



# Introduction to the Ethics Appraisal Process Ethics Checks and Reviews

Ethics & Research Integrity Sector  
SCIENCE POLICY, ADVICE & ETHICS Unit  
DG Research & Innovation

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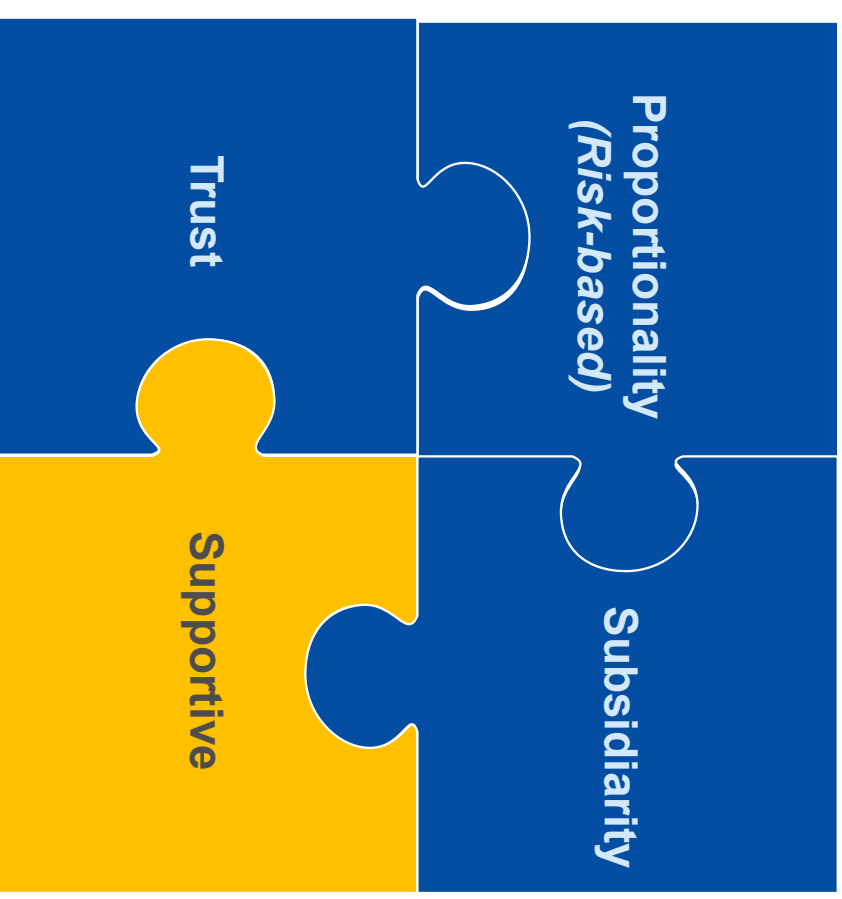
# Ethics Appraisal Process

## Goals

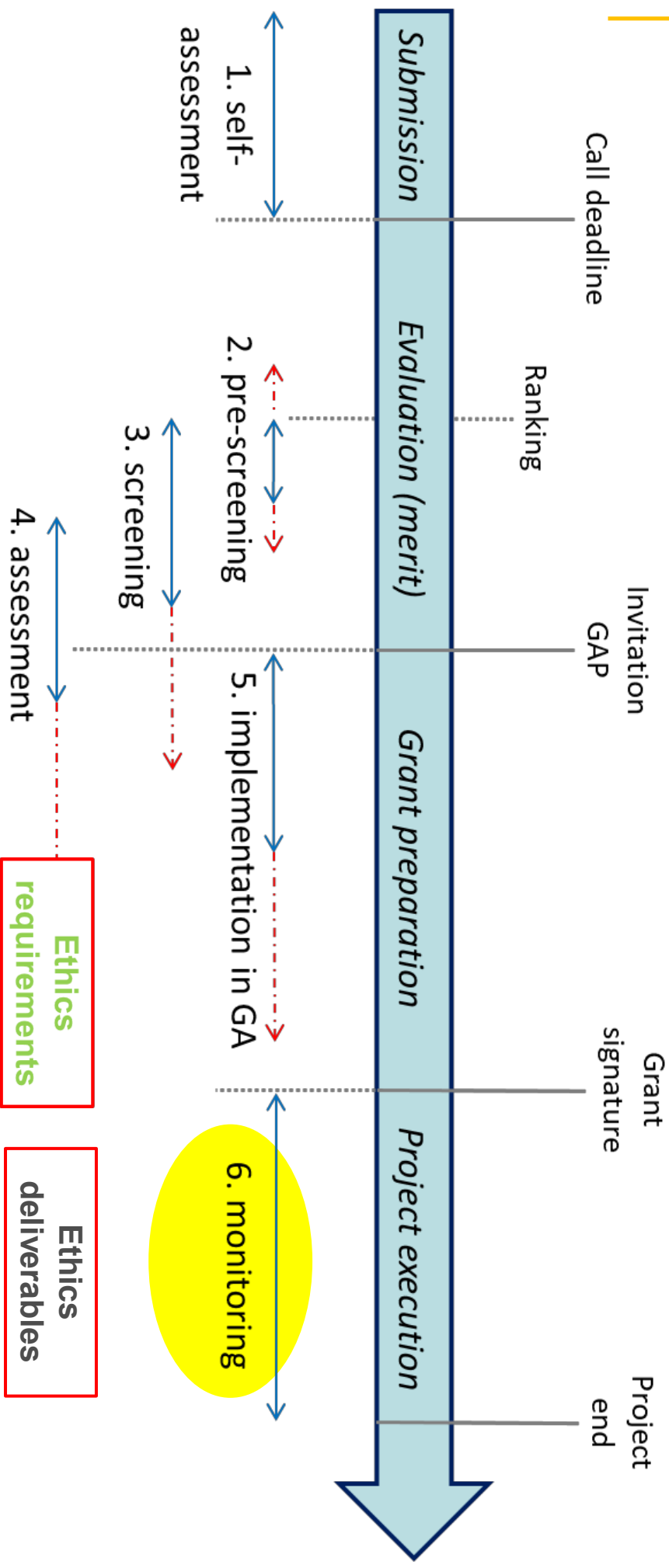
**Protect** research participants, researchers, animals, the environment, society, ... from harm and undue risks

**Support** researchers and innovators to adopt an **ethics by design** approach

Contribute to **research excellence** and societal **trust** in research



# Ethics Appraisal Process



# Ethics Monitoring

When?	During the lifetime of the project
What?	<ul style="list-style-type: none"><li>✓ to assist the beneficiaries &amp; if necessary, to take <b>preventive or/and corrective measures</b></li></ul>
Which projects?	<ul style="list-style-type: none"><li>✓ For projects raising serious / complex ethics issues</li><li>✓ When recommended by ethics experts</li><li>✓ Decision by the Project officer in the EC/Agency (i.e., documents provides are unsatisfactory)</li></ul>
By whom?	<b>1 or 2 (for Ethics Check) up to 5 (for Ethics Review) ethics experts</b>
Possible Outcomes?	<ul style="list-style-type: none"><li>✓ 'Clearing' of ethics requirements / rejection of (ethics) deliverables</li><li>✓ Formulation of (additional) ethics recommendations / requirements</li><li>✓ Suspension of the payments / project</li></ul>

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# Ethics Monitoring

- An **Ethics Check**: (internal) check by the project officer or ethics officer who may be supported by ethics experts.
- An **Ethics Review**: more elaborate and in-depth procedure carried out by up to 5 external ethics experts (formerly know as 'Ethics Check' in Horizon 2020)
  - Depending on the **size** of the grant and the **seriousness/complexity** of the ethics issues.

! All documents 'to be kept on file' may be requested !

# Ethics Monitoring

Other forms of **ethics monitoring**:

- Appointment of Ethics Advisors/Advisory boards
- Guidelines for researchers on specific ethical issues
- Close cooperation with project officers at EU research Agencies
- Organisation of training sessions on research and technology ethics matters