4. Ethical issues form

FP-RESOMUS

**Re**solving **S**olvation with **M**olecular **U**ltrafast **S**cience and Technology

Fellowship Program of the

NCCR MUST

National Competence Center for Research in

Molecular Ultrafast Science and Technology

&

Cluster of Excellence RESOLV

Project ID-No.[[1]](#footnote-1):

Ethical standards and guidelines compatible with, and equivalent to, those of H2020 must be rigorously applied, regardless of the country in which the research is carried out. Swiss and German national rules concerning ethical issues are in agreement with the Commission’s ethical principles for Horizon 2020, as specified in the “H2020 Guidance - How to complete your ethics self-assessment”, V6.0, 23 July 2018) [[2]](#footnote-2).

For all activities carried out within FP-RESOMUS, ethics is an integral part of research from beginning to end, and ethical compliance is pivotal to achieving real research excellence. The FP-RESOMUS management will take all the necessary measures to manage the ethical issues that may arise in accordance with the ethical principles of Horizon 2020. The beneficiary and partner institutions will ensure that all accepted postdoctoral research projects will respect ethical values and rights such as they appear in both the Charter of Fundamental Rights of the European Union and the “European Code of Conduct for Research Integrity” [[3]](#footnote-3).

The following research fields are excluded from EC funding and therefore are also excluded from the FP-RESOMUS program:

* activities directed at human cloning for reproductive purposes
* activity intended to modify the genetic make-up of human beings that could make such changes heritable (apart from research relating to cancer treatment of the gonads, which may be financed)
* research activities intended to create human embryos solely for the purposes of research or stem cell procurement, including the technique of somatic cell nuclear transfer
* research that leads to the destruction of human embryos

Research carried out under FP-RESOMUS has civil applications only. Proposals for dual use (i.e. military use) purposes will not be accepted.

Environmental safety and protection: research in FP-RESOMUS may involve chemicals, high-powered laser systems, and other potentially harmful equipment or materials. Therefore, FP-RESOMUS fellows in Switzerland and Germany will receive safety training and follow a set of safety checks and procedures in accordance with local laws and regulations.

FP-RESOMUS candidates accept the above guidelines, and those that apply at the respective host institution [[4]](#footnote-4), by signing the fellowship agreement. Among other topics, guidelines for research planning, execution and for publication of results are outlined in the fellowship agreement. Research on humans, human embryonic stem cells, and animals, GMO/pathogens and on research involving developing countries requires specific considerations (Table below).

If any of the ethical issues outlined on the following pages of this document require authorizations and notifications, these must be arranged to be eligible for an FP-RESOMUS grant. The applicant is fully responsible for correct declaration. Once a fellowship has been granted, copies of necessary authorizations or notifications must be sent to the Offices of Research in the specific Partner Institution. Therefore, it is recommended to submit requests for these documents to the Ethics Committees of the host institutions, as soon as they know that ethical issues may arise. Support will be provided by the MT and the Integrity Managers (IMs, see section 4.2.3), who are experts on ethical issues.

I have read and understood the regulations on ethical issues on the following pages and I accept them:

yes  no

Date:       (M/d/yyyy)

First name:

Family name:

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(electronic signature or written signature and submission of scanned document)

**Ethical Issues demanding authorization or notification**

FP-RESOMUS candidates who intend to perform research requiring authorization or notification in their project must declare this in the table below. This applies to research on humans, on human embryonic stem cells, on animals on GMO/pathogens and on research involving developing countries. If the answer to any of the first questions in each section of the table is “yes”, the proposal will be forwarded to the local Ethics Committee. Such research requires authorization and/or notification, and instructions on how to proceed will be supplied at that point.

With the completed form, and his/her signature on the cover sheet, the applicant confirms that he/she is aware of the legal regulations at EU, federal and local levels relevant to the research project. Once a fellowship has been accepted for funding, copies of the authorization and/or notification must be sent to the “Offices of Research” or equivalent bodies at the Partner Institutions.

|  |  |  |  |
| --- | --- | --- | --- |
| **1. Research on humans**  If YES, you intend to … | Yes | No | Research projects on or with humans must be approved by an official ethics committee and comply with federal and regional laws regulating research on humans. Depending on the type of research or the group examined (e.g.  people in special need of protection), studies must be announced to and authorized by the concerned authorities.  It is the responsibility of the researcher to assess the legal framework applying to the studies and to take the required measures. |
| collect samples and data1 | Yes | No |
| use existing samples or data1 | Yes | No |
| do clinical trials of pharmaceutical products | Yes | No |
| do In vivo somatic gene therapy | Yes | No |
| do Ex vivo somatic gene therapy | Yes | No |
| do clinical trials with transplants | Yes | No |

|  |  |  |  |
| --- | --- | --- | --- |
| 2. Research on Human Embryo / Foetus | Yes | No | Research projects involving human embryonic stem cells must be approved by an ethics committee and requires permission. |

|  |  |  |  |
| --- | --- | --- | --- |
| 3. Research on Animals Research on animals requiring authorization / notification  If YES, do you intend to work with….. | Yes | No | Research on vertebrates, cephalopods and *reptantia* requires an authorization.  **Please note:** Knockouts and transgene animal models are regarded as genetically modified organisms (GMO) and therefore need to be separately notified. In the case of research on animals that are genetically modified, the category «4. Research on pathogens or GMO» also has to be completed. |
| Lab-rodents | Yes | No |
| Others: \_\_\_\_\_\_\_\_\_\_\_\_\_ | Yes | No |

|  |  |  |  |
| --- | --- | --- | --- |
| 4. Research on GMO or pathogens If YES, you intend to… | Yes | No | This concerns research in which genetically modified organisms (GMO) are produced or used and/or in which pathogenic organisms are involved. Such research, either in the lab or in the field, requires authorization or confirmation of notification. |
| release GMO/pathogens for human or animals | Yes | No |
| release pathogens for plants, fungi or lichens | Yes | No |
| do experiments on GMO in contained systems | Yes | No |
| work with pathogens in contained systems (cl. 2, 3, 4) | Yes | No |
| work with pathogens in contained systems (cl. 1) | Yes | No |

|  |  |  |  |
| --- | --- | --- | --- |
| 5. Research Involving Developing Countries If YES, you confirm that | Yes | No | Within the FP-RESOMUS program, research proposals involving developing countries will need to address the principles of research partnership as stated in the [Guidelines for Research in Partnership with Developing Countries (1998)](http://www.kfpe.ch/key_activities/publications/guidelines/guidelines_e.php) of the KFPE in a satisfactory and convincing manner. If a research project uses local resources (genetic resources, animals and plants), information on Prior Informed Consent, Mutually Agreed Terms and Benefit Sharing will be required according to the manual for «[good practice for academic research on genetic resources](http://abs.scnat.ch/downloads/documents/ABS_GoodPractice_2009.pdf)» of the SCNAT. |
| you respect the principles of research in partnerships | Yes | No |
| If you use local resources of developing countries, are you are aware of actions to be taken based on Access and Benefit sharing? | Yes | No |

|  |
| --- |
| Compliance with legal regulations By activating the check box below and signing the cover sheet, you declare that you are aware of the legal regulations relevant to your research project concerning human research, research with human embryonic stem cells, research on animals, research with GMO/pathogens and on research involving developing countries. You affirm that all measures have been taken to ensure that the regulations will be respected. Similarly you are committed to upholding the professional and research-ethical rules in your work.  Relevant regulations noted and accepted Yes No |

1. <https://www.fp-resomus.ethz.ch/projects/> [↑](#footnote-ref-1)
2. <http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf> [↑](#footnote-ref-2)
3. <https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf> [↑](#footnote-ref-3)
4. https://rechtssammlung.sp.ethz.ch/Dokumente/414en.pdf

   http://www.unibe.ch/research/good\_scientific\_practice/guidelines/index\_eng.html

   https://www.psi.ch/integrity/DokumenteEN/EPFL\_Integrity\_e\_2009.pdf

   http://responsable.unige.ch/assets/files/Guidelines220506.pdf

   https://www.unibas.ch/en/Research/Research-in-Basel/Values-and-Principles.html

   https://www.psi.ch/integrity/research-integrity

   http://www.uv.ruhr-uni-bochum.de/dezernat1/amtliche/ab1142.pdf

   https://www.tu-dortmund.de/uni/de/Forschung/Gute\_wissenschaftliche\_Praxis/Rules-of-Good-Scientific-Practice-17.pdf

   https://www.uni- due.de/imperia/md/content/zentralverwaltung/verkuendungsblatt\_2018/vbl\_2018\_75.pdf

   https://www.mpg.de/229457/Regeln\_guter\_wiss\_Praxis\_\_Volltext-Dokument\_.pdf [↑](#footnote-ref-4)