ETHICS ISSUES TABLE
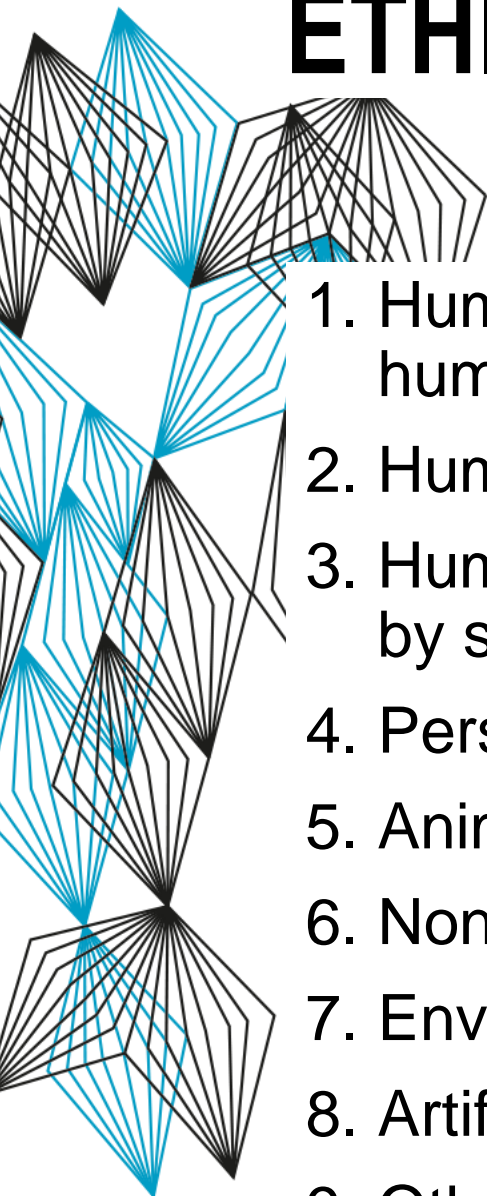
1. Human embryonic stem cells and human embryos
2. Humans
3. Human cells / Tissues (not covered by section 1)
4. Personal data
5. Animals
6. Non-EU countries
7. Environment, health and safety
8. Artificial intelligence
9. Other ethics issues

If there is any question in the table answered with "yes", you need an **ethics self-assessment**.

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ETHICS SELF-ASSESSMENT

ETHICS SELF-ASSESSMENT

If you have entered any issues in the ethics issue table, you must perform an ethics self-assessment in accordance with the guidelines "How to Complete your Ethics Self-Assessment" and complete the table below.

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 E U / 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.

Support:

- Self-assessment checklists from the domain-specific ethics committees of the UT
- Flow chart for the appropriate use of personal data in research
- Ask Petri de Willigen

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ETHICS SELF-ASSESSMENT

How to complete your ethics self-assessment
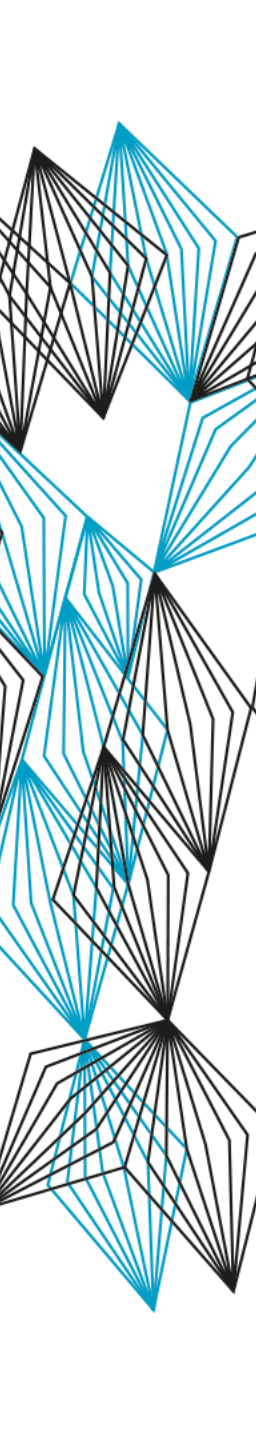
"For projects with a significant ethics dimension, consider involving/appointing an ethics advisor/advisory board."

-> Not a role for the ethics committee, but they can advice on who to ask.

Moreover, you must obtain:
 - the necessary ethics approvals (if required)

(UT Policy says: "Submission of research for ethical review is mandatory in case of research involving human subjects or potentially sensitive data about or from individuals, groups or organizations.")

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SECURITY ISSUES TABLE

- EU classified information (EUCI)
- Misuse
- Other security issues

Support from:

Knowledge Safety Office

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International sanctions, dual use and exemptions

In case:

- You are recruiting staff and have applications from outside Europe, or

- You are planning to visit one or more companies/knowledge institutes/research centers/lab facilities outside Europe, or

- You are planning to receive one or more visitors, researchers, students, companies, from outside Europe (exchange visits, training or workshops, seminars), or

- You are planning to set up a cooperation agreement (NDA, MoU, LoI, contract, other) with an institute in another country outside Europe, or

- You are planning to set up shared facilities or attract investments from an institute / company outside Europe

Contact the knowledge safety office (KSO)

- The Knowledge Safety Office (KSO) will ask you for a proposal on the objective, the topics and/or technologies of the anticipated visit/ cooperation/ training/ workshop/ exchange/ facilities and for key-words.

1. Is the foreseen cooperation or agreement with a person, institute or authority in a non-EU country?

2. Is any of the [*technology / material / software / methods/ equipment or knowledge thereof*] on the list of Strategic and military goods?

Proceed as usual

Yes, or I am not sure

3. Is the country on the Sanctions list? (also answer this when it involves facilitation of visa, appointments or secondments, or arrangements to access of lab facilities)

4. Is the group, that the (potential) researcher works for, one of 4 groups in ET with specific restrictions in MTCR sensitive domains?

5. Could this [*technology / material / software / methods/ equipment or knowledge thereof*] (now or in the future) be used for military/security purposes even when this is **not** part of the foreseen cooperation? Dual use technology

6. Is the foreseen cooperation with a partner from China or a European affiliation thereof? China policy and subject to EB approval

7. Is the foreseen cooperation with a military (research, education or training) institute? Subject to EB approval

None of these? Check box on form (with name)

If any one of the above questions is answered with yes or with 'I am not sure', contact the Knowledge Safety Office (KSO), who will assist you

Advice from KSO to the Faculty Board or EB to decide

with a cc to the FB, KSO, legal advisor, agreement /contract officer and researcher or involved staff member

Proceed as usual

Screening required (MTCR)

Classification request or export permit required

Not allowed, reject

follow-up