



#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

ISIDOROS KARATZAS

HEAD OF THE RESEARCH ETHICS AND
INTEGRITY SECTOR , DG R&I, EC.

HORIZON EUROPE RESEARCH ETHICS

Research and
Innovation

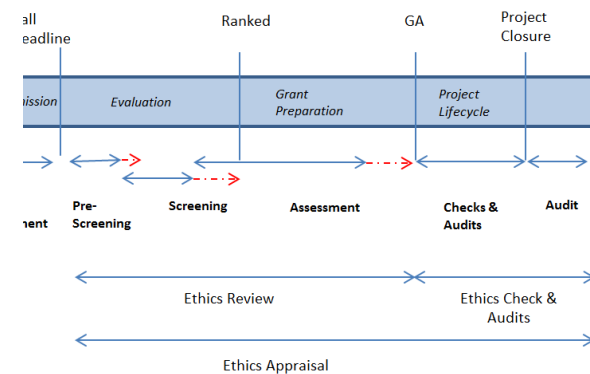
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Ethics Framework



Ethics in Horizon Europe



Ethics Appraisal Process and Annex

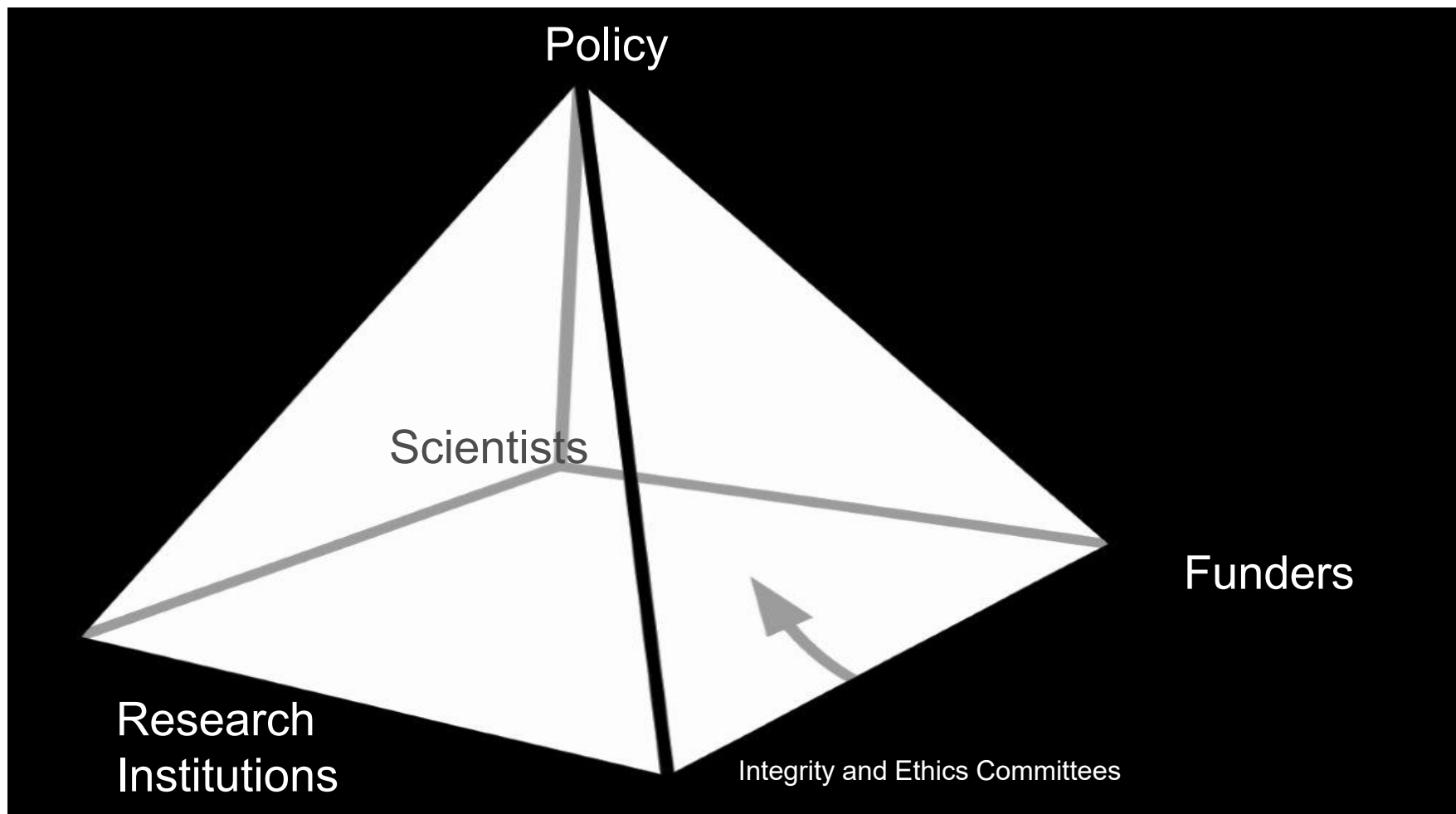
TRUST TAKES YEARS TO BUILD, SECONDS TO BREAK, AND FOREVER TO FIX.

TRUST ARRIVES ON FOOT
AND LEAVES ON
HORSEBACK



How to get from principles to the lab? Ethics and Integrity for researchers and research managers





The perfect world Research Ethics and Integrity Pyramid

The Ethics and Integrity life line – The policy and operational framework



The ERA PACT
GLOBAL STRATEGY
And
The MARSEILLE
DECLARATION



HORIZON EUROPE
REGULATION and
SPECIFIC PROGRAMME

Ethics Appraisal and
research financing in
ethics and integrity



The HE Grant Agreement
The responsibilities of the
beneficiaries

THE ERA PACT

1. VALUES AND PRINCIPLES FOR RESEARCH AND INNOVATION

(1) Agree on a common set of values and principles for research and innovation in the Union as set out below, and apply them in their internal research and innovation systems, in close collaboration with stakeholders. These values and principles should also be promoted by the Member States and the Union in their interactions with third countries in order to achieve a level playing field and common framework conditions.

Upholding values

(a) Ethics and integrity of research and innovation: researchers, research processes and the research and innovation system overall should comply with strict ethics and integrity rules and practices, which are the foundation of responsible and trustworthy research free from undue influence, a prerequisite for achieving excellence, and underpin the responsibility of researchers to guard against biases and methodological shortcuts;

(b) Freedom of Scientific research

.....
https://ec.europa.eu/info/news/commission-adopts-proposal-pact-research-and-innovation-europe-2021-jul-16_en

GLOBAL STRATEGY

10. RECOGNISES freedom of scientific research; pursuit of scientific excellence; impact of R&I; **research ethics and integrity**; societal and environmental responsibility; gender equality, diversity and inclusiveness; openness, including open data and open science; the free circulation of researchers and knowledge; sustainable research careers; standards and evidence-informed policy making as key principles and values of the Union in international R&I cooperation;

GLOBAL STRATEGY

Global approach to Research and Innovation - Europe's strategy for international cooperation in a changing world - Council conclusions (adopted on 28 September 2021)

.....

19. INVITES the Commission and the Member States to apply the European Code of Conduct for Research Integrity and the Global Code of Conduct for Research in Resource Poor Settings

MARSEILLE DECLARATION

Shared values and principles for enhanced cooperation in the fields of research, innovation and higher education

Ethics and integrity: the freedom of scientific research also implies the responsibility of researchers to work ethically, and with rigor and integrity. The European Union and its Member States are committed to take ethical concerns into account in international scientific and academic collaboration, among others when research work involves human subjects, animal experimentation or the environment. To this end, research and innovation projects should first undergo an independent and transparent ethical peer review process. Research integrity includes elements of trustworthiness, honesty, respect and responsibility to obtain reliable research results in a transparent and reproducible manner by counteracting the spread of pseudosciences and misinformation and thus, to maintain trust in science, in the scientific process and in the relationship between science, scientists and society. The European Union and its Member States are basing their approach in particular on the European Code of Conduct¹⁰ for Research Integrity.

GLOBAL CODE FOR RESEARCH IN RESOURCE POOR SETTINGS

***Nature* addresses helicopter research and ethics dumping**

Nature's latest steps to improve inclusion and ethics are guided by the [Global Code of Conduct for Research in Resource-Poor Settings](#), developed by TRUST — a European Union-funded project on research ethics

In [the new guidance](#), *Nature* will be encouraging its journals' authors, editors and reviewers to consider the Global Code when developing, conducting, reviewing and communicating research



<https://www.nature.com/articles/d41586-022-01423-6>

Ethics in Horizon Europe

Policy, challenges, support

Ethics and Integrity Pillars

- Integrity and ethics in research are key components and a **prerequisite for achieving excellence** in research and innovation.
- **Build and sustain trust in science and innovation, and to encourage and enable** researchers and innovators use the ethics by design approach to innovation that will improve people's lives, prospects and possibilities.
- **Ethics is not be 'red tape' for research, but empowers researchers** to do the right thing and to build trust grounded in our values and fundamental rights such as human dignity, privacy protection and security.

Diverse landscape – EU and non EU collaborations



Diverse national legal and governance environments (structures)



Lack of cooperation and unsupportive culture (still?)



Denial Fairy
“Ethics? This is for doctors only!”
(denial still alive and well)



Lack of training and education

Challenges

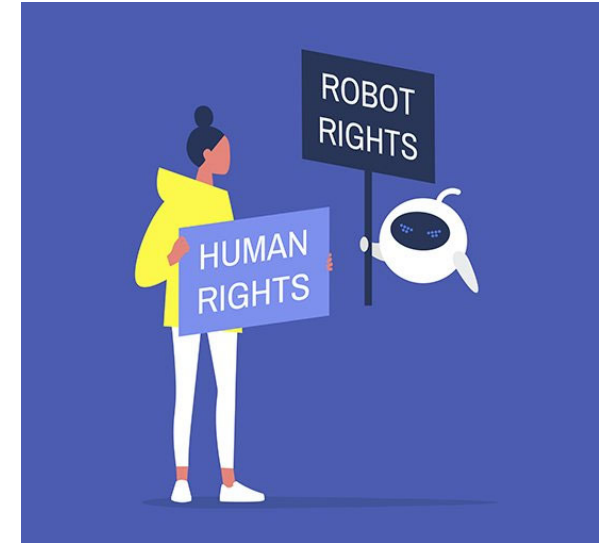


Support to
researchers and
research managers/

Lack of local ethics
and Integrity
Frameworks

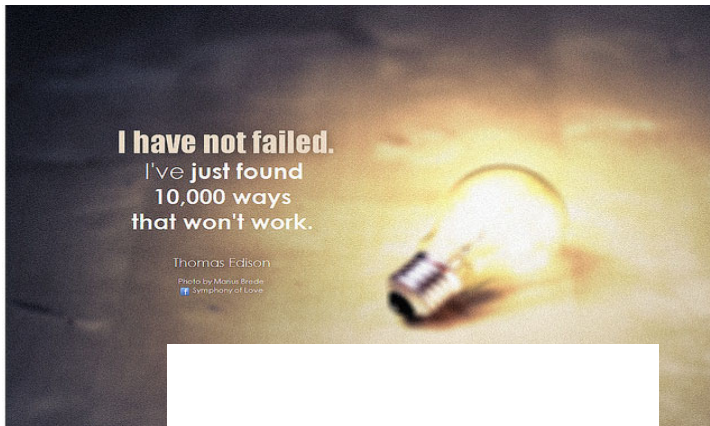


Ethics Committees
future, expertise,
support and
management of work
loads



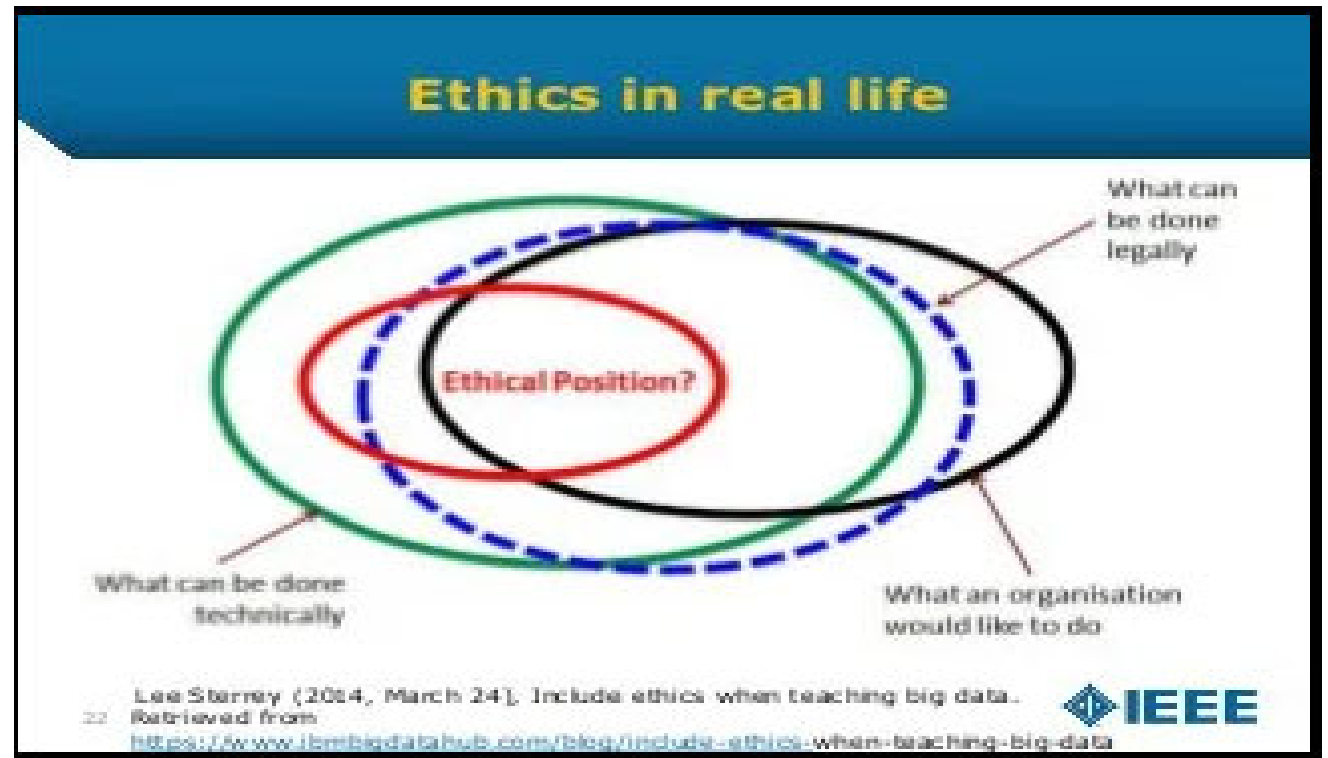
Embedding Ethics in
research protocols,
multidisciplinary
approaches (AI,
privacy)

Challenge: failure is not an option in Research Ethics



Scientific progress is
built on failure

16 <https://www.nature.com/articles/d41586-019-00107-y>



Ethics is part of the
bigger picture of
impact and
excellence



CS413318

"I'm afraid there's a big difference between Doctors Without Borders and Doctors Without Boundaries."

Ethics Panels are usually risk averse if you are not ready

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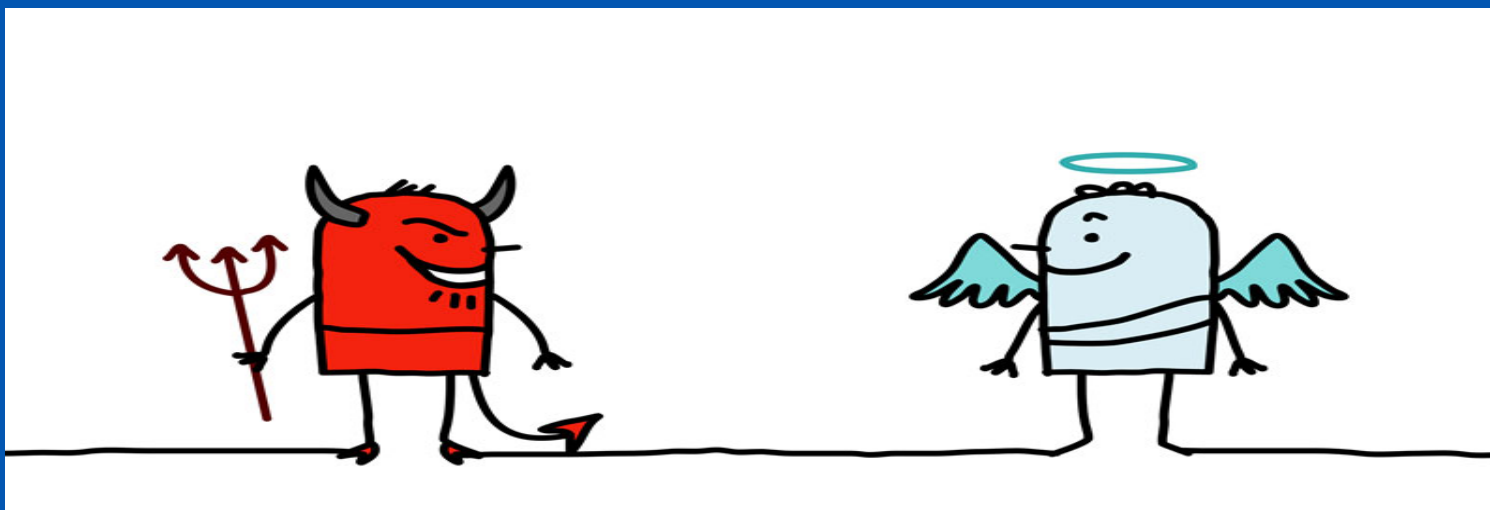
GET READY for the ethics review: there is never enough time 5 minutes before the deadline

ETHICS BY DESIGN

ASK: usually the answers are in the same building you are (if all fails Google and trust official sources)

Better incomplete and acknowledging than empty and indifferent

The responsibility of the applicant



Do not fight your angel....

ETHICS TO DO LIST

The researchers must do:

Identify all potential ethical issues ;

Handle all ethics aspects of the proposal;



Explain in sufficient detail how the ethics issues will be addressed .

What researchers should do

".... to seek advice from colleagues with expertise in the ethics of research: specialised ethics departments, relevant managers in your university/research organisation, hospital research ethics committees, ethics advisors in your company, data protection officers, etc. They will be able to provide you with the necessary information targeted at your specific needs and legal environment."

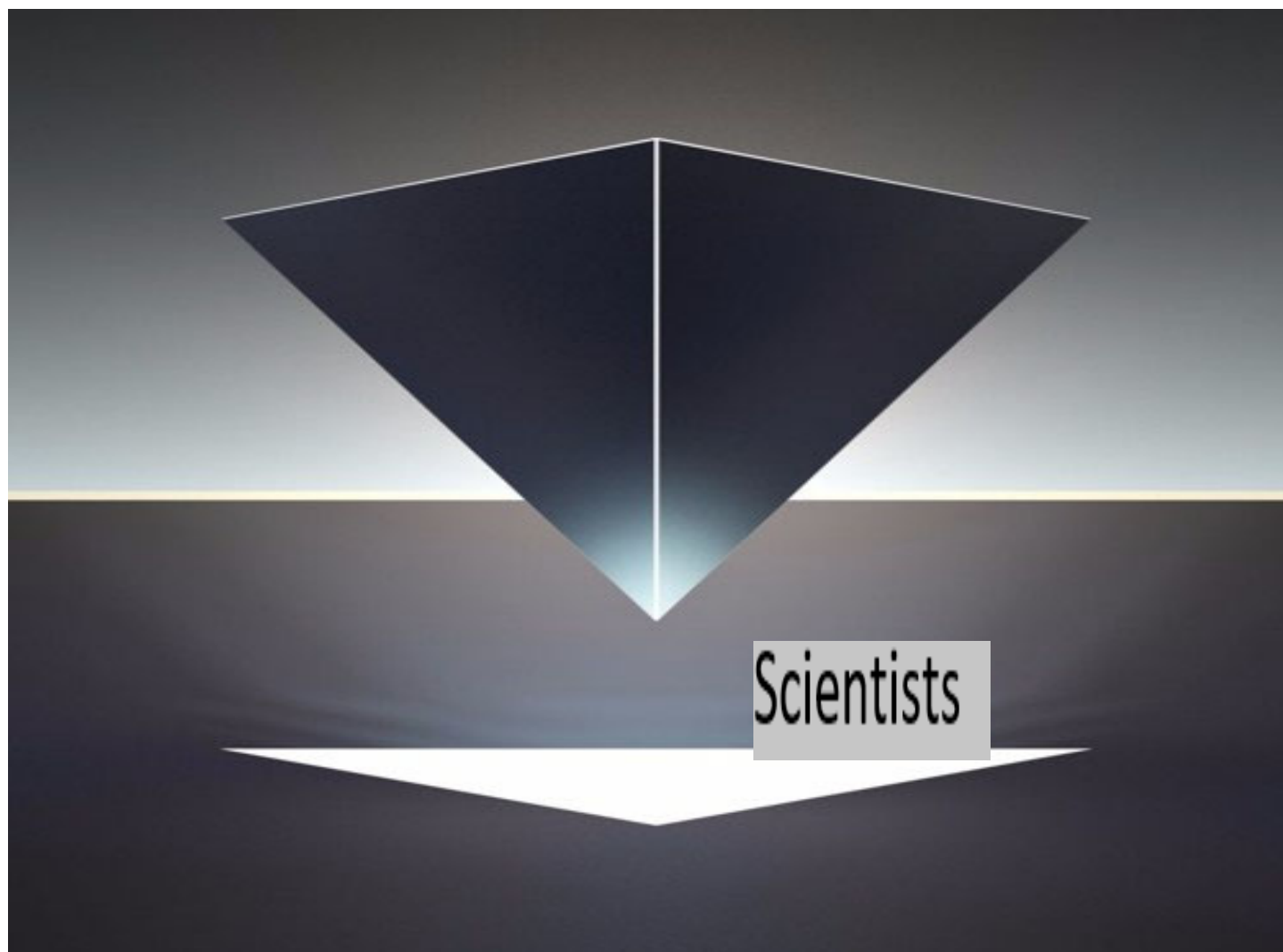
Start thinking (and discussing) about ethics while designing your research protocols.

Do not wait until the last minute to seek advice or check what is required under National and European legislation."

ETHICS BY DESIGN

Consider that ethics issues arise in many areas of research. Apart from the obvious, the medical field, research protocols in social sciences, ethnography, environmental studies, security research, etc. might involve the voluntary participation of research subjects and the collection of data that might be considered as personal.

You must protect your volunteers and also protect yourself (and your researcher colleagues)



Research in Research Ethics and Integrity under Horizon Europe: Widening participation and Strengthening the European Research Area

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2021-2022/wp-11-widening-participation-and-strengthening-the-european-research-area_horizon-2021-2022_en.pdf

supporting research in ethics and integrity

HORIZON EUROPE SPECIFIC PROGRAMME STRENGTHENING THE EUROPEAN RESEARCH AREA

.... to further develop a coherent Union framework in adherence with the highest ethics standards and the European Code of Conduct for Research Integrity,.....,

providing the training opportunities in these areas

Ethics and Integrity projects

<https://www.techethos.eu/>



<https://rosie-project.eu/>

- 1 Identify novel ethical and legal issues, as well as new forms of misconduct and questionable practices brought about by open science.
- 2 Analyse them in the context of existing ethical and legal frameworks.
- 3 Pinpoint gaps and grey areas.
- 4 Integrate ethics and research integrity in open science and citizen science as a structural component.



Crisis and preparedness ethics

Training On



Do We Need It?

Ethics Training and Expertise

(and) AI ETHICS SUPPORT

- **SIENNA PROJECT**

- Ethics by Design and Ethics of Use approaches for Artificial Intelligence, Robotics and Big Data

- <https://sienna-project.eu/public-consultation/ai/ethics-by-design/>

- **SHERPA PROJECT**

- Shaping the Ethical Dimensions of Smart Information Systems

A European Perspective

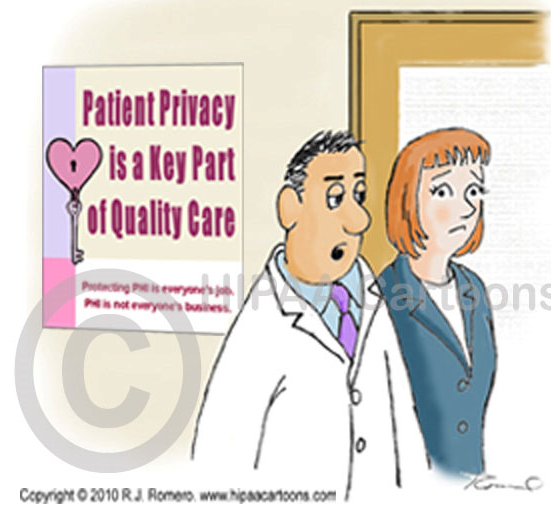
- <https://www.project-sherpa.eu/>

- **PANELFIT PROJECT**

- Participatory Approaches to a New Ethical and Legal Framework for ICT

- <https://www.panelfit.eu/>

Time : a rare commodity



"All these privacy regulations are just common sense and ethics. Who's got time for that?"



If you think Ethics is expensive, try misconduct....



Thank you!

isidoros.karatzas@ec.europa.eu
HorizonEU

<http://ec.europa.eu/horizon-europe>



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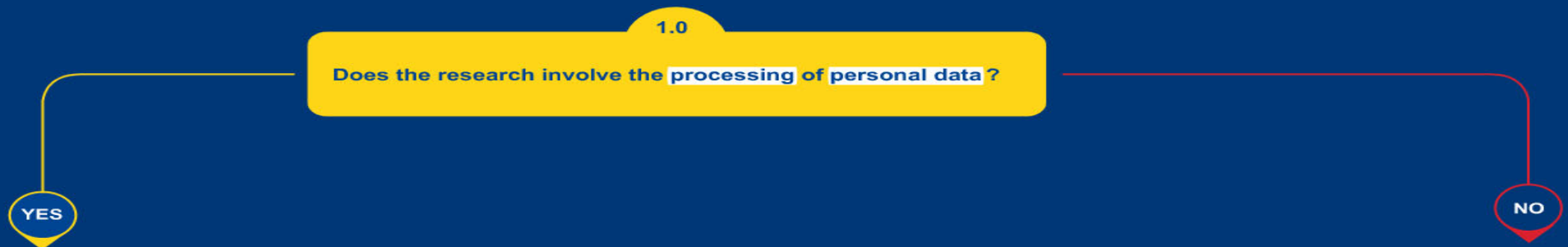
DATA PROTECTION HELP TOOL

<https://ec.europa.eu/assets/rtd/ethics-data-protection-decision-tree/index.html>

Ethics and Data Protection Decision Tree

THE FOLLOWING QUESTIONS
ARE INTENDED TO :

1. Support the identification of potential ethics risks related to the data processing activities of your proposal/project
2. Facilitate compliance with the data ethics requirements aimed at safeguarding the fundamental human rights and freedoms of the research participants
3. Foster the application of the 'ethics by design' principles



1.0

Does the research involve the **processing of personal data**?

YES

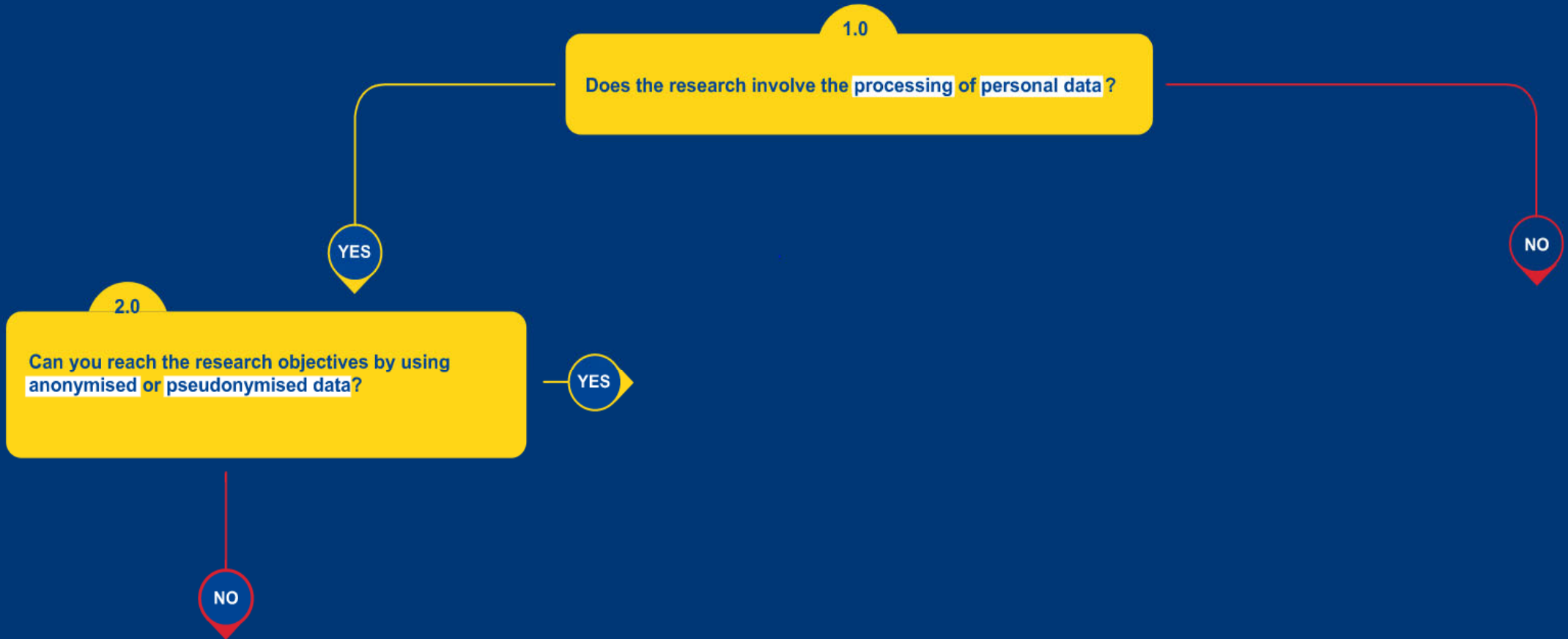
2.0

Can you reach the research objectives by using **anonymised or pseudonymised data**?

YES

NO

NO



YES

2.0

Can you reach the research objectives by using
anonymised or pseudonymised data?

YES

2.1

Anonymise / Pseudonymise.

2.1.2

If you anonymise
the data

NO

1.1

GDPR does not apply.
But you should nevertheless check:

1.2

YES

Could your dataset be used to
identify individual persons?

NO

2.1.1

If you pseudonymise
the data

3.0

Have you conducted a **data minimisation** review to ensure that you need all the data you intend to process?

YES

NO

4.0

Do you have or will you obtain the informed consent of the people whose data will be used in your project?

YES

NO

4.2

- Explain how the principle of fair data processing and research ethics principles, according to which no person should be involved in research without their knowledge, will be met.
- Explain how you will address the ethics issues arising from the use of personal data concerning individuals who have not given explicit consent for their data to be used in your project.
- Explain the source and origins of the data.
- Confirm that you have lawful basis for the data processing and explain what technical and organisational measures are in place to safeguard the rights of the data subjects.

5.0

Does your project involve the processing of data concerning children or vulnerable adults?

YES

NO

15.0

Does the data processing expose the research participants to high ethics risks?

YES

15.1

Specific requirements :

- Evaluate the ethics risks related to the data processing activities of the project and describe the measures you will implement to mitigate the risks for the research participants;
- Consult the Data Protection Officer (if any) at your institution on the data processing and data protection provisions;
- Provide the opinion of the data controller on the need for a data protection impact assessment (art.35 GDPR) (if relevant).

End