

Austrian Research Promotion Agency | FFG

CROSS-CUTTING ISSUES IN MSCA

FFG Academy, June 2021

OPEN SCIENCE & RESPONSIBLE INNOVATION ALL MSCA

 The MSCA endorse Open Science and Responsible Research and Innovation (RRI) through engaging society at large, integrating the gender and ethical dimensions, promoting Open Science practices through targeted training activities, ensuring open access to research outcomes, including FAIR data handling, encouraging formal and informal science education and feeding back research results into teaching and education.

* FAIR - Findable, Accessible, Interoperable, Reusable

RESPONSIBLE RESEARCH AND INNOVATION – RRI ...

... is an approach that anticipates and assesses potential implications and societal expectations with regard to research and innovation, to foster the design of inclusive and sustainable research and innovation.

... is implemented as a **package** that includes multi-actor and public engagement in R&I, enabling easier access to scientific results, the take up of gender and ethics in the research and innovation content and process, and formal and informal science education.
[...]"

Source: <https://ec.europa.eu/programmes/horizon2020/en/h2020-section/responsible-research-innovation>

HOW put this into practice? ...

- public engagement, open access, gender, ethics, science education (= elements of RRI) and
- integrated actions that promote institutional change (Example MSCA: Charter & Code, Horizon Europe: Gender Equality Plans)

Excellence	Impact	Implementation
Quality and pertinence of the project's research and innovation objectives (and the extent to which they are ambitious, and go beyond the state of the art)	Credibility of the measures to enhance the career perspectives and employability of the researcher and contribution to his/her skills development	Quality and effectiveness of the work plan, assessment of risks and appropriateness of the effort assigned to work packages
Soundness of the proposed methodology (including  interdisciplinary approaches, consideration of the gender dimension and other diversity aspects if relevant for the research project , and the quality of open science practices)	Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities 	Quality and capacity of the host institutions and participating organisations, including hosting arrangements
Quality of the supervision, training and of the two-way  transfer of knowledge between the researcher and the host	The magnitude and importance of the project's contribution to the expected scientific, societal and economic impacts	
Quality and appropriateness of the researcher's professional experience, competences and skills		
50%	30%	20%
Weighting		

GENDER

- With regard to the research content (**if relevant**)
- In training or communication activities (for example skills training related to Gender aspects, mentoring, awareness raising among girls for science / STEM etc.)
- **At institutional level → Gender Equality plan**
 Grace period until 2022; How: through Self declaration of the organisation in the administrative form → check with your host organization if “y/n”

Eligibility criterion for public bodies, public and private research organisations or HEIs; does not apply to other categories such as for private for-profit organization including SMEs, NGOs and Civil Society Organisations

PROMOTING INSTITUTIONAL CHANGE: CHARTER & CODE

„The principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code) **promoting open, merit-based and transparent recruitment and attractive working and employment conditions** are a cornerstone of the MSCA and all funded host organisations must put effort into applying them. The MSCA pay particular attention to equal opportunities and inclusiveness.“

MSCA Work Programme 2021-22

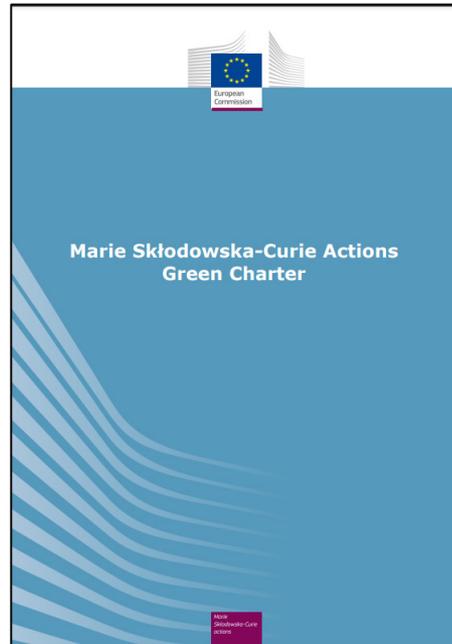
If yes: include this information into your proposal – i.e. in section 3 – implementation

Has your host gained other forms of recognition for promoting excellent framework conditions for researchers (ie the Athena SWAN award etc.) ?

Has your host received the HR Excellence in Research award ?
<https://euraxess.ec.europa.eu>



SUSTAINABLE RESEARCH



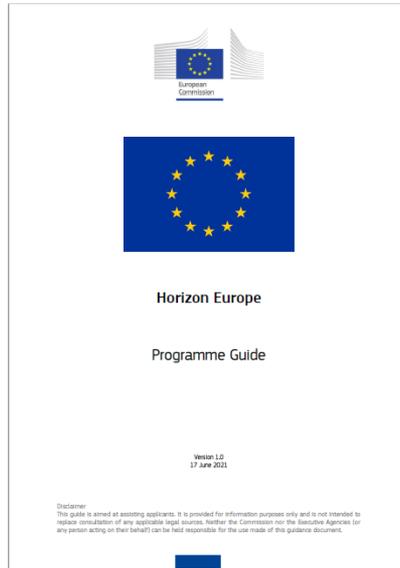
could be addressed
in the proposal
part B under
implementation

could be addressed
in part B under
impact –
communication
(sharing best
practice)

- to reduce the environmental footprint of MSCA-funded projects and to serve as a catalyst in promoting best practice in sustainable research management
- All MSCA-funded projects are encouraged to address the principles of the MSCA Green Charter – on a "best effort" basis: to commit to as many of its provisions as possible during the implementation of their projects. → Reporting
- <https://ec.europa.eu/research/mariecurieactions/green-charter>

OPEN SCIENCE PRACTICES

OPEN SCIENCE PRACTICES IN HE



- Open Science as changing modus operandi in Science **Open Access, Open Data, Open Method, Open Educational Resources**
- **Open Science in Horizon Europe** “an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process”
- **mandatory and recommended Open Science practices** → both need to be addressed in the proposal → programme guide with more details + PF template

Excellence	Impact	Implementation
Quality and pertinence of the project's research and innovation objectives (and the extent to which they are ambitious, and go beyond the state of the art)	Credibility of the measures to enhance the career perspectives and employability of the researcher and contribution to his/her skills development	Quality and effectiveness of the work plan, assessment of risks and appropriateness of the effort assigned to work packages
Soundness of the proposed methodology (including interdisciplinary approaches, consideration of the gender dimension and other diversity aspects if relevant for the research project, and the quality of open science practices) 	Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities  	Quality and capacity of the host institutions and participating organisations, including hosting arrangements
Quality of the supervision, training and of the two-way transfer of knowledge between the researcher and the host 	The magnitude and importance of the project's contribution to the expected scientific, societal and economic impacts	
Quality and appropriateness of the researcher's professional experience, competences and skills		
50%	30%	20%
Weighting		

OPEN SCIENCE



References in the MSCA PF Call 2021

- Proposals should contribute to the following **expected impacts** (...) foster the culture of open science, innovation and entrepreneurship.
- The **training activities** implemented under the Postdoctoral Fellowships (...) should promote Open Science practices (open access to publications and to research data, FAIR data management, etc.).

Excellence	Impact	Implementation
Quality and pertinence of the project's research and innovation objectives (and the extent to which they are ambitious, and go beyond the state of the art)	Credibility of the measures to enhance the career perspectives and employability of the researcher and contribution to his/her skills development	Quality and effectiveness of the work plan, assessment of risks and appropriateness of the effort assigned to work packages
Soundness of the proposed methodology (including interdisciplinary approaches, consideration of the gender dimension and other diversity aspects if relevant for the research project, and the quality of open science practices)	Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities	Quality and capacity of the host institutions and participating organisations, including hosting arrangements
Quality of the supervision, training and of the two-way transfer of knowledge between the researcher and the host	The magnitude and importance of the project's contribution to the expected scientific, societal and economic impacts	
Quality and appropriateness of the researcher's professional experience, competences and skills		
50%	30%	20%
Weighting		

PUBLIC ENGAGEMENT & SCIENCE EDUCATION

- communication to the general public
- as a result that is used (exploited) by others in education
- as part of the training activities – to develop skills in this field
- as part of the methodology under excellence

ETHICS & SECURITY

ETHICAL PRINCIPLES IN RESEARCH AND INNOVATION

- Respecting human dignity and integrity
- Ensuring honesty and transparency towards research subjects and notably getting free and informed consent (as well as assent whenever relevant)
- Protecting vulnerable persons
- Ensuring privacy and confidentiality
- Promoting justice and inclusiveness
- Minimising harm and maximising benefit
- Sharing the benefits with disadvantaged populations, especially if the research is being carried out in developing countries
- Maximising animal welfare, in particular by ensuring replacement, reduction and refinement ('3Rs') in animal research
- Respecting and protecting the environment and future generations

Reference documents

Rules & codes of conduct

- Legal basis - Horizon 2020 Rules for Participation: Ethics Rules (Article 14)
- Horizon 2020 - Regulation of Establishment: Ethical principles
- Model Grant Agreement: Ethics (Article 34)
- Statements by the Commission on human embryonic stem cell research
- Guide for proposal submission and evaluation
- Charter of Fundamental Rights of the European Union
- European Code of Conduct for Research Integrity
- Global code of conduct for research in resource-poor settings

General guidance

- [How to complete your ethics self-assessment](#)

Domain-specific guidance

- [Guidance note — Research involving dual use items](#)
- [Guidance note — Potential misuse of research results](#)
- [Guidance note — Research focusing exclusively on civil applications](#)
- [Guidance note — Research on refugees, asylum seekers & migrants](#)
- [Ethics and data protection](#)
- [Ethics in "Science with and for society"](#)
- [Ethics in Social Science and Humanities](#)



GUIDANCE TO IDENTIFY AND ADDRESS ETHICAL ISSUES

- General Guidance [“How to complete your ethics self assessment”](#)
- “Domain-specific guidance” from H2020 also helpful → [Funding Portal](#)
- Seek support from your supervisor / host institution

1. Human Embryonic Stem Cells and Human Embryos		Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Will they be directly derived from embryos within this project?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they previously established cells lines?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are the cell lines registered in the European registry for human embryonic stem cell lines?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does this activity involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Will the activity lead to their destruction?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
2. Humans		Page
Does this activity involve human participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they volunteers for non medical studies (e.g. social or human sciences research)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they healthy volunteers for medical studies?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they patients for medical studies?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they potentially vulnerable individuals or groups?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they children/minors?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they other persons unable to give informed consent?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does it involve invasive techniques?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does it involve collection of biological samples?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does this activity involve conducting a clinical study as defined by the Clinical Trial Regulation (EU 536/2014)? (using pharmaceuticals, biologicals, radiopharmaceuticals, or advanced therapy medicinal products)	<input type="radio"/> Yes <input checked="" type="radio"/> No	

OVERVIEW ETHICAL ISSUES PART A

1. Human Embryonic Stem Cells & Human Embryos
2. Humans
3. Human Cells / Tissues (not covered by sect. 1)
4. Personal data
5. Animals
6. Non-EU Countries
7. Environment, Health & Safety
8. Artificial Intelligence
9. Other Ethics Issues

mind the detail: non-EU = all outside the European Union

EXAMPLE CLOSE UP SET OF QUESTIONS ON THIRD COUNTRIES (NON-EU)

- In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues? Specify the countries.
- Is it planned to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?
- Is it planned to import any material (other than data) from non-EU countries into the EU or from a non-EU country to another non-EU country? (Specify the material and countries involved)
- Is it planned to export any material (other than data) from the EU to non-EU countries? (Specify the material and countries involved)
- Does your activity involve low and/or lower middle income countries, are benefit-sharing measures foreseen?
- Could the situation in the country put the individuals taking part in the activity at risk?

Clearly identify potential ethical issues in the proposal and detail how these will be addressed!

1. Human Embryonic Stem Cells and Human Embryos		Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Will they be directly derived from embryos within this project?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they previously established cell lines?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are the cell lines registered in the European registry for human embryonic stem cell lines?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does this activity involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Will the activity lead to their destruction?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
2. Humans		Page
Does this activity involve human participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they volunteers for non medical studies (e.g. social or human sciences research)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they healthy volunteers for medical studies?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they patients for medical studies?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they potentially vulnerable individuals or groups?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they...?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they...?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

ETHICAL ISSUES

- Start early based on the Self Assessment Guide, if doubts: check with your supervisor / host institution for guidance
- Main information in part A – table & section „Ethics Self-Assessment“, in part B-2 a section for additional information if needed)
- No need to upload all documents, but keep them on file

Ethics Self-Assessment

Ethical dimension of the objectives, methodology and likely impact

Explain in detail the identified issues in relation to:

- objectives of the activities (e.g. study of vulnerable populations, etc.)
- methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.)
- the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or financial adverse consequences, misuse, etc.)

Compliance with ethical principles and relevant legislations

Describe how the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles and what will be done to ensure that the activities are compliant with the EU/national legal and ethical requirements of the country or countries where the tasks are to be carried out. It is reminded that for activities performed in a non-EU countries, they should also be allowed in at least one EU Member State.

1. EU Classified Information (EUCI) ²		Page
Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Is the activity going to use classified information as background ³ information?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Is the activity going to generate EU classified foreground ⁴ information as result?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does this activity involve non-EU countries?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do participants from non-EU countries need to have access to EUCI?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do the non-EU countries concerned have a security of information agreement with the EU?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
2. Misuse		Page
Does this activity have the potential for misuse of results?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does the activity provide knowledge, materials and technologies that could be channeled into crime and/or terrorism?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Could the activity result in the development of chemical, biological, radiological or nuclear (CBRN) weapons and the means for their delivery?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
3. Other Security Issues		Page
Does this activity involve information and/or materials subject to national security restrictions? If yes, please specify: (Maximum number of characters allowed: 1000)	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are there any other security issues that should be taken into consideration? If yes, please specify: (Maximum number of characters allowed: 1000)	<input type="radio"/> Yes <input checked="" type="radio"/> No	

SECURITY ISSUES

- if doubts: check with your supervisor / host institution for guidance
- Main information in part A – table & section „Security Issues Table“, in part B-2 a section for additional information, if needed

DISCLAIMER

All text, images and graphics are subject to copyright. Publication or use - whether in part or whole - is permitted only with express written consent from Österr. Forschungsförderungsgesellschaft mbH. We can not accept responsibility for the correctness, accuracy or completeness of the information offered. Any liability for damages that have been caused by the use or non-use of the information offered or by inaccurate or incomplete information is precluded.