

Ethics self-assessment for ISTPlus research projects

1. How to complete your ethics self-assessment

- Answer “Yes” or “No” to all of the questions below.
- If an answer is “Yes” to any of the questions below you are requested to provide additional information in the respective comments box. This information needs to include a short description of the respective planned experiments and materials that will be used in the ethics area concerned.
- The ethics self-assessment table is based on the Ethics Issues Table for Horizon 2020 research project proposals from the European Commission. More detailed explanations on the different ethics topics in Horizon 2020 can be found in the document “How to complete your ethics self-assessment”:
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

2. Ethics-self assessment table

	YES	NO
1. HUMAN EMBRYOS/FOETUSES		
Q1.1 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 cell lines?		
Q1.2 Does your research involve the use of human embryos?		
If yes:		
Will the research lead to their destruction?		
Q1.3 Does your research involve the use of human foetal tissues/cells?		
Comments:		

	YES	NO
2. HUMANS		
Q2.1 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?		

Q2.2 Does your research involve physical interventions on the study participants?		
If yes:		
Does it involve invasive techniques (<i>e.g. collection of human cells or tissues, surgical or medical interventions, invasive studies on the brain, TMS, etc.</i>)?		
Does it involve collection of biological samples?		
<i>If your research involves processing of genetic information see also section 4.</i>		
Comments:		

	YES	NO
3. HUMAN CELLS/TISSUES		
Q3. 1 Does your research involve human cells or tissues (other than from Human Embryos/Foetuses, <i>see section 1</i>)?		
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?		
Comments:		

	YES	NO
4. PROTECTION OF PERSONAL DATA		
Q4.1 Does your research involve personal data collection and/or processing?		
If yes:		
Does it involve the collection and/or processing of sensitive personal data (<i>e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction</i>)?		
Does it involve processing of genetic information?		
Does it involve tracking or observation of participants (<i>e.g. surveillance or localization data and WAN data, such as IP address, MACs, cookies, etc.</i>)?		
Q4.2 Does your research involve further processing of previously collected personal data (secondary use) (<i>including use of pre-existing data sets or sources, merging existing data sets, sharing data with non-EU member states</i>)?		
Comments:		

	YES	NO
5. ANIMALS		
Q5.1 Does your research involve animals?		
If yes:		
Are they vertebrates?		
Are they non-human primates (<i>e.g. monkeys, chimpanzees, gorillas, etc.</i>)?		
Are they genetically modified?		
Are they cloned farm animals?		
Are they endangered species?		
Comments:		

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	YES	NO
6. NON-EU COUNTRIES		
Q6.1 In case non-EU countries are involved, do the research-related activities undertaken in these countries raise potential ethics issues?		
Q6.2 Is it planned to use local resources (<i>e.g. animal and/or human tissue, samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.</i>)?		
Q6.3 Is it planned to import any material - including personal data - from non-EU countries into the EU? <i>For data imports see section 5.</i> <i>For import of human cells or tissues, see section 3.</i>		
Q6.4 Is it planned to export any material - including personal data -from the EU to non-EU countries? <i>For data exports see section 4.</i>		
Q6.5 In case your research involves low and/or lower-middle income countries, are any benefit-sharing measures planned?		
Q6.6 Could the situation in the country put the individuals taking part in the research at risk?		
Comments:		

	YES	NO
7. ENVIRONMENT & HEALTH AND SAFETY		
Q7.1 Does your research involve the use of elements that may cause harm to the environment, to animals or plants? <i>For research involving animal experiments, see section 5.</i>		
Q7.2 Does your research deal with endangered fauna and/or flora / protected areas?		
Q7.3 Does your research involve the use of elements that may cause harm to humans including research staff? <i>For research involving human participants, see section 2.</i>		
Comments:		

	YES	NO
8. DUAL USE		
Q8.1 Does this research involve dual-use items in the sense of Regulation 428/2009, or other items for which an authorization is required?		
Comments:		

	YES	NO
9. EXCLUSIVE FOCUS ON CIVIL APPLICATIONS		
Q9.1 Could your research raise concerns regarding the exclusive focus on civil applications?		
Comments:		

	YES	NO
10. MISUSE		
Q10.1 Does your research have a potential for misuse of research results?		
Comments:		

	YES	NO
11. OTHER ETHICS ISSUES		
Q11.1 Are there any other ethics issues that should be taken into consideration? Please specify.		
Comments:		

Additional comments: