**Tab: Ethics and data**

**Section: Ethics issues checklist**

Please go through the checklist and answer whether the mentioned element is relevant in your proposed research project.

If the answer is "Yes", please explain the ethical issues and potential risks related to the relevant element in more detail by describing: 1) the ethical issues or ethical risks that could arise in the proposed project; 2) how you plan to address the ethical issues or mitigate potential ethical risks; 3) which additional ethical or legal requirements apply to the research activities and how do you plan to comply with these requirements.

For more information on how to fill the ethics issues checklist and which information should be provided, please refer to the Guidelines for Completing Ethics Self-Assessment for Grant Application.

|  |  |  |
| --- | --- | --- |
| **Issue** | **Relevant in my proposal** | **Description of the ethical issue and planned mitigative measures**(The maximum length is 5,000 characters for each “Yes” answer (incl. spaces)) |
| 1. **Humans:** does the project involve research activities with human participants? | Yes/No |  |
| 2. **Personal data**: does the project involve processing of personal data? (Mark “yes” also if personal data is anonymised after collection.) | Yes/No |  |
| 3. **Human embryonic stem cells or human embryos**: does the project involve research activities with human embryonic stem cells or human embryos? | Yes/No |  |
| 4. **Human cells or tissues:** does the project use, produce or collect human cells, tissues or body fluids?  | Yes/No |  |
| 5. **Animals:** does the project involve animals in research activities? | Yes/No |  |
| 6. **Genetic resources and associated traditional knowledge:** does the project use nonhuman genetic material of plant, animal, microbial or other origin or traditional knowledge associated with such genetic resources?  | Yes/No |  |
| 7. **Non-EU countries:** does the project conduct activities in a non-EU country, recruit participants from or transfer materials or resourced from or to a non-EU country? | Yes/No |  |
| 8. **Environment, health, and safety:** could the research activities adversely affect the environment or the health and safety of involved persons? | Yes/No |  |
| 9. **Artificial intelligence (AI):** does the project involve development, deployment or use of AI-based systems or techniques? | Yes/No |  |
| 10. **Potential misuse of research results:** does the project involve or generate materials, methods, technologies or knowledge that could be used for unethical or harmful purposes?  | Yes/No |  |
| 11. **Other ethics issues:** does the project raise additional ethical issues or concerns which were not covered by previous questions? (For instance, research on sensitive or potentially polarizing social issues.) | Yes/No |  |

**Section: Research integrity**

Research integrity relates to following appropriate ethical, legal, and professional obligations and standards during research. The main framework documents of research integrity are the [Estonian Code of Conduct for Research Integrity](https://eetika.ee/en/content/estonian-code-conduct-research-integrity) and [The European Code of Conduct for Research Integrity](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf). In addition, several Estonian universities and research institutions have developed their own procedures to implement the principles of research integrity.

|  |  |
| --- | --- |
| Confirmation of adherence to the principles of research integrity | \* The applicants are required to conduct research responsibly, to prevent questionable research practices and misconduct and to handle potential breaches of the principles of research integrity according to applicable codes of conduct and procedures. 1) Please provide information on institutional procedures or policies that are used in cases of potential research misconduct. If research activities are carried out in different countries, please indicate which codes, procedures or policies are relevant in those countries and which institutions are responsible for dealing with research integrity issues. 2) Who among the research team is responsible for handling issues related to research integrity and reporting potential violations of research integrity. If cooperating with multiple research institutions, please explain how potential research integrity issues are dealt with among partners and how the responsibilities are divided.*(The maximum length is 3,000 characters**(incl. spaces))* |

|  |  |
| --- | --- |
| Do any of the project’s research activities need to be approved by an ethics committee? | \* *(Please tick the box if yes)* |
| Explanation of the ethical approval | (*This box opens only if you have ticked the box “yes”*) Please explain shortly, which research activities need an approval, how many approvals are needed and by which ethics committee. If any of the research activities rely on an existing approval (e.g. continued use of existing personal data or samples), please add a copy to the proposal (see below) and confirm that the planned research activities of the proposed project are covered by the existing approval. *(The maximum length is 3,000 characters**(incl. spaces))* |
| Ethics committee approval(s) | (*This box opens only if you have ticked the box “yes”*)If the project relies on an existing ethics committee approval, please add it here. If the approval document doesn’t provide sufficient information about the permissibility of continued or secondary use of existing personal data or samples, also add a copy of the application document. If data or samples are provided by a third partner, please add a written confirmation by that partner institution which confirms the permissibility of sharing these samples or data.Keep in mind that all new ethics committee approvals need to be provided prior to the beginning of the specific experiment. Only .pdf or .bdoc files can be uploaded. *(You can drag the file to this box or use the upload button (max 15 MB))* |

|  |  |
| --- | --- |
| Do the research activities with the genetic resources fall within the scope of the Nagoya Protocol and the EU ABS Regulation? | \* *(Please tick the box if yes)*In general, research activities on genetic resources and/or associated traditional knowledge fall under the scope of EU ABS regulation when the genetic resources have been obtained from a country that is party to the Nagoya protocol after 12.10.2014 *and* the provider country has implemented access regulations for genetic resources. |
| Explanation of the project’s compliance with the Nagoya Protocol | (*This box opens only if you have ticked the box “yes”*) Please explain shortly which genetic resources (and traditional knowledge associated with its use) are used within the project and how do you plan to acquire these resources. Which are the provider countries and how have they regulated access to these resources? Please explain, how do you plan to follow the access regulations of the provider countries and obtain the required access and benefit-sharing documentation (e.g. national permits)?If the genetic resources you plan to use in the project fall under any kind of access regulations by the provider countries, you need to submit a due diligence declaration on the EU-wide DECLARE platform once your project is funded. *(The maximum length is 3,000 characters**(incl. spaces))* |
| Due diligence declaration | (*This box opens only if you have ticked the box “yes”*) If the due diligence declaration has already been submitted in DECLARE, then a copy should be added to the application. If the due diligence declaration is yet to be submitted, then a copy must be provided by the end of the project . Only .pdf or .bdoc files can be uploaded. *(You can drag the file to this box or use upload the button (max 15 MB))* |

**Section: Open science and research data management**

This section is meant to give a general overview of the research data and other types of research outputs which are created during the project and how these are managed. This section is not meant to describe issues related to open access publishing or agreements on authorship.

|  |  |
| --- | --- |
| Overview of research data management | \* Please describe: 1) the types of data, samples, physical collections, models, software, and other materials to be collected, produced or used in the project; 2) plans for storing and ensuring the security of the research data during the project;3) plans for granting access to or sharing the research data and other results of the project;4) policies and provisions for re-use, re-distribution or production of derivatives of the research data or other outcomes that are covered by intellectual property rights;5) plans for preserving or archiving the research data or other research products and which repositories are used for the research data.Please indicate who in the project team is responsible for research data management and which tools or standards you plan to use.*(The maximum length is 5,000 characters**(incl. spaces))* |

|  |  |
| --- | --- |
| **Open data:** do you plan to make some of your research data or other research outcomes openly available? | \* *(Please tick yes or no)* |
| Explanation of open data  | (*This box opens only if you have ticked the radiobutton “yes”*) Please explain shortly, which research data or other outcomes do you plan to make openly available. How and where do you plan to publish or share the data?*(The maximum length is 3,000 characters**(incl. spaces))* |

|  |  |
| --- | --- |
| **Data with limited access:** are there research data or other outcomes that cannot be made openly available? | \* *(Please tick yes or no)* |
| Explanation of open data limitations | (*This box opens only if you have ticked the radiobutton “yes”*) Please explain shortly, which research data cannot be made openly available for others and why. Which legal, ethical, or other requirements would limit or prevent the open sharing of the research data? How do you plan to comply with these requirements? *(The maximum length is 3,000 characters**(incl. spaces))* |

|  |  |
| --- | --- |
| **Shared intellectual property rights**: are the intellectual property rights of the research data or other project outcomes shared between multiple research institutions or legal entities? | \* *(Please tick yes or no)* |
| Explanation of shared intellectual property issues | (*This box opens only if you have ticked the radiobutton “yes”*) Please explain, which rights of which intellectual property (research data or other research outcomes) are shared with other research institutions or legal entities. Who retains the rights to control further use of the intellectual property? *(The maximum length is 3,000 characters**(incl. spaces))* |