|  |
| --- |
| **Ethics & Security:**  |

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

|  |
| --- |
| **Title of the thesis project:**  |
| **La Rochelle University Research Unit:** | **Partner university:**  |
| **Name of the LRUniv supervisor:** | **Name of the co-supervisor:** |

|  |  |
| --- | --- |
| 1. **Human Embryonic Stem Cells and Human Embryos**
 | **Yes/No** |
| Does this activity involve Human Embryonic Stem Cells? |  |
| Does this activity involve the use of human embryos? |  |

|  |  |
| --- | --- |
| 1. **Humans**
 | **Yes/No** |
| Does this activity involve human participants? |  |
| **If yes** | Are they volunteers? |  |
| Are they healthy volunteers for the medical studies? |
| Are they patient for medical studies? |
| Are they potentially vulnerable individuals or groups? |
| Are they children/minors |
| Are there other persons unable to give informed consent? |
| Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants? |  |
| **If yes** | Does it involve invasive techniques (e.g. collection of human cells or tissues, surgical or medical interventions, invasive studies on the |  |
| Does it involve collection of biological samples? |
| 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) |  |
| **If yes**  | Is it a clinical trial? |  |
| Is it a low-intervention clinical trial? |
| Does your activity involve the use of human cells or tissues |  |
| **If yes**  | Are they human embryonic or foetal cells or tissues? |  |
| Are they available commercially? |
| Are they obtained commercially? |
| Are they obtained from another project, laboratory or institution? |
| Are they obtained from a biobank?  |

|  |  |
| --- | --- |
| 1. **Personal Data**
 | **Yes/No** |
| Does this activity involve processing of personal data? |  |
| **If yes** | 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)? If Yes, does it involve processing of genetic, biometric or health data? |  |
| 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)? |
| 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.)? |  |
| Does this activity involve further processing of previously collected personal data (including use of pre-existing data sets or sources, merging existing data sets)? |  |
| Is it planned to export personal data from the EU to non-EU countries? If yes, specify the type of data and the 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? If yes, specify the type of data and the countries involved |  |
| Does this activity involve the processing of personal data related to criminal convictions or offences? |  |

|  |  |
| --- | --- |
| 1. **Non-EU Countries**
 | **Yes/No** |
| Will some of the activities be carried out in non-EU countries? If yes, speficy the country  |  |
| In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues? |  |
| It is 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.)? |  |
| 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. |  |
| Is it planned to export any material (other than data) from the EU to non-EU countries? For data exports, see section 4. |  |
| Does this activity involve low and/or lower middle-income countries, (if yes, detail the benefit-sharing actions planned in the self-assessment) |  |
| Could the situation in the country put the individuals taking part in the activity at risk? |  |
| Does this activity involve low and/or lower middle-income countries, (if yes, detail the benefit-sharing actions planned in the self-assessment) |  |
| Could the situation in the country put the individuals taking part in the activity at risk? |  |

|  |  |
| --- | --- |
| 1. **Artificial Intelligence**
 | **Yes/No** |
| Does this activity involve the development, deployment and/or use of Artificial Intelligence-based systems? |  |
| Could the AI based system/technique potentially stigmatise or discriminate against people (e.g. based on sex, race, ethnic or social origin, age, genetic features, disability, sexual orientation, language, religion or belief, membership to a political group, or membership to a national minority)? |  |
| Does the AI system/technique interact, replace or influence human decision-making processes (e.g. issues affecting human life, health, well-being or human rights, or economic, social or political decisions)?  |  |
| Does the AI system/technique have the potential to lead to negative social? (e.g. on democracy, media, labour market, freedoms, educational choices, mass surveillance) and/or environmental impacts either through intended applications or plausible alternative uses? |  |
| Does the AI to be developed/used in the project raise any other ethical issues not covered by the questions above (e.g., subliminal, covert or deceptive AI, AI that is used to stimulate addictive behaviours, lifelike humanoid robots, etc.)? |  |

|  |  |
| --- | --- |
| 1. **Animals**
 | **Yes/No** |
| Does your activity involve animals? |  |
| If yes:  | Are they vertebrates? |  |
| Are they non-human primates (NHP) (e.g. monkeys, chimpanzees, gorillas, etc.)? |
| Are they genetically modified?  |
| Are they cloned farm animals? |
| Are they an endangered species? |

|  |  |
| --- | --- |
| 1. **Environment, Health and safety**
 | **Yes/No** |
| Does this activity involve the use of substances or processes (or technologies) 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)? |  |
| Does this activity deal with endangered fauna and/or flora / protected areas? ( |  |
| Does this activity involve the use of substances or processes (or technologies) 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, or the deployment of the technology as a possible impact)? |  |

|  |
| --- |
| **Supervisors’ signatures** *(dated)* |