

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		○ Yes ○ No	
If YES:	Will they be directly derived from embryos within this project?	○ Yes ○ No	
	Are they previously established cells lines?	○ Yes ○ No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	○ Yes ○ No	
Does this activity involve the use of human embryos?		○ Yes ○ No	
If YES:	Will the activity lead to their destruction?	○ Yes ○ No	
2. HUMANS			Page
Does this activity involve human participants?		○ Yes ○ No	
If YES:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	○ Yes ○ No	
	Are they healthy volunteers for medical studies?	○ Yes ○ No	
	Are they patients for medical studies?	○ Yes ○ No	
	Are they potentially vulnerable individuals or groups?	○ Yes ○ No	
	Are they children/minors?	○ Yes ○ No	
	Are they other persons unable to give informed consent?	○ Yes ○ No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?		○ Yes ○ No	
If YES:	Does it involve invasive techniques?	○ Yes ○ No	
	Does it involve collection of biological samples?	○ Yes ○ No	

Application Forms

Proposal ID **XXXXXXXXX**   Acronym **XXXXXXX**

Does this activity involve the use of substances or processes that may cause harm to the environment, to animals or plants (during the implementation of the activity or further to the use of the results, as a possible impact)?	○ Yes ○ No	
Does this activity deal with endangered fauna and/or flora / protected areas?	○ Yes ○ No	
Does this activity involve the use of substances or processes that may cause harm to humans, including those performing the activity (during the implementation of the activity or further to the use of the results, as a possible impact)?	○ Yes ○ No	
8. ARTIFICIAL INTELLIGENCE		Page
Does this activity involve the development, deployment and/or use of Artificial Intelligence? (if yes, detail in the self-assessment whether that could raise ethical concerns related to human rights and values and detail how this will be addressed).	○ Yes ○ No	
9. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration?	○ Yes ○ No	
Please specify: (Maximum number of characters allowed: 1000)		

Page: in Part B

I confirm that I have taken into account all ethics issues above and that, if any ethics issues apply, I will complete the ethics self-assessment as described in the guidelines 'How to Complete your Ethics Self-Assessment'.

☐

"Guidance How to complete your ethics self assessment"

Tick box

If you have entered any issues in the ethics issue table, you must perform an ethics self-assessment in accordance with the guidelines "How to Complete your Ethics Self-Assessment" and complete the table below.

Ethical dimension of the objectives, methodology and likely impact
Explain in detail the identified issues in relation to: — objectives of the activities (e.g. study of vulnerable populations, etc.) — methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.) — the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or financial adverse consequences, misuse, etc.)

Compliance with ethical principles and relevant legislations
Describe how the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles and what will be done to ensure that the activities are compliant with the E U / national legal and ethical requirements of the country or countries where the tasks are to be carried out. It is reminded that for **activities performed in a non-EU countries**, they should also be allowed in at least one EU Member State.

3 aspects of Security issues

- EU classified information (EUCI)2
- MISUSE
- OTHER SECURITY ISSUES

Security issues table

Please indicate, by answering Yes or No to all of the questions in the below table, if the proposed activity will use and/or generate information which might raise security concerns. If an answer is Yes, then indicate in the adjacent box at which page in your full proposal further information relating to that issue can be found.

1. EU classified information (EUCI)[2]			Page
Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)?		○ Yes ○ No	
If **YES**:	Is the activity going to use classified information as background[3] information?	○ Yes ○ No	
	Is the activity going to generate EU classified foreground[4] information as results?	○ Yes ○ No	
Does this activity involve non-EU countries?		○ Yes ○ No	
If **YES**:	Do participants from non-EU countries need to have access to EUCI?	○ Yes ○ No	
	Do the non-EU countries concerned have a security of information agreement with the EU	○ Yes ○ No	
2. MISUSE			Page
Does this activity have the potential for misuse of results?		○ Yes ○ No	
If **YES**:	Does the activity provide knowledge, materials and technologies that could be channelled into crime and/or terrorism?	○ Yes ○ No	
	Could the activity result in the development of chemical, biological, radiological or nuclear (CBRN) weapons and the means for their delivery?	○ Yes ○ No	
3. OTHER SECURITY ISSUES			Page
Does this activity involve information and/or materials subject to national security restrictions?		○ Yes ○ No	
If yes, please specify: *(Maximum number of characters allowed: 1000)*			

Resources at Uppsala University

Research ethics and good research practice

| PERMITS & ETHICAL REVIEW → | CODEX AND TOOLS → |
| COURSES/LECTURES ON RESEARCH ETHICS → | CONTACT & ADVICE → |

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