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Marie Skłodowska-Curie Actions
Individual Fellowships

Cross-cutting issues in MSCA



OUTLINE



- Responsible Research & Innovation
- Charter & Code
- Gender
- Open Science
- Ethical issues

RESPONSIBLE RESEARCH AND INNOVATION

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

*“In practice, RRI is implemented as a package that includes multi-actor and public engagement in research and innovation, 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.** [...]”*

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

HOW?

Via **public engagement, open access, gender, ethics, science education** (= elements of RRI) and **via integrated actions that promote institutional change** (→ Example MSCA: Charter & Code)

RESPONSIBLE RESEARCH AND INNOVATION

HORIZON 2020 – Work Programme 2016-2017

Marie Skłodowska-Curie Actions

The Marie Skłodowska-Curie actions endorse the [Horizon 2020 Responsible Research and Innovation](#) (RRI) cross-cutting issue, engaging society, integrating the gender and ethical dimensions, ensuring the access to research outcomes and encouraging formal and informal science education. All applicants to the Marie Skłodowska-Curie calls are encouraged to adopt an [RRI approach](#) into their proposals.

rri-tools.eu

MSCA IF EVALUATION CRITERIA →

IF - Marie Skłodowska-Curie Individual Fellowships		
Excellence	Impact	Quality and efficiency of the implementation
Quality and credibility of the research/innovation project; level of novelty, appropriate consideration of inter/multidisciplinary and gender aspects		Coherence and effectiveness of the work plan
Quality of the proposed measures to exploit and disseminate the project results		Appropriateness of the allocation of tasks and resources
Quality of the proposed measures to communicate the project activities to different target audiences		Appropriateness of the management structure and procedures, including risk management
		Appropriateness of the institutional environment (infrastructure)
	30%	20%
Weighing		
1	2	3
Priority in case of <i>ex aequo</i>		
NB: An overall threshold of 70% will be applied to the total weighted score.		

Gender

Charter & Code

Communication

Ethics

Open Science

EVALUATION CRITERIA MSCA IF versus TEMPLATE PART B – SECTION 1-3



Excellence	Impact	Quality and efficiency of the implementation
<p>1.1 Quality and credibility of the research/innovation project; level of novelty, appropriate consideration of inter/multidisciplinary and gender aspects</p>	<p>2.1 Enhancing the potential and future career prospects of the researcher</p>	<p>3.1 Coherence and effectiveness of the work plan</p>
<p>1.2 Quality and appropriateness of the training and of the two way transfer of knowledge between the researcher and the host</p>	<p>2.2 Quality of the proposed measures to exploit and disseminate the project results</p>	<p>3.2 Appropriateness of the allocation of tasks and resources</p>
<p>1.3 Quality of the supervision and of the integration in the team/institution</p>	<p>2.3 Quality of the proposed measures to communicate the project activities to different target audiences</p>	<p>3.3 Appropriateness of the management structure and procedures, including risk management</p>
<p>1.4 Capacity of the researcher to reach or re-enforce a position of professional maturity /independence</p>		<p>3.4 Appropriateness of the institutional environment (infrastructure)</p>

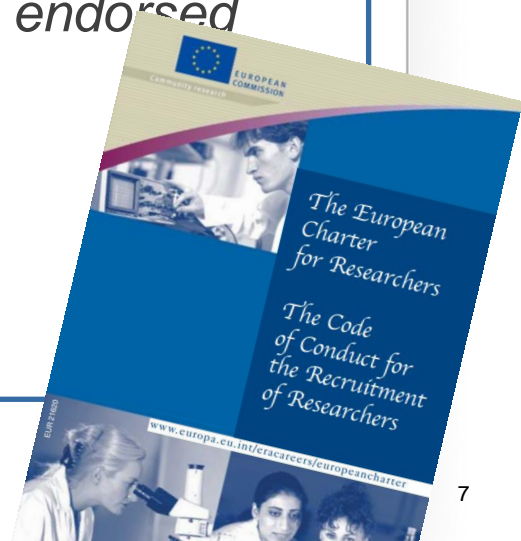
- ✓ Responsible Research & Innovation
 - **Charter & Code**
 - Gender
 - Open Science
 - Ethical issues

ONE ACTION TO PROMOTE 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 recruitment** and **attractive working and employment conditions** are recommended to be endorsed and applied by all the funded participants.“*

Cf. MSCA work programme 2016-2017, page 4



EUROPEAN CHARTER FOR RESEARCHERS & CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS



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Tipp! Check if

- the Host institution is among those which endorsed Charter & Code or
- is even one which received the **HR Excellence in Research award**

→ **Both are good resources & information for the IF proposal.**

<https://euraxess.ec.europa.eu>

- Watch out if the institution has gained other forms of recognition for promoting excellent framework conditions for researchers (ie the Athena SWAN award etc.).



If any yes: Ask for information from the host to integrate into the proposal

OUTLINE



- ✓ Responsible Research & Innovation
- ✓ Charter & Code
- **Gender**
- Open Science
- Ethical issues

EVALUATION CRITERIA MSCA IF



Excellence	Impact	Quality and efficiency of the implementation
<p>1.1 Quality of research of novelty, considered inter/multidisciplinary aspects</p>	<p>2.1 Enhancing the potential and future career prospects of the researcher</p>	<p>3.1 Coherence and effectiveness of the work plan</p>
<p>1.2 Quality and appropriateness of the training and of the two way transfer of knowledge between the researcher and the host</p>	<p>2.2 Quality of the proposed measures to exploit and disseminate the project results</p>	<p>3.2 Appropriateness of the allocation of tasks and resources</p>
<p>1.3 Quality of the supervision and of the integration in the team/institution</p>	<p>2.3 Quality of the proposed measures to communicate the project activities to different target audiences</p>	<p>3.3 Appropriateness of the management structure and procedures, including risk management</p>
<p>1.4 Capacity of the researcher to reach or re-enforce a position of professional maturity /independence</p>		<p>3.4 Appropriateness of the institutional environment (infrastructure)</p>

Gender aspects in research – if relevant (1.1)

OUTLINE

- ✓ Responsible Research & Innovation
- ✓ Charter & Code
- ✓ Gender
- **Open Science**
- Ethical issues

„Open Science“ covers:
Open Access, Open Data, Open
Method, Open Educational
Ressources

Open Access

- **mandatory** for all H2020 funded projects
- **What does it mean?** Peer-reviewed scientific publications resulting from IF funding are deposited in open access repositories, i.e. free of charge online access for the user. A repository number for each publication must be provided in project reports.

Open Research Data pilot in H2020

- **No obligation** on IF projects to participate – but hast to “opt-out”
- Decision whether yes/no to participate: during submission (part A)
- if yes: data management plan required in the first 6 months of the action

For further information see documents section of the PP:
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

EVALUATION CRITERIA MSCA IF

Excellence	Impact	Efficiency of the implementation
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3. Deliverables:
OD mgt plan
support on OA
or OD

Planning of
Dissemination /
Communication
activities in Gantt
chart - section 3

Open
Access
Open Data
2.2

Communication
2.3

OPEN ACCESS & OPEN DATA: SOME SUGGESTIONS

„openAIRE“

<https://www.openaire.eu/>

→ can be used for Open Data

„OpenDOAR“ Directory of Open Access Repositories

<http://www.opendoar.org/index.html>

Austrian Centre for Digital Humanities (ACDH)

<http://www.oeaw.ac.at/acdh/>

In particular for Researchers in Humanities; set up for systematic use of digital infrastructures, transdisciplinarity, collaborative work and participatory technologies, open access / open source as well as open life cycles of research results and research data.

Open Access Network Austria

www.oana.at

→ established 2012 as a joint activity under the organisational umbrella of the Austrian Science Fund (FWF) and Universities Austria (UNIKO)

OPEN ACCESS & OPEN DATA: FURTHER INFO

Check also this initiative:
<https://www.fosteropenscience.eu/>



Horizon 2020
Das EU-Programm für
Forschung und Innovation



KOMMENTIERTES LINKVERZEICHNIS ZU OPEN ACCESS / OPEN DATA IN H2020

GUIDELINES ON OPEN ACCESS TO SCIENTIFIC PUBLICATIONS AND RESEARCH DATA IN HORIZON 2020

Die „Guidelines on Open Access to Scientific Publications and Research Data“ der EU-Kommission geben einen Überblick über Open Access zu Publikationen und Forschungsdaten in Horizon 2020. Sie erklären, was „Open Access“ bedeutet, warum die EU-Kommission den offenen Zugang zu wissenschaftlichen Informationen verbessern möchte und welche Regeln für Open Access in H2020-Projekten gelten. Außerdem enthält das zehnteilige Dokument eine Reihe von weiterführenden Links.

➤ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

GUIDELINES ON FAIR DATA MANAGEMENT IN HORIZON 2020

In den „Guidelines on FAIR Data Management“ erklärt die EU-Kommission die Anforderungen an das Datenmanagement und an Datenmanagement-Pläne (DMPs) in H2020-Projekten. Im Anhang des Dokuments findet sich ein Template für einen „FAIR Data Management Plan“, der sich an den „fairen“ Grundprinzipien „findable, accessible, interoperable and re-usable“ orientiert, aber etwa auch Fragen der Datenmanagement-Kosten, der Datensicherheit und ethische Aspekte anspricht.

➤ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

OPENAIRE – OPEN ACCESS INFRASTRUCTURE FOR RESEARCH IN EUROPE

Die Website des Projekts OpenAIRE wird von der EU-Kommission als zentrale Anlaufstelle für Informationen zu Open Access in Horizon 2020 empfohlen. Das Projekt bietet umfangreiche Informationen (Factsheets, Leitfäden, FAQ, Blog...) und Services (Webinare, Veranstaltungen, Support für verschiedene Zielgruppen etc.) zu den Themen Open Access und Open Data an. Publikationen von ForscherInnen, die über OpenAIRE zugänglich sind, scheinen beim technischen Reporting des Projekts automatisch im Participant Portal auf.

➤ <https://www.openaire.eu>

ZENODO

Zenodo ist ein multidisziplinäres Datenrepositorium, das gemeinsam von OpenAIRE und CERN entwickelt wurde und von allen ForscherInnen weltweit für alle Arten von Forschungsdaten und -materialien genutzt werden kann. Da die Lizenz für die Daten frei gewählt werden kann, können Daten in Zenodo auch mit „closed“ bzw. „restricted access“ gespeichert oder mit einer Sperrfrist versehen werden. Beim Reporting im Participant Portal scheinen die Datensätze automatisch in den entsprechenden Tabellen auf.

➤ <https://zenodo.org>

OUTLINE



- ✓ Responsible Research & Innovation
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- **Ethical issues**



The ethical dimension of the activities undertaken should be analysed and taken into account, including relevant socio-economic implications. This implies the respect of ethical principles and related legislation during the implementation. Whenever possible, the activities should also include in their objectives a better understanding and handling of the ethical aspects as well as the promotion of the highest ethical standards in the field and among the actors and stakeholders.

„ETHICAL ISSUES“ – Part A & Part B



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Applicants should demonstrate that they are aware of and will **comply with European and national legislation and fundamental ethics principles**, including those reflected in the

- **Charter of Fundamental Rights of the European Union**

http://www.europarl.europa.eu/charter/pdf/text_en.pdf

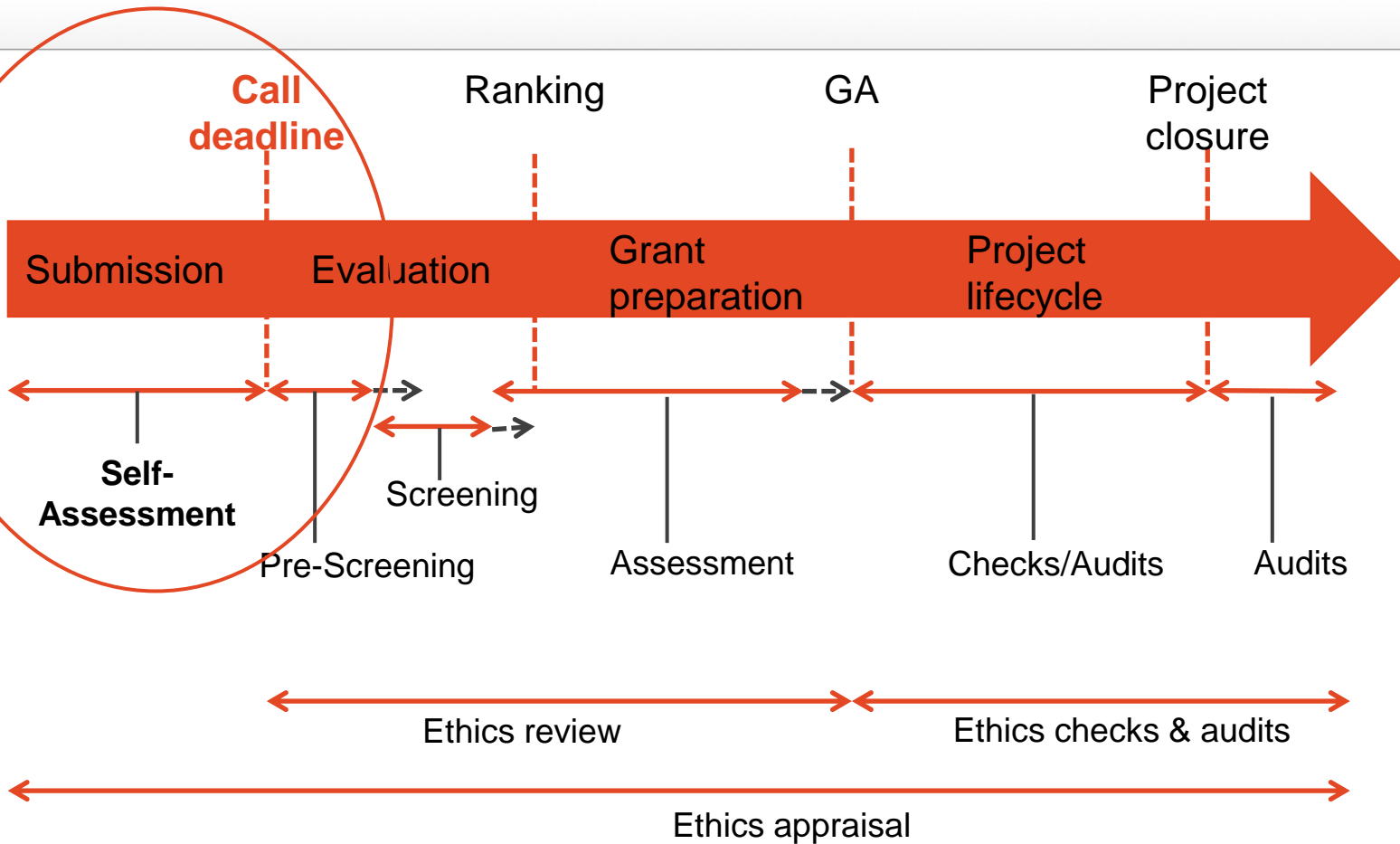
- **European Convention on Human Rights** and its
Supplementary Protocols

<http://human-rights-convention.org/>

Applicants should clearly identify and **proactively address ethics issues in their proposal.**



Ethics Appraisal Steps



How are ethical issues addressed in the proposal?

- **Ethical Issues Table in Part A, (yes/no)**
- **if issues flagged in part A: Ethics Self-Assessment Part B**

FOR ORIENTATION: THE PROPOSAL PACKAGE



Part A „administrative forms“

General information, participants & contacts, budget, ethics table, call-specific questions
→ including an abstract á 2000 characters

Part B „the Proposal“

Start Page

„document 1“

Table of Contents

List of Participating Organisations

1 Excellence

2 Impact

3 Implementation, incl. Gantt Chart

4 CV of the Experienced Researcher

„document 2“

5 Capacities of the Participating Organisations

6 Ethical Aspects

7 Letter of Commitment of Partner Organisations → GF only!

OVERVIEW ETHICAL ISSUES PART A

→ See copy hand out



1. Human embryos & fetuses
- 2. Humans**
3. Human cells / tissues
4. Personal data
5. Animals
- 6. Third countries (non-EU)**
7. Environment, health & safety
8. Dual use
9. Exclusive focus on civil applications
10. Potential misuse of research results
11. Other ethics issues.

ETHICS ISSUES TABLE – 2. HUMANS



4 - Ethics issues table



1. HUMAN EMBRYOS/FOETUSES		Page
Does your research involve Human Embryonic Stem Cells (hESCs) ?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human foetal tissues / cells?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
2. HUMANS		Page
Does your research involve human participants?	<input checked="" type="radio"/> Yes <input type="radio"/> No	
Are they volunteers for social or human sciences research?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they persons unable to give informed consent?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Are they 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 patients?	<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	
Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

ETHICS ISSUES TABLE – 2. HUMANS



2. Humans

- Does your research involve human participants?
 - Are they volunteers for experiments in social or human science research?
 - Are they persons unable to give informed consent (including children/minors)?
 - Are they vulnerable individuals or groups?
 - Are they children/minors?
 - Are they patients?
 - Are they healthy volunteers for medical studies?
- Does your research involve physical interventions on the study participants?
 - Does it involve invasive techniques?
 - Does it involve collection of biological samples?

Besondere Regelungen:

- Medizinische Forschung
- Forschung mit Kindern

- copies of ethical approvals
- informed consent
- information sheet



ANOTHER EXAMPLE: 6. THIRD COUNTRIES

6. THIRD COUNTRIES		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	<input checked="" type="radio"/> Yes <input type="radio"/> No	

H2020-MSCA-IF-2017.pdf Ver1.07 20170410 Page 12 of 17 Last saved 12/04/2017 13:14:44

European Commission
Research & Innovation - Participant Portal
Proposal Submission Forms

Go to

[Table Of Contents](#) [Validate Form](#) [Save and Close](#)

Proposal ID **SEP-210432864** Acronym **IF-for-Vienna**

Specify the countries involved.(Maximum number of characters allowed: 1000)

Do you plan 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 checked="" type="radio"/> No	
Do you plan to import any material - including personal data - from non-EU countries into the EU?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to export any material - including personal data - from the EU to non-EU countries?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
In case your research involves low and/or lower middle income countries , are any benefits-sharing actions planned?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Could the situation in the country put the individuals taking part in the research at risk?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

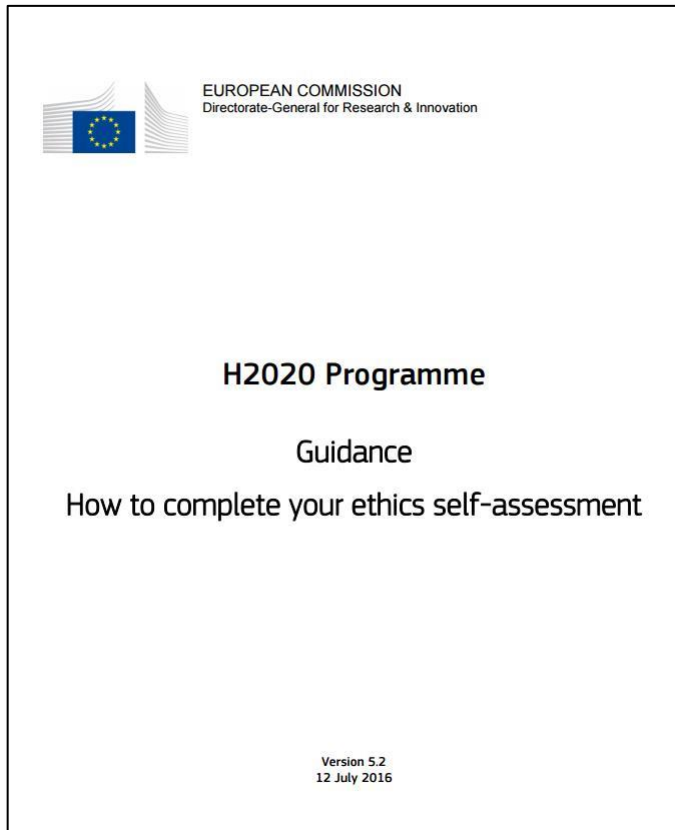


ANOTHER EXAMPLE: 6. THIRD COUNTRIES

6. Non-EU Countries

- In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?
- Do you plan 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.)?
- Do you plan to import any material - including personal data - from non-EU countries into the EU? (specify materials and countries involved)
- Do you plan to export any material - including personal data - from the EU to non-EU countries? (specify materials and countries involved)
- If your research involves 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 research at risk?

- **copies of ethic approvals**
- **copies of import licences**
- **copies of export licences**



Ethics- section of the Research Participant Portal

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm

Guidance “How to complete your ethics self-assessment”

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

GUIDANCE FOR ETHICS ISSUES

Example: „ineligible for funding“



1.1 Ethics issues checklist

Section 1: HUMAN EMBRYOS/ FOETUSES		YES/NO		Page	Information to be provided	Documents to be provided/kept on file
Does your research involve Human Embryonic Stem Cells (hESCs)?		<input type="checkbox"/>	<input type="checkbox"/>			
If YES:	- Will they be directly derived from embryos within this project?	<input type="checkbox"/>	<input type="checkbox"/>		<i>Research not eligible for funding</i>	<i>Research not eligible for funding</i>

GUIDANCE FOR ETHICS ISSUES

Example: Guidance on Information & Documentation



Section 2: HUMANS		YES/ NO		Page	Information to be provided	Documents to be provided/kept on file
Does your research involve human participants?		<input type="checkbox"/>	<input type="checkbox"/>		Confirm that informed consent has been obtained. plus:	Informed Consent Forms + Information Sheets. plus:
If YES:	- Are they volunteers for social or human sciences research?	<input type="checkbox"/>	<input type="checkbox"/>		Details of recruitment, inclusion and exclusion criteria and informed consent procedures.	Copies of ethics approvals (if required).
	- Are they persons unable to give informed consent (including children/minors)?	<input type="checkbox"/>	<input type="checkbox"/>		Details of your procedures for obtaining approval from the guardian/ legal representative and the agreement of the children or other minors. What steps will you take to ensure that participants are not subjected to any form of coercion?	Copies of ethics approvals.

PART B – SECTION 6 „ETHICAL ISSUES“ → ETHICS SELF-ASSESSMENT (1/2)



1) Describe how the proposal meets the EU and national legal and ethics requirements of the country/countries where the task raising ethical issues is to be carried out.

- List documents provided with their expiry date
- Ensure early compliance of the proposed research with EU and national legislation on ethics in research.
- If you have not already applied for/received the ethics approval/required ethics documents when submitting the proposal, please indicate in this section the approximate date when you will provide the missing approval/any other ethics documents, to the REA (scanned copy).
- **State explicitly that you will not proceed with any research with ethical implications before the REA has received a scanned copy of all documents proving compliance with existing EU/national legislation on ethics.**

PART B – SECTION 6 „ETHICAL ISSUES“ → ETHICS SELF-ASSESSMENT (2/2)



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2) Explain in detail how you intend to address the ethical issues flagged, in particular with regard to:

- the research **objectives** (e.g. study of vulnerable populations, cooperation with a Third Country, etc.);
- the research **methodology** (e.g. clinical trials, involvement of children and related information and consent/assent procedures, data protection and privacy issues related to data collected, etc.);
- the potential **impact** of the research (e.g. dual use issues, environmental damage, malevolent use, etc.).
- appropriate health and safety procedures (...) for staff involved
- possible harm to the environment the research might cause (...) and measures that will be taken to mitigate the risks

ETHICS ISSUES TABLE – LINK TO PART B



4 - Ethics issues table

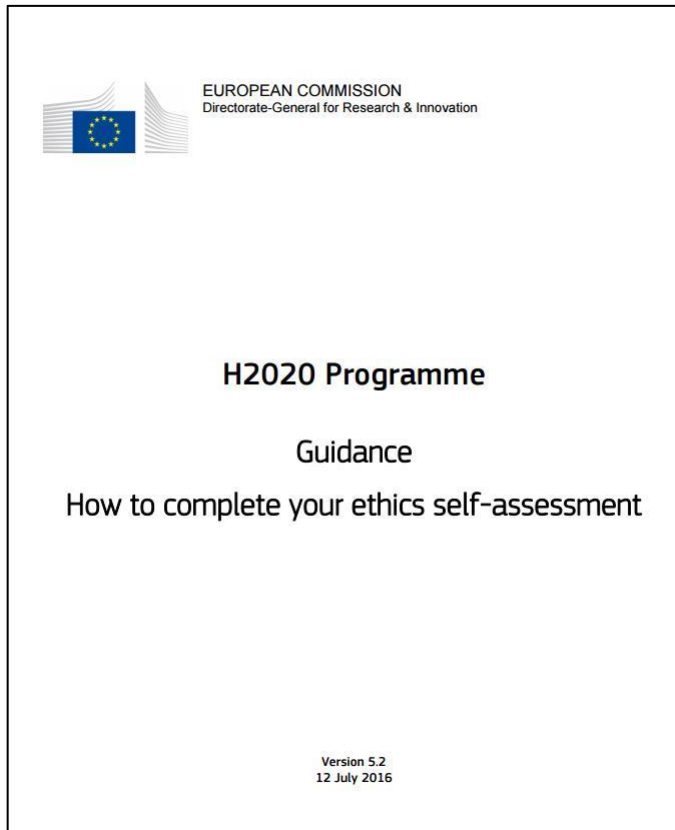


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Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	

GUIDANCE FOR ETHICS ISSUES



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Start early to check Ethics!

Ethics- section of the Research Participant Portal

http://ec.europa.eu/research/participants/data/ref/h2020-funding-guide/cross-cutting-issues/ethics_en.htm

Check with your supervisor / host institution

Guidance “How to complete your ethics self-assessment”

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf

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