

ETHICS ASSESSMENT

CONSENSUS REPORT (CR)

Programme: *Preparatory Action on Defence Research (PADR)*
Call for proposals: **Strategic Technology Foresight (PADR-STF-2017)**
Topic: **PADR-STF-01-2017** – The European Defence Research Runway
Type of action: Coordination and Support Action (CSA)
Call deadline: 28.09.2017

Proposal: [REDACTED]

Date of ethics assessment: between 30.10.2017 and 03.11.2017

Ethics reviewers:

Names (and role, if other than evaluator)		
Name SURNAME	Role	Signature
[REDACTED]	ELSA Expert	[REDACTED]
	ELSA Expert	
	ELSA Expert	

Proposal data:

Duration (months): 18

Applicants: [REDACTED]

[REDACTED]

[REDACTED]

Project abstract: [REDACTED]

[REDACTED]

[REDACTED]

1. Identifying ethics issues

Please go through the table below and indicate by answering 'YES' or 'NO' if the proposed research has features which gives it an ethical dimension. (Your answer will NOT prejudge the ethics opinion – which depends from the analysis to be carried out further down. For example, if personal data is anonymised, you should answer 'YES', but the proposal will nevertheless get 'ethics clearance' without conditions because the issue is already addressed).

If no 'YES' is/needs to be ticked, immediately proceed to the 'ethics opinion' and give unconditional 'ethics clearance'.¹

Section 1: HUMANS		YES/NO	Page
Does this research involve human participants?		NO	
If YES:	- Are they volunteers for technical research?		
	- Are they persons unable to give informed consent?		
	- Are they vulnerable individuals or groups?		
	- Are they children/minors?		
	- Are they patients?		
	- Are they healthy volunteers for medical studies?		
	- Are they members of the Armed Forces?		
Does this research involve physical interventions on the study participants?		NO	
If YES:	- Does it involve invasive techniques?		
	- Does it involve collection of biological samples?		

¹ When compiling the table, it is advised to consider also the following reference documents for arms control:

- Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their Destruction (1993)
- Hague conventions (1899)
 - Declaration concerning the Prohibition of the Use of Projectiles with the Sole Object to Spread Asphyxiating Poisonous Gases
 - Declaration concerning the Prohibition of the Use of Bullets which can Easily Expand or Change their Form inside the Human Body such as Bullets with a Hard Covering which does not Completely Cover the Core, or containing indentations

Section 2: HUMAN CELLS / TISSUES		YES/NO	Page
Does this research involve human cells or tissues? (other than from Human Embryos/Foetuses, see section 1)		NO	
If Yes	- Are they available commercially?		
	- Are they obtained within this project?		
	- Are they obtained from another project, laboratory or institution?		
	- Are they obtained from a biobank?		

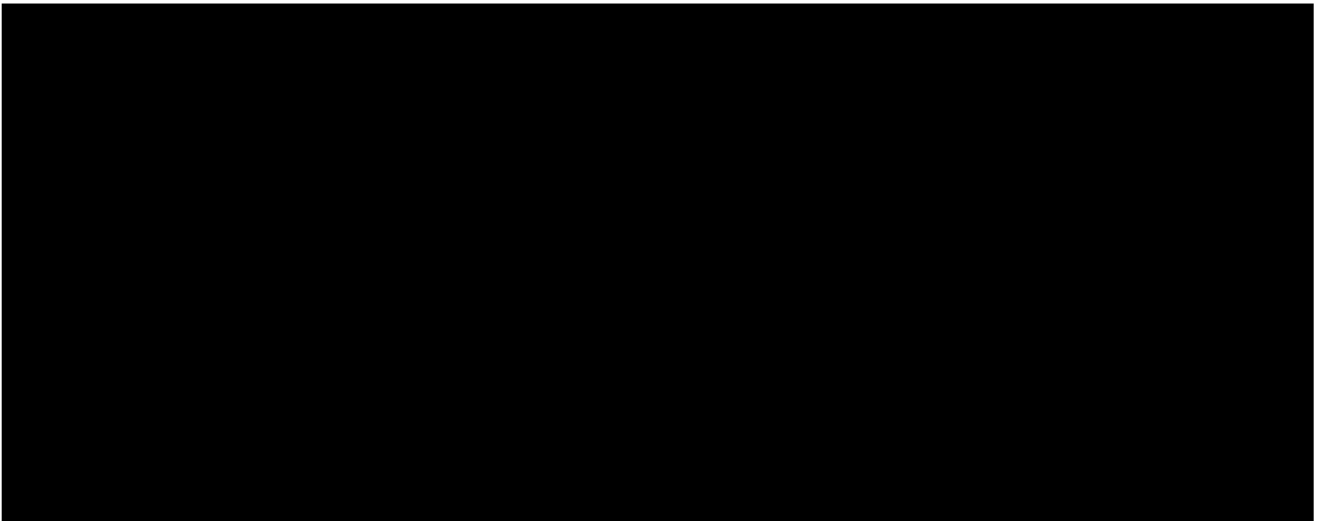
Section 3: PERSONAL DATA		YES/NO	Page
Does this research involve personal data collection and/or processing?		YES	
If Yes	- Does it involve the collection and/or processing of sensitive personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?	YES p.30, 33	
	- Does it involve tracking or observation of participants?	YES	
Does this research involve further processing of previously collected personal data (secondary use)?		NO	

Section 4: ENVIRONMENT & HEALTH AND SAFETY		YES/NO	Page
Does this research involve the use of elements that may cause harm to the environment, to animals or plants?		NO	
Does this research deal with endangered fauna and/or flora/protected areas?		NO	
Does this research involve the use of elements that may cause harm to humans, including research staff?		NO	

Section 5: MISUSE		YES/NO	Page
Does this research have the potential for misuse of research results?		YES	p. 81

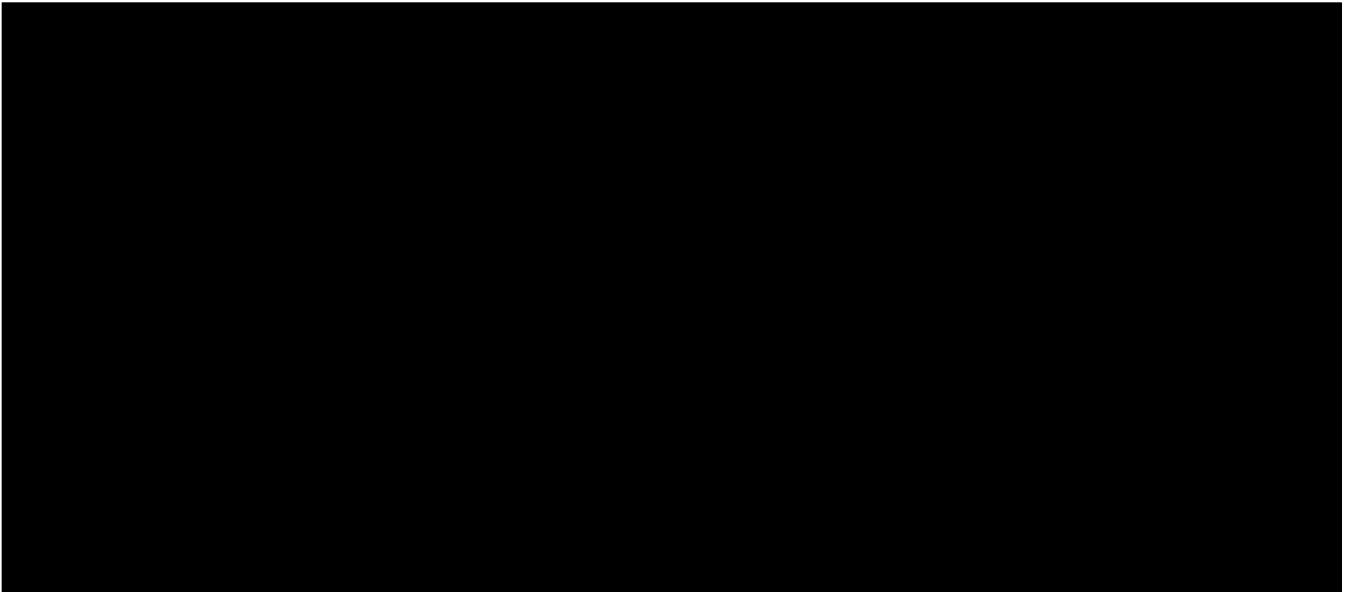
Section 6: OTHER ETHICS ISSUES	YES/NO	Page
Are there any other ethics issues that should be taken into consideration? <hr/> Those related to Task 2.3 – Populate the databases of sources, trends, uncertainties and technologies <hr/>	YES	p.32

Comments on identified ethics issues *(optional)*:




2. Analysis of the ethical dimension

ANALYSIS:



3. Ethics recommendations

 *Ethics recommendations are suggestions and advice provided to the applicant(s); they do not become contractual obligations.*


RECOMMENDATIONS:

1. Ensure gender balance in research team and in decision-making process as proposed on page 18.
2. Prepare an ethics Code of Conduct (e.g. best practises for the management of ELSA in the project including decision-making process for the External Advisory Board

4. Ethics opinion

Please select below the appropriate ethics opinion for this proposal (only one can be selected) and indicate the ethics requirement(s) you consider necessary.

If additional information is needed, request this information (by ticking the first button) before you give your ethics opinion. Once the information is received, the report will be reopened for your ethics opinion.

☐ **'additional information is needed'** ( *only if the elements can easily be gathered and quickly transmitted.*)

Additional information needed:

No additional information is needed

☐ **ethics clearance** (i.e. the proposal is 'ethics ready')

REASONS (*optional*):

N/A

☒ **conditional ethics clearance** (i.e. clearance is subject to conditions, i.e. ethics requirements. The requirements must either be fulfilled before grant signature or become part of the grant agreement)

ETHICS REQUIREMENTS:

It would be preferable to appoint a person, within the participants, who assess, on a-priori base, the compliance of the different phases of the projects with ethical aspects before their implementation, and who acts as focal point during the external audits by the External Advisory Board.

REASONS: N/A

5. Sensitivity level

How would you judge the overall sensitivity of the proposal (i.e. how deeply the ethics aspects of the project should be looked into)?

☒ Normal

REASONS (*optional*):

N/A

6. Ethics checks

In your opinion, would an ethics check during the project implementation be necessary?:

☒ YES

☐ NO

REASONS (*mandatory if YES*):

A mid-term and/or final review on how ELSA have been managed throughout the development of the project is/are deemed necessary in particular for the handling of personal data and privacy.

