Ethics Self-Assessment Form for applying to UTU-GreDiT

All research undertaken within UTU-GreDiT will comply with legal and ethical requirements at national and European levels and will respect fundamental ethics principles. These principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. UTU-GreDiT applicants will be required to identify any potential ethical issues with the proposed research according to the [guidelines by European commission (“How to Complete your Ethics Self-Assessment”)](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf). If the applicant is selected to UTU-GreDiT, the ethics self-assessment will be checked and updated, if necessary, at the beginning of the doctoral training with the appointed supervisor.

Please fill in this checklist to identify if there are any potential ethical concerns in your research project. Follow the instructions from the [European Commission guidelines](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf) when filling out this self-assessment. If your answer to any of the categories is yes, please see the additional questions you will need to answer from the [guidelines by the European commission](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf) and include these in the space below the table. In addition, you will need to outline how you will address these ethical issues in your research project in the space below the table.

| **Ethics issues** | **Yes** | **No** |
| --- | --- | --- |
| **1. Human Embryonic Stem Cells and Human Embryos** |
| Does your activity involve Human Embryonic Stem Cells (hESCs)? | [ ]  | [ ]  |
| Does your activity involve the use of human embryos? | [ ]  | [ ]  |
| Does your activity involve the use of other human embryonic or foetal tissues / cells? | [ ]  | [ ]  |
| **2. Humans** |
| Does your activity involve human participants? | [ ]  | [ ]  |
| Does your activity involve interventions (physical also including imaging technology, behavioural treatments, tracking and tracing, etc.) on the study participants? | [ ]  | [ ]  |
| Does your activity involve conducting a clinical study as defined by the Clinical Trial Regulation 536/2014 (using pharmaceuticals, biologicals, radiopharmaceuticals, or advanced therapy medicinal products)? | [ ]  | [ ]  |
| **3. Human cells / tissues** |
| Does your activity involve the use of human cells or tissues (other than those covered by section 1)? | [ ]  | [ ]  |
| **4. Protection of personal data** |
| Does your activity involve processing of personal data? | [ ]  | [ ]  |
| Does your activity involve further processing of previously collected personal data (including use of pre-existing data sets or sources, merging existing data sets)? | [ ]  | [ ]  |
| Is it planned to export personal data (data transfer) from the EU to non-EU countries? | [ ]  | [ ]  |
| Is it planned to import personal data (data transfer) from non-EU countries into the EU or from a non-EU country to another non-EU country? | [ ]  | [ ]  |
| Does your activity involve the processing of personal data related to criminal convictions or offences? | [ ]  | [ ]  |
| **5. Animals** |
| Does your activity involve animals? | [ ]  | [ ]  |
| **6. Third countries** |
| Will some of the activities be carried out in non-EU countries? | [ ]  | [ ]  |
| In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues? | [ ]  | [ ]  |
| 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 (other than data) from non-EU countries into the EU or from a non-EU country to another non-EU country? | [ ]  | [ ]  |
| Is it planned to export any material (other than data) from the EU to non-EU countries? | [ ]  | [ ]  |
| Does your activity involve low and/or lower-middle income countries? | [ ]  | [ ]  |
| Could the situation in the country put the individuals taking part in the activity at risk? | [ ]  | [ ]  |
| **7. Environment, health and safety** |
| Does this activity involve the use of substances or processes (or technologies) 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)? | [ ]  | [ ]  |
| Does this activity deal with endangered fauna and/or flora / protected areas? | [ ]  | [ ]  |
| Does this activity involve the use of substances or processes (or technologies) 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, or the deployment of the technology as a possible impact)? | [ ]  | [ ]  |
| **8. Artificial intelligence** |  |  |
| Does this activity involve the development, deployment and/or use of Artificial Intelligence-based systems? | [ ]  | [ ]  |
| Could the AI based system/technique potentially stigmatise or discriminate against people (e.g. based on sex, race, ethnic or social origin, age, genetic features, disability, sexual orientation, language, religion or belief, membership to a political group, or membership to a national minority)? | [ ]  | [ ]  |
| Does the AI system/technique interact, replace or influence human decision-making processes (e.g. issues affecting human life, health, well-being or human rights, or economic, social or political decisions)? | [ ]  | [ ]  |
| Does the AI system/technique have the potential to lead to negative social (e.g. on democracy, media, labour market, freedoms, educational choices, mass surveillance) and/or environmental impacts either through intended applications or plausible alternative uses? | [ ]  | [ ]  |
| Does the AI to be developed/used in the project raise any other ethical issues not covered by the questions above (e.g., subliminal, covert or deceptive AI, AI that is used to stimulate addictive behaviours, lifelike humanoid robots, etc.)? | [ ]  | [ ]  |
| **9. Other ethics issues** |
| Are there any other ethics issues that should be taken into consideration? | [ ]  | [ ]  |

If any of the 1-9 ethical issues concern your research project, address here the required information outlined by the [European Commission’s guidelines](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf), including answers to the potential additional “If YES” questions stated in European Commission's guidelines:

|  |
| --- |
|  |

I confirm I have read the [European Commission’s guidelines for how to fill in the ethics self-assessment](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf), I have declared any potential ethical concerns in my research project, and have described how these are addressed in my research project as outlined in the European Commission’s self-assessment guidelines:

Applicant signature:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Applicant name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date and time: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_