# Ethics Self-Assessment form

***Applicant name:***

## SECTION 1 Ethics issues checklist

Please select YES or NO in the corresponding box on every line below. If you answered YES to any of the questions, please provide additional information, in Section 2 Ethics Self-Assessment, on how these issues will be addressed in your research.

|  |  |
| --- | --- |
| **1. Human Embryos/Foetuses** | |
| Does your activity involve Human Embryonic Stem Cells (hESCs)? | YES / NO |
| Does your activity involve the use of human embryos? | YES  / NO |
| Does your activity involve the use of other human embryonic or foetal tissues / cells? | YES  / NO |
| **2. Humans** | |
| Does your activity involve human participants? | YES  / NO |
| Does your activity involve interventions (physical also including imaging technology, behavioural treatments, tracking and tracing, etc.) on the study participants? | YES  / NO |
| 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)? | YES  / NO |
| **3. Human Cells /Tissues** | |
| Does your activity involve the use of human cells or tissues (other than those covered by section 1)? | YES  / NO |
| **4. Personal Data** | |
| Does your activity involve processing of personal data? | YES  / NO |
| Does your activity involve further processing of previously collected personal data (including use of pre- existing data sets or sources, merging existing data sets)? | YES  / NO |
| Is it planned to export personal data (data transfer) from the EU to non- EU countries? | YES  / NO |
| 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? | YES  / NO |
| Does your activity involve the processing of personal data related to criminal convictions or offences? | YES  / NO |
| **5. Animals** | |
| Does your research involve animals? | YES  / NO |
| **6. Third Countries** | |
| Will some of the activities be carried out in non-EU countries? | YES  / NO |
| In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues? | YES  / NO |
| 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.)? | YES  / NO |
| 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? | YES  / NO |
| Is it planned to export any material (other than data) from the EU to non-EU countries? | YES  / NO |
| Does your activity involve low and/or lower-middle income countries? | YES  / NO |
| Could the situation in the country put the individuals taking part in the activity at risk? | YES  / NO |
| **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)? | 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 (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)? | YES  / NO |
| **8. Artificial Intelligence** | |
| Does this activity involve the development, deployment and/or use of Artificial Intelligence-based systems? | YES  / NO |
| 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)? | YES  / NO |
| 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)? | YES  / NO |
| 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? | YES  / NO |
| 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, life- like humanoid robots, etc.)? | YES  / NO |
| **9. Other Ethics Issues** | |
| Are there any other ethics issues that should be taken into consideration? | YES  / NO |
| **If you answered “YES” to any of the questions above, you must provide additional information about how these issues will be addressed in your research in Section 2.** | |

## Section 2: Ethics Self-Assessment

Applicants who indicated potential ethical issues in Section 1 must provide additional information in this section. Please explain how you intend to address the ethical issues flagged in 2 pages maximum. Please refer to the Horizon Europe guidance on how to complete your ethics self-assessment (Version 2.0 or later) available at: <https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf>