Ethics Assessment in Horizon Europe

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All Horizon Europe projects have to comply with local, national and international ethical standards and regulations. This Factsheet explains:

- What you have to do in the application phase of a Horizon Europe project
- What you have to consider in case your research activities involve personal data

Application phase

Introduction: The scientific evaluation and the ethics assessment are two **separate** processes in Horizon Europe. The ethics assessment follows the scientific evaluation and is performed only in case your project has been accepted for funding.

At proposal stage, you have to do a project specific **Ethics Self-Assessment**, which consists of **two steps**:

Step1: Answer the questions of the **Ethics Issue Table** in the administrative forms (section 4) in the EU Funding and Tender Opportunities Portal (online).

Step 2: In case one of the questions in step 1 has been answered with "Yes", explain how you are going to deal with the respective ethics issues under **Ethics Self-Assessment** in the administrative forms (section 4).

For preparing the ethics self-assessment, use the official guide "How to complete your ethics Self-Assessment".

Our recommendation is to keep the ethics self-assessment short while including the following points:

a. list the relevant local, national and international standards and regulations;

b. describe the processes/procedures which are already established in your department/institute and attach the respective approvals/guideline (if available in English, otherwise in German);

c. confirm to deliver additional approvals from the relevant authorities, if needed for ethical clearance, once the project will have been accepted for funding.

Integration of ethics in the project (in case ETH Zurich or UZH is the Coordinator or in case of an ERC grant): If your project raises substantial ethical issues, consider to include an ethics work package or to involve an independent ethics advisor. For further information, please contact EU GrantsAccess.

Research Activities with Personal Data

The use of Personal Data in research activities is, as a matter of principle, of ethical concern. **If you plan to use, collect and/or process Personal Data[1] in your research project**, you have to submit an ethics self-assessment (see above) and follow all the procedures required according to institutional, local, national and international regulations for performing a research project with Personal Data.

[1] Personal Data means any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person; Processing means any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction. (GDPR)

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Where you can find support

First contact: EU GrantsAccess, grants@sl.ethz.ch or grantsaccess@research.uzh.ch

ETH Zürich

- Ethics Commission Office: Philipp Emch, ethics@sl.ethz.ch,+41 44 632 85 72,
- Data Protection Officer: Tomislav Mitar, tomislav.mitar@sl.ethz.ch, +41 44 632 21 21
- Website Ethical questions
- ETHics Resource Platform
- Factsheet: Data protection in research projects

University of Zurich

- Department Research Development: Martin Hanselmann, support@research.uzh.ch, +41 44 634 53 89
- Website Research Development: UZH Ethics Policy
- Department of Data Protection, privacy@dsd.uzh.ch
- Website Legal Services and Data Protection: Data protection in research projects