



# The Ethics Horizon

**I. Karatzas**  
**Head of the Ethics Sector**  
**DG Research and Innovation**  
**European Commission**



**...We have to be clear on the values, firm on the principles , fair on the method and sensible the communication....**

*J. M. Barroso, President of the European Commission*



## First step (cont'd) Embedding Ethics in Research activities, (All research areas)

- Ethics follow-up: the reality of bench ethics
- The bioethics model and other disciplines (e.g. education research)
- The positive (social and research) impact of ethics to people and structures
- Learning from the neuropsychology of ethical behavior
- The extraterritorial application of EU legislation
- Ethics specific research support (genomics, consent, training and education etc)
- WTP





# Ethics in the Horizon

- Increase awareness and training ( use business ethics research?)
- Trust and simplification (but with trust comes added responsibility)
- More responsibility to the host institutions and to the researchers - Ethics ready proposals! more work for RECs and the EC dept. of research institutions
- Opt for an Ethics evaluation process that brings ethics and scientific evaluation closer together
- Increased Follow-up actions (move away from the binary model to a 'conversation')



## RRI: 'cross-cutting action' in H2020

Responsible Research and Innovation

*Three priorities*

- (a) Excellent science
- (b) Industrial leadership,
- (c) Societal challenges

Ensuring societal engagement in research and innovation

SiS legacy





## Who is involved

- *RECs! NECs !*
- *Research Institutions*
- *National competent authorities (CT,DPP,AW,DU)*
- *Individual researchers*
- *Industry*
- *Citizens (NGOs, students, policy makers)*

*And*

*The EU*





## **Compliance of applicants with ethical rules: a legal obligation (1)**

**Ethics review is part of the legal text in Horizon;**

**limited scope (relates directly to hESCs) but allows extension  
to all areas**

**The Horizon text makes direct references to basic principles**



## EC proposal on Horizon 2020

### Article 16

#### Ethical principles

- 'All the research and innovation activities carried out under Horizon 2020 shall comply with ethical principles and relevant national, Union and international legislation, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols.'
- 'Particular attention shall be paid to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of a person, the right to non-discrimination and the need to ensure high levels of human health protection.'





## Compliance of applicants with ethical rules: a legal obligation (2)

Rules of participation:

Article 12: Requests Ethics approvals and allows the exclusion of proposals that do not fulfil the ethics criteria

Article 13: Specific to Ethics Review and specifies that all research funded outside the EU should respect (also) EU legislation

Article 16 : Introduces the legal frame for the establishment of the ethics advisor/board and the process of ethics follow-up and audit

Article 19: Introduces the role of the NECs and the RECs in the implementation phase of the project

Article 41: introduces ethics principles in the transfer and licensing of results



## **Ethics** in **Inclusive, innovative and secure societies**

- *Working towards a European framework of ethics (a European Ethics statement)*
- *Starting in 2013 with an ethics assessment MML bringing together all relevant actors in Europe.*

*The NECs have a major role to play*





# Horizon Ethics Review

- 1. Ethics closer to the scientific evaluation*
- 2. Human protection and animal welfare*
- 3. Conditional approvals in order not to unnecessarily delay good research from taking place*
- 4. Ethics ready applications*
- 5. Reinforce Ethics Follow-up and Audit*
- 6. Increase the oversight for international cooperation*
- 7. Reinforce Ethics structures in the member states and adhesion countries*
- 8. Connect to RRI*



*Ethics Review Report (ERR) becomes a contractual obligation*





## Ethics follow-up and audit

- introduced in 2010
- experts can ask for an Ethics follow-up/audit (EFA)
- conducted by experts specialised in ethical issues
- on the date of the first reporting period at the earliest
  - the objective is to assist the beneficiaries to deal with the ethical issues raised and - if necessary - take preventative and/or corrective measures



## More information

**Website on Ethics review:**

[http://cordis.europa.eu/fp7/ethics\\_en.html](http://cordis.europa.eu/fp7/ethics_en.html)

<http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1289>

**Ethics Review Help Desk:**

- all FP7 funded projects can request specific assistance on ethical issues from the Ethics Review Help Desk:

[http://www.cordis.europa.eu/fp7/get-support\\_en.html](http://www.cordis.europa.eu/fp7/get-support_en.html)



## More information

### Horizon 2020

[http://ec.europa.eu/research/horizon2020/index\\_en.cfm](http://ec.europa.eu/research/horizon2020/index_en.cfm)

### Science in Society Portal (EUROPA)

[http://ec.europa.eu/research/science-society/home\\_en.cfm](http://ec.europa.eu/research/science-society/home_en.cfm)

### European Research Area

[http://ec.europa.eu/research/era/index\\_en.htm](http://ec.europa.eu/research/era/index_en.htm)



**Thank you for your attention!**

