

# Na káve s NCP

## Dnes o etike a integrite v projektoch HE



Soňa Ftáčniková  
NCP pre HE  
výskumná etika a integrita



Financovaný  
Európskou úniou



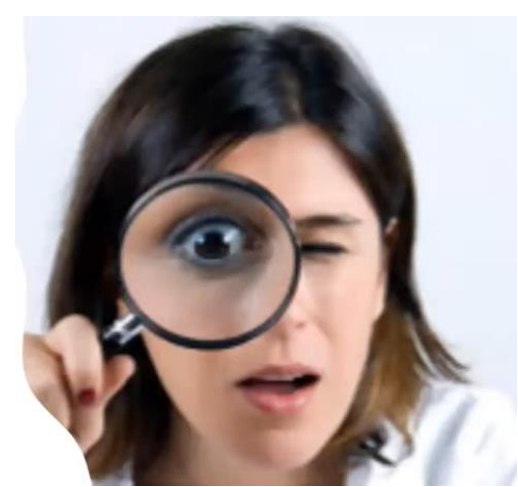
PROGRAM  
SLOVENSKO

MINISTERSTVO  
ŠKOLSTVA, VÝSKUMU,  
VÝVOJA A MLÁDEŽE  
SLOVENSKEJ REPUBLIKY



NÁRODNÁ  
KANCELÁRIA  
HORIZONTU

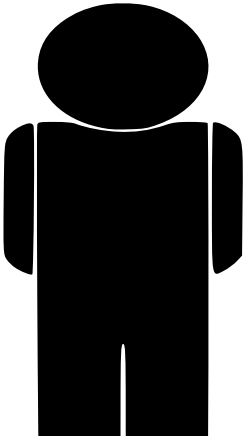
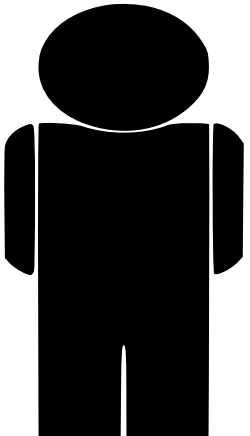
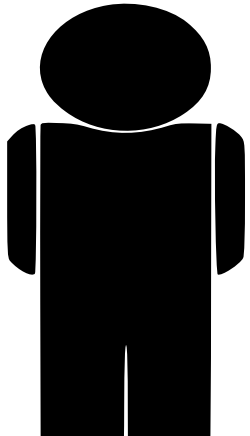
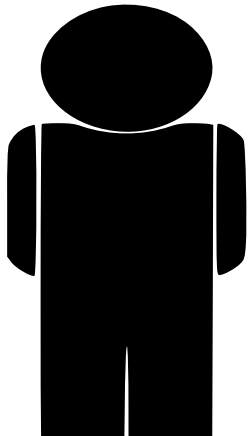
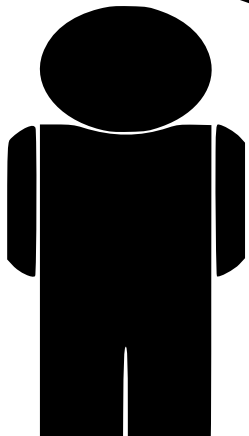
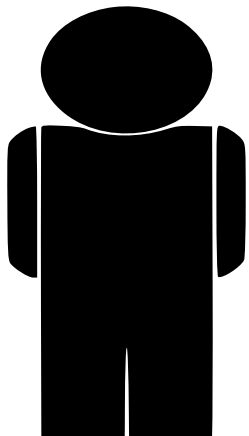
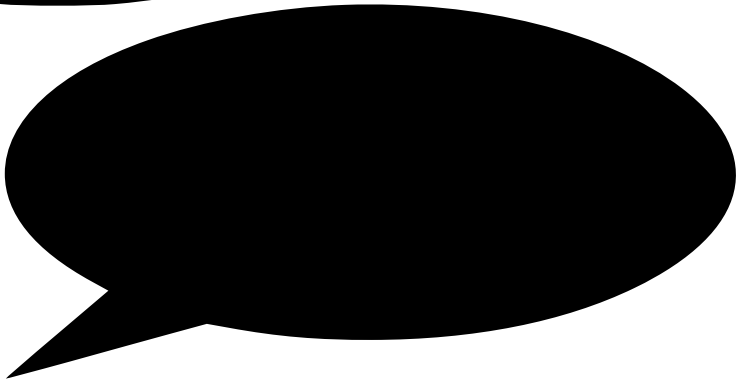
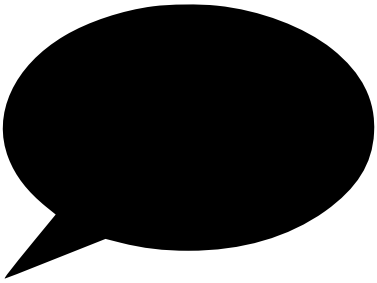
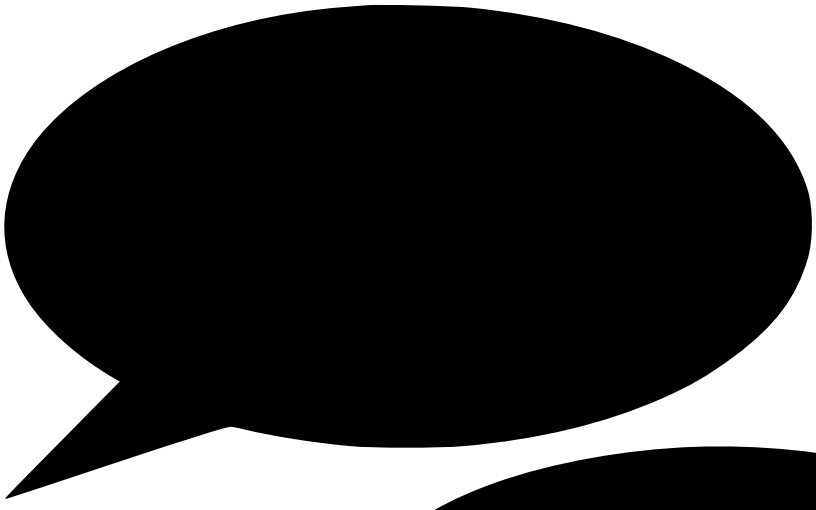
# Otázky



1. Kedy sa máte zaoberať etickým rozmerom Vášho projektu?
2. Ako a kde sa pri podávaní návrhu stretnete s etikou a integritou?
3. Kto má zodpovednosť za ošetrovanie etiky v projektoch?
4. Kto/čo Vám pomôže pri „ošetrení“ eticky problematických otázkach?
5. Aká je procedúra na hodnotenie etiky v projektoch HE ?
6. Čo je to výskumná integrita a kde a ako je v HE ošetrovaná?
7. Ako je to s vývojom a používaním AI v projektoch HE?
8. Môže byť projekt nepodporený z dôvodu nesplnenia etických štandardov?
9. Čo sú kompletne a seriózne etické problémy?
10. ....?

Kedy sa zaoberať etickým  
rozmerom projektu?

Prečo etické hodnotenie?



## PREČO JE HODNOTENIE ETICKÉHO ROZMERU INTEGRÁLNOU SÚČASŤOU HODNOTENIA PROJEKTOV HE



1. Uistiť verejnosť, že výskum v HEU spĺňa najvyššie etické štandardy

2. Napomôcť excelentnosti v HEU  
**excelentný výskum = etický výskum**





ETHICS SELF-ASSESSMENT

## ETICKY CITLIVÉ OBLASTI v HE (subjekty/objekty výskumu)

1. Ľudské embryá a embryotické kmeňové bunky
2. Ľudské subjekty
3. Ľudské tkanivá a bunky
4. Osobné dáta
5. Zvieratá
6. Nečlenské krajiny EU
7. Životné prostredie, zdravie a bezpečnosť
8. Umelá inteligencia
9. Potenciálne zneužitie výsledkov výskumu / Dual use (security panel)/misuse (security+ethics panel)
10. Iné etické problémy/otázky (oblasť neurológie, nanotechnológie, androidy, kyborgy...)



Sú oblasti, ktoré EC  
v programe HE nefinancuje?



## VYLÚČENÉ Z FINANCOVANIA



### Výskumné aktivity:

- zamerané na klonovanie ľudských bytostí za účelom reprodukcie
- sledujúce cieľ modifikovať genetické dedičstvo ľudstva, keď by sa tieto modifikácie stali dedičnými
- sledujúce vznik alebo zničenie ľudského embrya, len pre účely výskumu alebo pre účely získania kmeňových buniek,

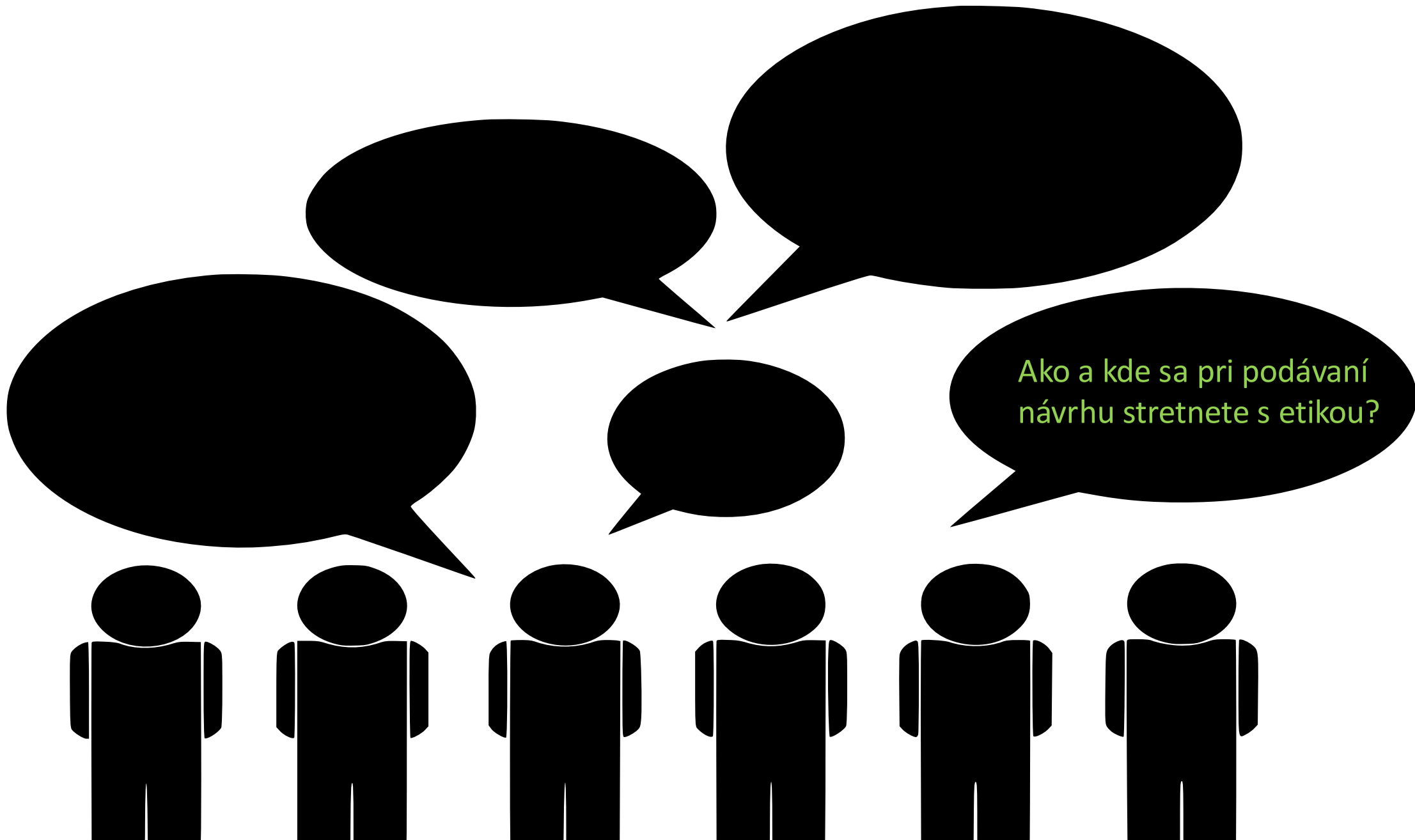
Výskumné aktivity a inovácie zamerané výlučne na civilné ciele



## Actions NOT eligible for funding

### Article 18 (2)

- Research on human stem cells, both adult and embryonic, **may be financed depending both on the contents of the scientific proposal and the legal framework of the Member States involved.**
- **No funding** shall be provided within or outside the Union for research activities that are **prohibited in all Member States.**
- **No funding** shall be provided in a Member State for a research activity which is **forbidden in that Member State.**



Ako a kde sa pri podávaní návrhu stretnete s etikou?

## 4 – Ethics and Security

**Ethics issues table**  
 This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering "Yes" or "No". If you answer "Yes" to any of the questions, you must indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and provide additional information on that ethics issue in the Ethics Self-Assessment section.  
 For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines ["How to Complete your Ethics Self-Assessment"](#).

|  |   |  |
|--|---|--|
| <b>1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS</b>   |   |  |
| Does this activity involve Human Embryonic Stem Cells (hESCs)?   |   | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Will they be directly derived from embryos within this project?                             | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they previously established cell lines?   | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are the cell lines registered in the European registry for human embryonic stem cell lines? | <input type="radio"/> Yes <input type="radio"/> No |
| Does this activity involve the use of human embryos?   |   | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Will the activity lead to their destruction?  | <input type="radio"/> Yes <input type="radio"/> No |
| <b>2. HUMANS</b>   |   |  |
| Does this activity involve human participants?   |   | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Are they volunteers for non-medical studies (e.g. social or human sciences research)?       | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they healthy volunteers for medical studies?  | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they patients for medical studies?  | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they potentially vulnerable individuals or groups?                                      | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they children/minors?   | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they other persons unable to give informed consent?                                     | <input type="radio"/> Yes <input 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 type="radio"/> No |
| <b>IF YES:</b>   | Does it involve invasive techniques?  | <input type="radio"/> Yes <input type="radio"/> No |
|  | Does it involve collection of biological samples?   | <input type="radio"/> Yes <input type="radio"/> No |

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|  |  |  |
|--|--|--|
| 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 type="radio"/> No |
| <b>IF YES:</b>   | Is it a clinical trial?  | <input type="radio"/> Yes <input type="radio"/> No |
|  | Is it a low-intervention clinical trial?   | <input type="radio"/> Yes <input type="radio"/> No |
| <b>3. HUMAN CELLS / TISSUES (not covered by section 1)</b>   |  |  |
| Does this activity involve the use of human cells or tissues?  |  | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Are they human embryonic or foetal cells or tissues?   | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they available commercially?   | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they obtained within this project?   | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they obtained from another project, laboratory or institution?   | <input type="radio"/> Yes <input type="radio"/> No |
|  | Are they obtained from biobank?  | <input type="radio"/> Yes <input type="radio"/> No |
| <b>4. PERSONAL DATA</b>  |  |  |
| Does this activity involve processing of personal data?  |  | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Does it involve the processing of special categories of personal data (e.g. sexual lifestyle, ethnicity, genetic, biometric and health data, political opinion, religious or philosophical beliefs)?                   | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Does it involve processing of genetic, biometric or health data?   | <input type="radio"/> Yes <input type="radio"/> No |
|  | Does it involve profiling, systematic monitoring of individuals, or processing of large scale of special categories of data or intrusive methods of data processing (such as surveillance, geolocation tracking etc.)? | <input type="radio"/> Yes <input type="radio"/> No |
| Does this activity involve further processing of previously collected personal data (including use of pre-existing data sets, or sources, merging existing data sets)?   |  | <input type="radio"/> Yes <input type="radio"/> No |
| Is it planned to export personal data from the EU to non-EU countries?   |  | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Specify the type of personal data and countries involved:  |  |
| Is it planned to import personal data from non-EU countries into the EU or from a non-EU country to another non-EU country?  |  | <input type="radio"/> Yes <input type="radio"/> No |
| <b>IF YES:</b>   | Specify the type of personal data and countries involved:  |  |

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|  |  |
|--|--|
| <b>Application Forms</b>   |  |
| Proposal ID XXXXXXXXXX   | Acronym XXXXXXXX                         |
| Does this activity involve the processing of personal data related to criminal convictions or offences?  |  |
| <input type="radio"/> Yes <input type="radio"/> No   |  |
| <b>5. ANIMALS</b>  |  |
| Does this activity involve animals?  |  |
| <b>IF YES:</b>   | Are they vertebrates?                    |
|  | Are they non-human primates (NHP)?       |
|  | Are they genetically modified?           |
|  | Are they cloned farm animals?            |
|  | Are they endangered species?             |
| <b>6. NON-EU COUNTRIES</b>   |  |
| Will some of the activities be carried out in non-EU countries?  |  |
| <input type="radio"/> Yes <input type="radio"/> No   |  |
| <b>IF YES:</b>   | Specify the countries:                   |
| In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues?  |  |
| <input type="radio"/> Yes <input type="radio"/> No   |  |
| <b>IF YES:</b>   | 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.)? |  |
| <input type="radio"/> Yes <input type="radio"/> No   |  |
| 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? For data imports, see section 4.                          |  |
| <b>IF YES:</b>   | Specify material and countries involved: |
| Is it planned to export any material (other than data) from the EU to non-EU countries? For data exports, see section 4.   |  |
| <b>IF YES:</b>   | Specify material and countries involved: |
| Does this activity involve low and/or lower middle income countries? (if yes, detail the benefit-sharing actions planned in the self-assessment)   |  |
| <input type="radio"/> Yes <input type="radio"/> No   |  |
| Could the situation in the country put the individuals taking part in the activity at risk?  |  |
| <input type="radio"/> Yes <input type="radio"/> No   |  |
| <b>7. ENVIRONMENT, HEALTH and SAFETY</b>   |  |

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|   |                  |
|---|------------------|
| <b>Application Forms</b>  |                  |
| Proposal ID XXXXXXXXXX  | Acronym XXXXXXXX |
| Does this activity involve the use of substances or processes that may cause harm to the environment, to animals or plants (during the implementation of the activity or further to the use of the results, as a possible impact)?                                      |                  |
| <input type="radio"/> Yes <input type="radio"/> No  |                  |
| Does this activity deal with endangered fauna and/or flora / protected areas?   |                  |
| <input type="radio"/> Yes <input type="radio"/> No  |                  |
| Does this activity involve the use of substances or processes that may cause harm to humans, including those performing the activity (during the implementation of the activity or further to the use of the results, as a possible impact)?                            |                  |
| <input type="radio"/> Yes <input type="radio"/> No  |                  |
| <b>8. ARTIFICIAL INTELLIGENCE</b>   |                  |
| Does this activity involve the development, deployment and/or use of Artificial Intelligence based systems? (if yes, detail in the self-assessment whether that could raise ethical concerns related to human rights and values and detail how this will be addressed). |                  |
| <input type="radio"/> Yes <input type="radio"/> No  |                  |
| <b>9. OTHER ETHICS ISSUES</b>   |                  |
| Are there any other ethics issues that should be taken into consideration?  |                  |
| <input type="radio"/> Yes <input type="radio"/> No  |                  |
| Please specify: (Maximum number of characters allowed: 1000)  |                  |
| I confirm that I have taken into account all ethics issues above and that, if any ethics issues apply, I will complete the ethics self-assessment as described in the guidelines <a href="#">"How to Complete your Ethics Self-Assessment"</a> .                        |                  |
| <input type="checkbox"/>  |                  |

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## Application forms

Part A + dodatočné dokumenty ako Annex v part B

Proposal ID

Acronym

Ethics Self-Assessment

Prístup založený na požiadavkách primeraných etickému riziku

### Ethical dimension of the objectives, methodology and likely impact

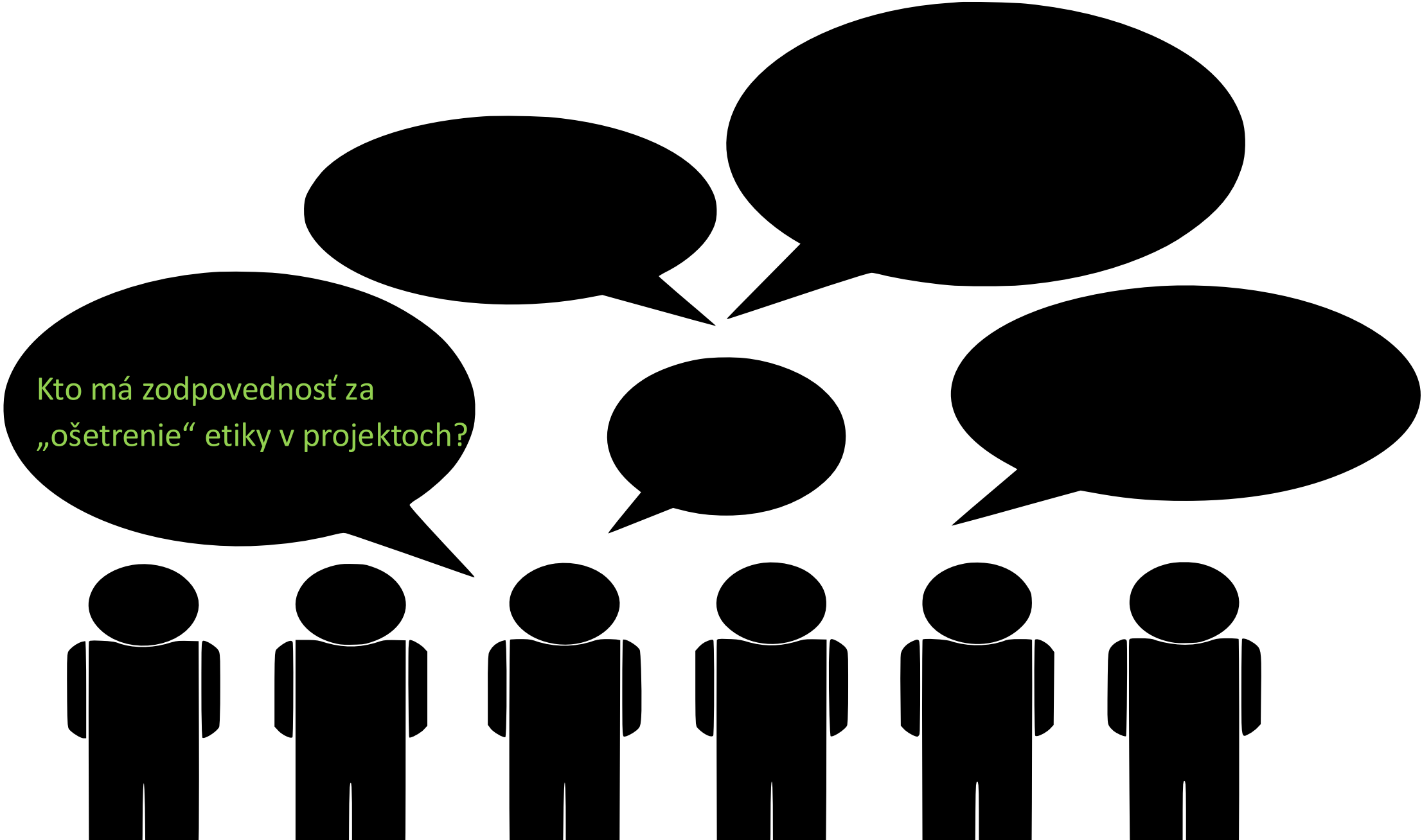
Explain in detail the identified issues in relation to:

- 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.)

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### 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.



Kto má zodpovednosť za „ošetrenie“ etiky v projektoch?



Konzorciá – koordinátor + partneri

Výskumné inštitúcie, kde sa výskum vykonáva – HO



ERC, MSCA - PI

Kto/čo mi pomôže pri eticky problematických otázkach?





[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide\\_horizon\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf)




[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf)



[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-by-design-and-ethics-of-use-approaches-for-artificial-intelligence\\_he\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-by-design-and-ethics-of-use-approaches-for-artificial-intelligence_he_en.pdf)



Soňa Ftáčniková  
NCP for Research Ethics and Integrity in HE



Aká je procedúra na hodnotenie etiky v projektoch HE ?

# Hodnotenie etického rozmeru projektu

## Application

- Ethics Issues Table
- Ethics **Self-Assessment**

## Shortlisted PROPOSALS

- Before Grant agreement!
- **Ethics Screening** of all proposals
- **Ethics Assessment** of proposals raising complex and/or serious ethics issues

## Ongoing RESEARCH PROJECTS

- Ethics Review, Checks, Audits for selected projects

| Ethics Summary Report   |                    |  |
|---|--------------------|--|
|   | Call Reference     |  |
|   | Proposal Number    |  |
|   | Acronym            |  |
| <b>Ethics Issues</b>  |                    |  |
| <b>Humans</b>   |                    |  |
| Does this activity involve human participants?  | Yes                |  |
| Are they volunteers for non medical studies (e.g. social or human sciences research)?   | Yes                |  |
| <b>Human cells / tissues</b>  |                    |  |
| Does this activity involve the use of human cells or tissues?   | Yes                |  |
| <b>Analysis of the ethical dimension</b>  |                    |  |
|   |                    |  |
| <b>Ethics recommendations</b>   |                    |  |
|   |                    |  |
| <b>Pre-Grant Requirements</b>   |                    |  |
|   |                    |  |
| <b>Post-Grant Requirements</b>  |                    |  |
|   |                    |  |
| <b>External Independent Ethics Advisor/Board</b>  |                    |  |
| In your opinion, would it be exceptionally necessary to appoint an external independent ethics advisor or an ethics board (with a minimum of three experts) reporting periodically to the Commission/Agency/funding body?   | Yes (Ethics Board) |  |
|   |                    |  |
| <b>Ethics Check or Review during the project</b>  |                    |  |
| In your opinion, would an Ethics Check or Ethics Review be necessary during the project?  | Yes (Ethics Check) |  |
|   |                    |  |
| <b>General requirement applicable to all grants</b>   |                    |  |
| <small>The beneficiaries must ensure that all ethics issues related to activities in the grant are addressed in compliance with ethical principles, the applicable international and national law, and the provisions set out in the Grant Agreement. This includes the ethics issues identified in this report and any additional ethics issues that may emerge in the course of the grant. In case any substantial new ethics issues arise, beneficiaries should inform the granting authority. For each ethics issue applicable, beneficiaries must follow the guidance provided in the <a href="#">How to complete your ethics self-assessment</a>.</small> |                    |  |

# Ethics Assessment

## Ethics requirements (following Ethics Assessment):

- Either ethics deliverables (e.g., to request supporting documents or additional reports)
- Or part of the grant agreement before signature e.g., by changing the Description of the Action (Annex 1) in order to introduce a justification, change a methodology, ...



Čo sú to komplexné a seriózne  
etické problémy v projekte?



## RISK BASED PROCESS

Ľudské embryonálne kmeňové bunky  
Ľudské embryá

# Serious and/or complex ethics issues

## What are **SERIOUS** ethics issues?

### General criteria:

- The research has the potential to **violate fundamental rights and freedoms or undermine fundamental EU values**
- The research has the potential to result in **significant harm** to researchers, research participants, the public, animals or the environment
- The research methods/results raise doubts about **integrity of the data and information** included in the proposal or the **integrity of the practices of the researchers** (see [European Code of Conduct for Research Integrity](#))

# Serious and/or complex ethics issues

## What are **COMPLEX** ethics issues?

### General criteria:


- The research involves the **development or application of particularly complicated methods or technologies that have not been sufficiently tested** and give rise to uncertainty regarding safety, fundamental rights, or integrity.
- Ethics issues **at scale** (e.g., due to the number of research participants, controversial methods, high risk technologies or jurisdictions involved)
- **Multiple/intersectional ethics issues** (issues may compound and exacerbate negative impacts)

# Serious and/or complex ethics issues

## What are **SERIOUS AND COMPLEX** ethics issues?

### General criteria:

- The area of research is the subject of widespread **ethical debate** among scientists and ethicists
- There are grave doubts regarding the **capacity** of the researchers or the participating institutions to mitigate the risks effectively
- High risk for **misuse** (beyond security), and adequate measures to mitigate or contain this risk cannot be identified or implemented
- Proposal presents objective and **serious lack of awareness of key ethical issues**



Môže byť môj projekt  
nepodporený z dôvodu  
nesplnenia etických  
štandardov?


# yes



Ak návrh projektu neprejde druhým kolom „ethical assessment“, nie je oprávnený na financovanie a bude zamietnutý.

Budete informovaní

- rozhodnutie zamietnuť váš návrh
- dôvody rozhodnutia
- ako sa proti nemu môžete odvolať



Kde a ako je výskumná  
integrita ošetrená v HE?



[The European Code of Conduct for Research Integrity - ALLEA](#)

## Application forms

Proposal ID

Acronym

### Declarations

Field(s) marked \* are mandatory to fill

- 1) We declare to have the explicit consent of all applicants on their participation and on the content of this proposal. \*
- 2) We confirm that the information contained in this proposal is correct and complete and that none of the project activities have started before the proposal was submitted (unless explicitly authorised in the call conditions).
- 3) We declare:
- to be fully compliant with the eligibility criteria set out in the call
  - not to be subject to any exclusion grounds under the [EU Financial Regulation 2018/1046](#)
  - to have the financial and operational capacity to carry out the proposed project.
- 
- 4) We acknowledge that all communication will be made through the Funding & Tenders Portal electronic exchange system and that access and use of this system is subject to the [Funding & Tenders Portal Terms and Conditions](#).
- 5) We have read, understood and accepted the [Funding & Tenders Portal Terms & Conditions](#) and [Privacy Statement](#) that set out the conditions of use of the Portal and the scope, purposes, retention periods, etc. for the processing of personal data of all data subjects whose data we communicate for the purpose of the application, evaluation, award and subsequent management of our grant, prizes and contracts (including financial transactions and audits).
- 6) We declare that the proposal complies with ethical principles (including the highest standards of research integrity as set out in the [ALLEA European Code of Conduct for Research Integrity](#), as well as applicable international and national law, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols. [Appropriate procedures, policies and structures](#) are in place to foster responsible research practices, to prevent questionable research practices and research misconduct, and to handle allegations of breaches of the principles and standards in the Code of Conduct.
- 7) We declare that the proposal has an exclusive focus on civil applications (activities intended to be used in military application or aiming to serve military purposes cannot be funded). If the project involves dual-use items in the sense of [Regulation 428/2009](#), or other items for which authorisation is required, we confirm that we will comply with the applicable regulatory framework (e.g. obtain export/import licences before these items are used).
- 8) We confirm that the activities proposed do not:
- aim at human cloning for reproductive purposes;
  - intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
  - intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.
  - lead to the destruction of human embryos (for example, for obtaining stem cells)
- These activities are excluded from funding.
- 
- 9) We confirm that for activities carried out outside the Union, the same activities would have been allowed in at least one EU Member State.

The coordinator is only responsible for the information relating to their own organisation. Each applicant remains responsible for the information declared for their organisation. If the proposal is retained for EU funding, they will all be required to sign a declaration of honour.

**False statements** or incorrect information may lead to administrative sanctions under the EU Financial Regulation.

### Declarations

These declarations can be filled in by any coordinator contact(s). All declarations are mandatory.

- |   |                          |
|---|--------------------------|
| 1) We declare to have the explicit consent of all applicants on their participation and on the content of this proposal.  | <input type="checkbox"/> |
| 2) We confirm that the information contained in this proposal is correct and complete and that none of the project activities have started before the proposal was submitted (unless explicitly authorised in the call conditions).   | <input type="checkbox"/> |
| 3) We declare: <ul style="list-style-type: none"><li>- to be fully compliant with the eligibility criteria set out in the call</li><li>- not to be subject to any exclusion grounds under the <a href="#">EU Financial Regulation 2018/1046</a></li><li>- to have the financial and operational capacity to carry out the proposed project.</li></ul>   | <input type="checkbox"/> |
| 4) We acknowledge that all communication will be made through the Funding & Tenders Portal electronic exchange system and that access and use of this system is subject to the <a href="#">Funding &amp; Tenders Portal Terms &amp; Conditions</a> .  | <input type="checkbox"/> |
| 5) We have read, understood and accepted the <a href="#">Funding &amp; Tenders Portal Terms &amp; Conditions</a> and <a href="#">Privacy Statement</a> that set out the conditions of use of the Portal and the scope, purposes, retention periods, etc. for the processing of personal data of all data subjects whose data we communicate for the purpose of the application, evaluation, award and subsequent management of our grant, prizes and contracts (including financial transactions and audits).   | <input type="checkbox"/> |
| 6) We declare that the proposal complies with ethical principles (including the highest standards of research integrity as set out in the <a href="#">ALLEA European Code of Conduct for Research Integrity</a> , as well as applicable international and national law, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols. <a href="#">Appropriate procedures, policies and structures</a> are in place to foster responsible research practices, to prevent questionable research practices and research misconduct, and to handle allegations of breaches of the principles and standards in the Code of Conduct. | <input type="checkbox"/> |
| 7) We declare that the proposal has an exclusive focus on civil applications (activities intended to be used in military application or aiming to serve military purposes cannot be funded). If the project involves dual-use items in the sense of <a href="#">Regulation 2021/821</a> , or other items for which authorisation is required, we confirm that we will comply with the applicable regulatory framework (e.g. obtain export/import licences before these items are used).   | <input type="checkbox"/> |
| 8) We confirm that the activities proposed do not: <ul style="list-style-type: none"><li>- aim at human cloning for reproductive purposes;</li><li>- intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or</li><li>- intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.</li><li>- lead to the destruction of human embryos (for example, for obtaining stem cells)</li></ul> These activities are excluded from funding.                        | <input type="checkbox"/> |
| 9) We confirm that for activities carried out outside the Union, the same activities would have been allowed in at least one EU Member State  | <input type="checkbox"/> |
| 10) <i>[Additional option for LUMP SUM Grants: For Lump Sum Grants with a detailed budget table: We understand and accept that the EU lump sum grants must be reliable proxies for the actual costs of a project and confirm that the detailed budget for the proposal has been established in accordance with our usual cost accounting practices and in compliance with the basic eligibility conditions for EU actual cost grants (see <a href="#">AGA — Annotated Grant Agreement, art 6</a>) and exclude costs that are ineligible under the Programme. Purchases and subcontracting costs must be done taking into</i>  | <input type="checkbox"/> |

Version of template used

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Last saved dd/mm/yyyy HH:mm

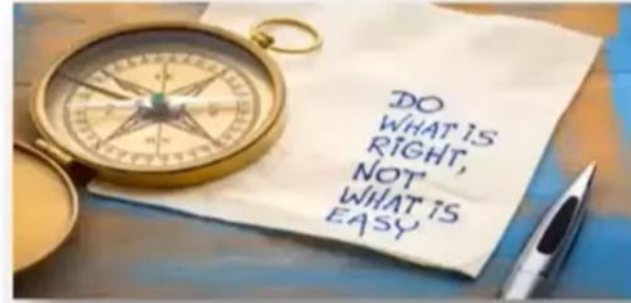
This proposal version was submitted by [Name, FAMILY NAME] on [dd/mm/yyyy HH:mm:ss] Brussels Local Time. Issued by the Funding and Tenders Portal Submission Service.



Ako je to s vývojom a používaním  
AI v projektoch HE?

Ako je to hodnotené v paneloch?

# Dôveryhodná umelá inteligencia *v Horizon Europe*



Technická robustnosť bude hodnotená v procese odborného vedeckého hodnotenia

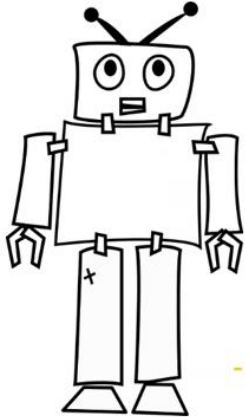
Všetky etické aspekty súvisiace s vývojom a použitím systémov a techník umelej inteligencie budú hodnotené etickým panelom

# Umelá inteligencia - ETIFIKÁCIA

All AI-based systems or techniques used or developed will be trustworthy (dôveryhodná): ethical, lawful and robust, with particular attention to safety, accuracy, reliability and explainability.

- Mohol by systém/technika umelej inteligencie stigmatizovať alebo diskriminovať ľudí (na základe pohlavia, rasy, etnického/ sociálneho pôvodu, veku, zdravotného postihnutia, sexuálnej orientácie, náboženstva, politickej príslušnosti atď.)?
- Intereaguje systém/technika umelej inteligencie, nahrádza alebo ovplyvňuje rozhodovacie procesy ľudí (napr. otázky ovplyvňujúce ľudský život, zdravie, blahobyt alebo ľudské práva, alebo hospodárske, sociálne alebo politické rozhodnutia)?





## Ethics Issues Table (Part A)

| 8. ARTIFICIAL INTELLIGENCE | Does this activity involve the development, deployment and/or use of Artificial Intelligence? (if yes, detail in the self-assessment whether that could raise ethical concerns related to human rights and values and detail how this will be addressed). | Page |
|----------------------------|---|------|
|                            | <input checked="" type="radio"/> Yes <input type="radio"/> No   |      |

*Does this activity involve the development, deployment and/or use of Artificial Intelligence based systems?*

→ Detail **in the self-assessment** whether that could raise ethical concerns related to human rights and values and detail how this will be addressed

**HOW?**



### Guidance on the use of generative AI tools for the preparation of the proposal

When considering the use of generative artificial intelligence (AI) tools for the preparation of the proposal, it is imperative to exercise caution and careful consideration. The AI-generated content should be thoroughly reviewed and validated by the applicants to ensure its appropriateness and accuracy, as well as its compliance with intellectual property regulations. Applicants are fully responsible for the content of the proposal (even those parts produced by the AI tool) and must be transparent in disclosing which AI tools were used and how they were utilized.

Specifically, applicants are required to:

- Verify the accuracy, validity, and appropriateness of the content and any citations generated by the AI tool and correct any errors or inconsistencies.
- Provide a list of sources used to generate content and citations, including those generated by the AI tool. Double-check citations to ensure they are accurate and properly referenced.
- Be conscious of the potential for plagiarism where the AI tool may have reproduced substantial text from other sources. Check the original sources to be sure you are not plagiarizing someone else's work.
- Acknowledge the limitations of the AI tool in the proposal preparation, including the potential for bias, errors, and gaps in knowledge.

## Výskumná integrita použitie GenAI



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Established by the European Commission

**While AI is a powerful ally, it's important to avoid some common pitfalls.  
Here are a few mistakes to watch out for:**

- **Over-Reliance on AI:**

AI can assist but should never replace your expertise. Always review and personalize the content generated.

- **Ignoring Specific Requirements:**

Each grant has unique criteria. Ensure that your proposal aligns with the specific expectations of the funder.

- **Plagiarism Risks:**

AI-generated content may inadvertently resemble existing texts. Always check for originality to avoid potential plagiarism issues.



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# The use of AI in grant proposal evaluation

## Guidelines for ERC panel members and remote reviewers

The position of the ERC Scientific Council on the use of AI in grant proposal evaluation is based on two key principles:

- (1) non-delegation of the evaluation task, and
- (2) privacy and confidentiality.

It follows that certain uses of AI in the evaluation are incompatible with these principles, while others are acceptable.

The non-delegation principle is violated wherever the AI system is tasked with understanding or evaluating a project proposal. For example, reviewers may **not** use an AI system to:

- summarise the proposal to avoid reading it in full ,
- provide any form of assessment, explicit or implicit, of the merit of the proposal.

The privacy and confidentiality principle is violated wherever the proposal is transmitted to an external AI system. For example, reviewers may not

Limited uses are permitted. Reviewers may use AI tools to improve the language of their reports or to search for general information, ....

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KANCELÁRIA  
HORIZONTU



[www.horizont-europa.sk](http://www.horizont-europa.sk)  
[horizont@cvtisr.sk](mailto:horizont@cvtisr.sk)



**Soňa Ftáčniková**

**NCP pre výskumnú etiku a integritu v HE**

 [sona.ftacnikova@cvtisr.sk](mailto:sona.ftacnikova@cvtisr.sk)



Ďakujem za Vašu pozornosť

