



# MSCA 4 UKRAINE

## Terms of Reference for Grantees

March 2025



Funded by  
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**Substantial amendments when compared with the [previous version of the MSCA4Ukraine Terms of Reference for Grantees \(ToRfG\)](#), issued in [January 2024](#) were made in the following chapters:**

- **4. Responsibilities of the Host Institution:** *further details concerning the responsibilities of the host institution added*
- **6.2. Starting Date of Fellowships:** *starting date details for fellowships awarded in 2025 (Ch.6.2.2) added*
- **6.5. Employment Conditions:** *distinction between professional and personal part-time work arrangements, additional conditions for part-time contracts, time record requirements added*
- **6.11. Fellowship Interruptions and Early Cessation:** *sub-chapter on fellowship interruptions and early terminations added*
- **7.3. Reporting Duties:** *separate sub-chapters on continuous, interim and final reporting, including individual sub-chapters for interim reporting added*
- **8. Checks, Reviews, and Audits:** *fellowship project information and data retention period for Grantees set to the end of December 2032.*
- **11.2 Research Data Management:** *details concerning the continuous reporting of datasets added*
- **15. Acknowledgement of MSCA4Ukraine Funding:** *acknowledgement text amended*
- **16. Penalties and Procedures:** *penalties (Ch.16.1) and procedures (Ch.16.2) for misconduct defined*

**Previous versions issued:**

- [MSCA4Ukraine ToRfG, January 2024](#)
- [MSCA4Ukraine ToRfG, 20 February 2023](#)

## **MSCA4Ukraine Terms of Reference for Grantees**

**Version 3.0 (Amended: March 2025)**

# MSCA4Ukraine Terms of Reference for Grantees

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## 1. Definitions

- **Academic Mentor** (also Primary Academic Mentor): The active researcher at the host institution named in the application to provide guidance and mentoring to the fellow in all matters related to the research project to be carried out during the grant, and to ensure the academic quality of the research project.
- **Consortium**: The MSCA4Ukraine Consortium, consisting of Scholars at Risk Europe at the National University of Ireland, Maynooth (Ireland, project coordinator), the Alexander von Humboldt Foundation (Germany) and the European University Association (Belgium), with Scholars at Risk, Inc. (USA) and Collège de France (France) as associate partners.
- **Fellow**: The researcher successfully nominated by the host institution in the MSCA4Ukraine programme and named in the MSCA4Ukraine grant award letter.
- **Fellowship**: The MSCA4Ukraine-funded position that the host institution will offer to the researcher named in the MSCA4Ukraine grant award letter.
- **Grant**: The MSCA4Ukraine grant awarded by the Alexander von Humboldt Foundation on behalf of the MSCA4Ukraine Consortium to the host institution, including the unit contributions for the MSCA4Ukraine fellow and institutional unit contributions. It is governed by the MSCA4Ukraine Grant Agreement, of which these Terms of Reference for Grantees are an integral part.
- **Grantee**: The primary host institution that submitted the application and is addressed in the grant award letter, which was awarded the MSCA4Ukraine grant and is responsible for its implementation.
- **Grant Agreement**: The legally binding contract between the Alexander von Humboldt Foundation on behalf of the MSCA4Ukraine Consortium and the host institution (grantee), consisting of these MSCA4Ukraine Terms of Reference for Grantees, the MSCA4Ukraine grant award letter and, if applicable, any additional agreement between the Alexander von Humboldt Foundation and the host institution summarising ethics-related requirements to be fulfilled both before funding can start and during the funding period.
- **Grant Award Letter**: The letter, issued by the Alexander von Humboldt Foundation on behalf of the MSCA4Ukraine Consortium, which confirms the award of the MSCA4Ukraine grant to the host institution. It forms a constituent part of the MSCA4Ukraine Grant Agreement.
- **Host Institution**: The grantee and primary host institution of the MSCA4Ukraine fellow, i.e., the institution that has successfully nominated a scholar under the MSCA4Ukraine scheme, and which holds and administers the grant. The institution

hosting the fellow during any secondment arrangement is defined as a secondary host institution.

- **Intellectual Property:** All intellectual property of any description including know-how, copyright, trademarks, database rights, design rights, patents, utility models, and applications for, and the right to apply for any of the foregoing items.
- **Primary Contact Person/Project Management:** The host institution staff member responsible for serving as the primary contact for the Alexander von Humboldt Foundation in all matters related to managing the MSCA4Ukraine grant.
- **Research Project:** Any research activity carried out during the grant as described in the application, including during any secondment(s).
- **Secondary Host Institution:** The institution hosting the fellow during any secondment arrangement.
- **Secondment:** A research stay of more than two weeks and up to one-third of the fellowship duration, undertaken as part of the MSCA4Ukraine fellowship in another EU country<sup>1</sup>, Horizon Europe Associated Country<sup>2</sup>, including Ukraine, or in third countries.
- **Secondment Mentor:** The mentor at the secondary host institution during any secondment arrangement.

## 2. Purpose of the MSCA4Ukraine Terms of Reference for Grantees

These Terms of Reference determine the rights and obligations, and the terms and conditions of the MSCA4Ukraine grant. Together with the MSCA4Ukraine grant award letter and, if applicable, any additional agreement between the Alexander von Humboldt Foundation (AvH) and the host institution summarising ethics-related requirements to be fulfilled both before funding can start and during the funding period, they form the grant agreement between the host institution (grantee) and the Alexander von Humboldt Foundation as the grant-managing MSCA4Ukraine Consortium partner. The grant agreement is legally binding. The grant is governed in accordance with the laws of the Federal Republic of Germany and is subject to the jurisdiction of German courts. Any substantive changes to the way that the grant is implemented, whether they occur before the grant starts or once it is underway, must be agreed with AvH in writing. Acceptance of the grant by the host institution indicates agreement to the terms and conditions set out in these Terms of Reference, including ethics-

<sup>1</sup> List of EU Member States: [https://european-union.europa.eu/principles-countries-history/country-profiles\\_en](https://european-union.europa.eu/principles-countries-history/country-profiles_en)

<sup>2</sup> List of participating countries in Horizon Europe: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation\\_horizon-auratom\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-auratom_en.pdf)

related stipulations. Violation of the Terms of Reference may result in partial or full withdrawal of the grant and the obligation to return any funds already disbursed. The MSCA4Ukraine Consortium reserves the right to revise and amend these Terms of Reference at any time. Amendments will be notified to the host institution at least four weeks prior to enforcement.

### 3. Overview of MSCA4Ukraine

#### 3.1 BACKGROUND & OBJECTIVES

As part of the European Union's (EU) response to the Russian Federation's full-scale invasion of Ukraine, a dedicated fellowship scheme –MSCA4Ukraine– was established to provide support to displaced researchers from Ukraine. This support is aimed at enabling doctoral and postdoctoral researchers from Ukraine to continue their work at academic and non-academic organisations in EU Member States and Horizon Europe Associated Countries, while maintaining their connections to research and innovation (R & I) communities in Ukraine. The scheme may also facilitate researchers' reintegration in Ukraine if conditions for safe return are met, in order to prevent permanent brain-drain and contribute to strengthening the Ukrainian university and research sector and its collaboration and exchange with the international research community. The MSCA4Ukraine scheme is part of the European Commission's Marie Skłodowska-Curie Actions (MSCA), implemented under the MSCA4Ukraine Grant Agreement (ID: 101101923), which provides the legal framework for the activities carried out within MSCA4Ukraine by the MSCA4Ukraine Consortium, including the provisions of these Terms of Reference for Grantees. The budget for the scheme is EUR 35 million. In line with the Horizon Europe Work Programme 2021-2022 Marie Skłodowska-Curie Actions, the maximum amount to be granted to each host institution is EUR 2 million (covering the recruitment of several researchers)<sup>3</sup>.

The objectives of MSCA4Ukraine are to:

- Ensure swift deployment of a fellowship scheme for researchers from Ukraine;
- Reach the widest possible audience with calls for applications and other MSCA4Ukraine activities;
- Facilitate access for researchers from Ukraine to MSCA4Ukraine fellowships and other supports;
- Ensure fair and transparent evaluation and selection processes, aligned with

<sup>3</sup> See Horizon Europe Work Programme 2021-2022 Marie Skłodowska-Curie Actions, p. 73, available at: <https://marie-sklodowska-curie-actions.ec.europa.eu/document/horizon-europe-work-programme-2021-2022-marie-sklodowska-curie-actions>



the objectives and principles of the MSCA;

- Ensure ongoing career development & networking opportunities for researchers from Ukraine;
- Ensure coordination between EU and Ukrainian R & I communities and facilitate reintegration when safe conditions for return are met.

MSCA4Ukraine adheres to Horizon Europe standards with respect to transparency, equal treatment and confidentiality, and avoidance of conflict of interest<sup>4</sup>.

### 3.2 THE MSCA4UKRAINE CONSORTIUM

The MSCA4Ukraine Scheme is implemented by a consortium comprised of Scholars at Risk Europe (SAR Europe) hosted at Maynooth University, Ireland (project coordinator), the German Alexander von Humboldt Foundation (AvH) and the European University Association (EUA).

The roles and responsibilities of the implementing partners are as follows:

SAR Europe at Maynooth University provides overall coordination for the MSCA4Ukraine scheme, leads the scheme's advisory and matchmaking services, career development and networking activities as well as preparations for reintegration, drawing from the experiences of the SAR network which has over 20 years' experience of direct casework with researchers at risk and a network of over 660 higher education institutions, including over 380 higher education institutions in Europe.

AvH organises the MSCA4Ukraine evaluation and selection processes and has primary responsibility for fellowship implementation and monitoring. AvH brings a track record of 70 years creating and managing fellowship and other funding schemes for scholars, such as the Humboldt and the Georg Forster Research Fellowships, the Sofja Kovalevskaja Programme and, since 2015, the Philipp Schwartz Initiative for At-Risk Scholars (PSI), one of the most significant funding programmes for researchers at risk in Europe.

EUA leads dissemination activities to ensure the widest possible audience for the MSCA4Ukraine calls and the widest possible participation in the scheme's activities. EUA represents more than 850 universities and national rectors' conferences in 49 European countries.

<sup>4</sup> As outlined in the European Charter for Researchers: <https://euraxess.ec.europa.eu/jobs/charter/european-charter>



The French national PAUSE programme, hosted by the Collège de France, and the global Scholars at Risk Network are participating as associated partners, bringing additional valuable expertise and networks to the benefit of researchers from Ukraine.

In addition, an advisory board including members of the Ukrainian and EU research and innovation communities, and experts in the field of support for researchers at risk provides strategic advice and overall guidance to the MSCA4Ukraine scheme. The composition of the MSCA4Ukraine advisory board can be found here: <https://sareurope.eu/msca4ukraine/advisoryboard/>

### 3.3 ABOUT MARIE SKŁODOWSKA-CURIE ACTIONS (MSCA)

The MSCA are the European Union's flagship funding programme for doctoral education and postdoctoral training of researchers. The MSCA fund excellent research and innovation and equip researchers at all stages of their career with new knowledge and skills, through mobility across borders and exposure to different sectors and disciplines. The MSCA help build Europe's capacity for research and innovation by investing in the long-term careers of excellent researchers. The MSCA also fund the development of doctoral and postdoctoral training programmes and collaborative research projects worldwide. By doing so, they achieve a structuring impact on higher education institutions, research centres and non-academic organisations. The MSCA promote excellence and set standards for high-quality researcher education and training in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers<sup>5</sup>. The MSCA also promotes effective supervision, mentoring and appropriate career guidance, with the MSCA Guidelines on Supervision<sup>6</sup> setting recommendations for individuals and institutions receiving MSCA funding. Moreover, the Guidelines for Inclusion of Researchers at Risk<sup>7</sup> outline how you can support researchers at risk through some best practise examples and main recommendations, and the MSCA Green Charter<sup>8</sup> promotes the sustainable implementation of research activities.

The MSCA further supports its researchers through the Marie Curie Alumni Association (MCAA)<sup>9</sup>, allowing members to access lifelong career development support, networking and advocacy opportunities.

<sup>5</sup> For further information about the Marie Skłodowska-Curie Actions: <https://marie-sklodowska-curie-actions.ec.europa.eu>. See also the Code of Conduct for the Recruitment of Researchers:

[https://euraxess.ec.europa.eu/sites/default/files/brochures/rights\\_leaflet\\_lowres\\_en.pdf](https://euraxess.ec.europa.eu/sites/default/files/brochures/rights_leaflet_lowres_en.pdf)

<sup>6</sup> MSCA Guidelines on Supervision: <https://marie-sklodowska-curie-actions.ec.europa.eu/about-msca/msca-guidelines-on-supervision>

<sup>7</sup> MSCA Guidelines for Inclusion of Researchers at Risk: <https://marie-sklodowska-curie-actions.ec.europa.eu/about-msca/guidelines-for-inclusion-of-researchers-at-risk>

<sup>8</sup> MSCA Green Charter: <https://marie-sklodowska-curie-actions.ec.europa.eu/about-msca/msca-green-charter>

<sup>9</sup> MCAA: <https://www.mariecuriealumni.eu/>

## 4. Responsibilities of the Host Institution

There is an overall limit of EUR 2 million to any one organisation under this scheme.

The host institution is fully responsible to ensure that the grant, including the research funded by the grant, is carried out in accordance with relevant national and EU laws and regulations, including research ethics, environmental and labour standards, rules on classified information, intellectual property rights and protection of personal data, and the appropriate acknowledgement of the funder where required. Responsibility for compliance with the funding terms, including any ethical matters and reporting on the progress of the fellowship, lies with the host organisation for the full duration of the fellowship.

The host organisation acts as the employer of the fellow for the full duration of the MSCA4Ukraine fellowship, including during any secondment undertaken by the fellow. The host institution is responsible to ensure that the grant is administered in line with the details given in the application, including the networking, training and other support measures as outlined in the statements by the academic mentor and the host institution, and with the grant agreement, including the Terms of Reference for Grantees. The host institution is under the obligation to inform AvH without delay of any events or circumstances likely to affect or delay the implementation of the grant. This may include changes to the fellowship start date, the fellowship duration, the fundamental scientific direction of the research project, time dedicated to the project (e.g. project suspension, due to maternity or serious illness, any part-time arrangements, etc.), academic mentor, planned (as described in the application) or new secondment arrangements, changed circumstances related to the conditions for family allowance and/or special needs allowance<sup>10</sup>, ethics-related issues or changes to any other activities set out in the application. Any such changes must be reported to AvH 60 days in advance and approved by AvH. Where a 60-day prior notice is not possible, such changes must be communicated at the earliest possible, and a justification for late notification must be provided.

The host institution is responsible for compliance with national immigration, employment, tax and other relevant legislation. Host organisations bear legal responsibility for managing the health and safety of the fellow in the workplace for the duration of the grant, including during any secondment arrangements.

If the grant was awarded to support a doctoral candidate, the host institution must ensure their continued enrolment as a doctoral candidate in a doctoral programme, leading to the

<sup>10</sup> Horizon Europe - Work Programme 2021-2022 - Marie Skłodowska-Curie Actions: <https://marie-sklodowska-curie-actions.ec.europa.eu/document/horizon-europe-work-programme-2021-2022-marie-sklodowska-curie-actions>

award of a doctoral degree, either at a higher education institution in Ukraine, at the host institution, or at both institutions.

The host institution, and in particular the fellow's academic mentor, is responsible for providing appropriate supervision in line with the MSCA Guidelines on Supervision<sup>11</sup>.

The academic mentor and/or the ethics contact person at the host institution must assist the fellow with any relevant ethics procedures pertaining to the implementation of the MSCA4Ukraine grant and be available to address additional ethics issues that may arise during the grant, including during any secondment arrangements.

Furthermore, the host organisation is responsible for informing the MSCA4Ukraine fellow about their rights and responsibilities, which must align with those of other employees of comparable status within the organisation. The host organisation must also ensure that the fellow works under the same conditions as other staff members of similar standing and in line with the European Charter for Researchers.<sup>12</sup>

Moreover, together with the employment contract, the host institution is obliged to provide the fellow with the European Commission's general information package for MSCA fellows<sup>13</sup>.

All communications with AvH or other MSCA4Ukraine Consortium partners must be conducted in English.

## 5. Responsibilities of the Fellow

Fellows must engage full-time in fellowship-related activities, including activities under the training and career development plan prepared jointly by the academic mentor and the fellow (see Ch.6.6), during the fellowship period, unless another agreement has been reached in writing between the host institution and AvH (see Ch.6.5). Fellows are required to adhere to the European Charter for Researchers<sup>14</sup> and any legal stipulations, institutional norms and requirements at the host institutions, including rules concerning presence at, and stays away from, the host institution.

<sup>11</sup> See MSCA Guidelines on Supervision: <https://marie-sklodowska-curie-actions.ec.europa.eu/about-msca/msca-guidelines-on-supervision>

<sup>12</sup> See the Code of Conduct for the Recruitment of Researchers: [https://euraxess.ec.europa.eu/sites/default/files/brochures/rights\\_leaflet\\_lowres\\_en.pdf](https://euraxess.ec.europa.eu/sites/default/files/brochures/rights_leaflet_lowres_en.pdf)

<sup>13</sup> See: <https://op.europa.eu/en/publication-detail/-/publication/70aa4494-2c4f-11ef-a61b-01aa75ed71a1/language-en>

<sup>14</sup> European Charter for Researchers: <https://euraxess.ec.europa.eu/hrexcellenceaward/european-charter-researchers>

Fellows must declare to the host organisation and AvH any additional awards, with or without remuneration, granted to them during their MSCA4Ukraine fellowship. Fellows may not receive funding from other sources for their MSCA4Ukraine research project or for research that substantially overlaps in scope or objectives. No other funding under Horizon Europe or H2020 projects is permitted. Any additional funding must be disclosed. Any double-funding is strictly prohibited. Any professional and/or voluntary engagement, remunerated or otherwise, must also be declared to avoid any potential conflict of interest.

Fellows must inform the host organisation of any changes that could affect their eligibility for the family allowance, special needs allowance and/or long-term leave allowance (see Ch.6.3) and provide any relevant supportive documents.

## **6. Appointment Conditions for MSCA4Ukraine Fellows**

### **6.1 DURATION OF FELLOWSHIPS**

Fellowships are awarded for a minimum of 6 months, up to a maximum of 24 months, in accordance with the application. Only full month increments are allowed. The duration of the MSCA4Ukraine fellowship is stated in the MSCA4Ukraine grant award letter and can only be amended under specific circumstances, including parental or long-term medical leave or part-time arrangements, such as following parental leave, justified long-term leave or to allow for a double affiliation with an institution in Ukraine, and only with prior written approval by AvH.

Fellowships are not renewable.

### **6.2 STARTING DATE OF FELLOWSHIPS**

The specific starting date of the MSCA4Ukraine fellowship is confirmed by the host institution at the grant acceptance stage via the AvH portal and can only be amended in prior written agreement with AvH.

#### **6.2.1 Starting date of fellowships – Cohort 1 (MSCA4Ukraine Call 1, grants that started in 2023-2024)**

The starting date can only be the first day of a calendar month and should generally be no later than 1 July 2023.

In view of the urgency of the situation of many MSCA4Ukraine fellows, the host institution may implement the grant and begin the fellowship as early as 1 March 2023, even if the official grant award letter has not been received by that date. In these cases, the grant start date will be “back-dated” to 1 March 2023 in the official grant award letter. This must be agreed with AvH in writing prior to the start date. This will not affect the duration of the fellowship awarded (see the preliminary notification, which AvH will share with successful applicants via email by the end of February 2023).

### **6.2.2 Starting date of fellowships – Cohort 2 (MSCA4Ukraine Call 2, grants that started in 2025 and later)**

The starting date can only be the first day of a calendar month and should generally be no later than 1 June 2025. In duly justified cases, decided on a case-by-case basis, a later start may be agreed.

In view of the urgency of the situation of many MSCA4Ukraine fellows, the host institution may implement the grant and begin the fellowship as early as 1 April 2025, even if the formal grant acceptance has not been completed via the AvH portal by that date. The host institution must, however, confirm in writing their acceptance of these Terms of Reference and any relevant ethics or other requirements before the funding can begin (e.g., per email, submitted by the authorised person). This must be agreed with AvH in writing prior to the start date.

## **6.3 FELLOWSHIP RATES**

Fellowship rates are in line with MSCA Doctoral Networks and MSCA Postdoctoral Fellowships outlined in the Horizon Europe Work Programme 2021-2022<sup>15</sup> and will take the form of unit contributions. Monthly fellowship rates for doctoral and postdoctoral fellowships are in the form of living and mobility allowances and, if applicable, family and special needs allowances are outlined in the Horizon Europe Work Programme 2021-2022.

A country correction coefficient (applicable to the country of the host organisation) is applied to the monthly living allowance in order to ensure equal treatment and purchasing power parity across countries for all researchers<sup>16</sup>.

The host institution is responsible for paying the researchers their living allowance, mobility allowance and, if applicable, family allowance and/or special needs allowance and/or long-term

<sup>15</sup> See Horizon Europe Work Programme 2021-2022 Marie Skłodowska-Curie Actions: <https://marie-sklodowska-curie-actions.ec.europa.eu/document/horizon-europe-work-programme-2021-2022-marie-sklodowska-curie-actions>

<sup>16</sup> Horizon Europe - Work Programme 2021-2022 - Marie Skłodowska-Curie Actions, pp. 105, table 1: [https://marie-sklodowska-curie-actions.ec.europa.eu/sites/default/files/2021-06/wp-2-msca-actions\\_horizon-2021-2022\\_en.pdf](https://marie-sklodowska-curie-actions.ec.europa.eu/sites/default/files/2021-06/wp-2-msca-actions_horizon-2021-2022_en.pdf)

leave allowance, in accordance with social security provisions in the respective host country. The host institution is required to continue paying the above funds during any secondment (see Ch.6.7) that the fellow undertakes as part of the MSCA4Ukraine fellowship, including any secondments in Ukraine.

Unless included and specified in the original application, special needs allowances are subject to a successful application for dedicated additional funds by AvH on behalf of the host institution in line with MSCA financial guide<sup>17</sup>. The host institution will be required to submit relevant documentation to AvH in line with stipulations of the “Management of the MSCA Special Needs in H2020 legacy grants and Horizon Europe grants: Guidelines for MSCA beneficiaries”<sup>18</sup>.

The long-term leave allowance contributes to the personnel costs incurred by the grantee in case of the researchers’ leave, including maternity, paternity, parental, sick, or special leave, longer than 30 consecutive days<sup>19</sup>.

For absences longer than 30 consecutive days with a working time of 0%, which are not classified as a long-term leave (see above, and/or generic suspensions), the following applies:

- AvH must be informed about and approve any planned grant suspension at least 60 days before its start. Where a 60-day prior notice is not possible, such changes must be communicated at the earliest possible, and a justification for late notification must be provided.
- No units of the project are to be implemented (and funded by AvH).
- The cumulative duration of suspension(s) does not exceed 30% of the agreed project duration (excluding for reasons otherwise classified as long-term leave).

## 6.4 INSTITUTIONAL COSTS

Host organisations will receive the same monthly contribution of EUR650 towards institutional management costs, and EUR1,000 towards research, training and networking costs, regardless of whether they host doctoral or postdoctoral fellows.

<sup>17</sup> Marie Skłodowska-Curie Actions financial guide, p. 37-38: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/horizon-msca-financial-guide\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/horizon-msca-financial-guide_en.pdf)

<sup>18</sup> Management of the MSCA Special Needs in H2020 legacy grants and Horizon Europe grants Guidelines for MSCA beneficiaries: <https://rea.ec.europa.eu/system/files/2024-01/Management%20of%20Special%20needs%20requests%20during%20HE%20-%20guidelines%20for%20beneficiaries%20-%20v122023.pdf>

<sup>19</sup> See also: MSCA Postdoctoral Fellowships: The Implementation of Suspensions and Part-Time Work under Horizon Europe (REA): <https://www.horizon-europe.gouv.fr/sites/default/files/2023-06/msca-pf---demande-de-suspension-de-temps-partiel-et-de-la-long-term-leave-allowance-ce-2023-en--9047.pdf>



Unit contributions towards institutional management costs are considered to be overhead.

Travel and accommodation expenses of MSCA4Ukraine fellows attending the annual Philipp Schwartz Initiative/Inspireurope+ Fora (or other fora related to the Inspireurope project) (see Ch.6.6) are to be covered by the host institution via the MSCA4Ukraine contribution towards research, training and networking costs.

In line with MSCA rules, research, training and networking contributions (RTNC) should only be used for activities supporting the professional development of the fellow, such as conference participation, publication costs (for scientific publications that are strictly compliant with Horizon Europe open science requirements only, see Ch.11, and particularly Ch.11.1), hard and transferable/soft-skills courses requiring registration fees and/or travel costs, research expenses such as consumables, or the use of facilities or infrastructures, visa-related fees and travel expenses, additional costs for travel and accommodation arising from secondments which require physical mobility, etc. Unspent funds from institutional unit contributions towards research, training and network costs must be used for the benefit of the fellow and only following written approval by AvH. These may include fellow's expenses related to attending scientific conferences/meetings, trainings and professional development activities, including those occurring after the MSCA4Ukraine grant expires,

Scientific publications of fellows must fully comply with Open Science requirements stipulated by the European Research Executive Agency (REA)<sup>20</sup> (see also Ch.11) and duly acknowledge the funding received from MSCA4Ukraine and the European Union<sup>21</sup> (see also Ch.15). Only publication fees in full open access venues for peer-reviewed scientific publications (venues in which the entire scholarly content is openly accessible to all) and not in hybrid venues are eligible for reimbursement and can only be reimbursed within the project duration timeframe. Publication fees may, in particular, include peer review fees, including where the peer review service has been provided by an organisation other than the one providing the publishing venue. Peer review fees for publications are eligible for reimbursement only for the first round of peer reviewers.

Publishing fees (including page charges or colour charges) for publications in other venues, for example in subscription journals (including hybrid journals) or in books that contain some scholarly content that is open and some that is closed, are not eligible costs.

Publishing fees for open access books may be eligible to the extent that they cover the first digital open access edition of the book (which could include different formats such as html, pdf, epub, etc.).

<sup>20</sup> See also: [https://rea.ec.europa.eu/open-science\\_en](https://rea.ec.europa.eu/open-science_en)

<sup>21</sup> See also: [https://rea.ec.europa.eu/communicating-about-your-eu-funded-project\\_en](https://rea.ec.europa.eu/communicating-about-your-eu-funded-project_en)



Printing fees for monographs and other books are not eligible.

## 6.5 EMPLOYMENT CONDITIONS

Working conditions for the MSCA4Ukraine fellow must be in line with the European Charter for Researchers<sup>22</sup>. MSCA4Ukraine fellows must be recruited by the host institution under employment contracts for the entire duration of the fellowship under the relevant national legislation in the host institution's country, with full social security coverage (including sickness, parental, unemployment and invalidity benefits, pension rights, benefits in respect of accidents at work and occupational diseases). By endorsing the European Charter for Researchers, host institutions indicate that they work in line with the non-discrimination principles included in the Charter.

In cases where national legislation prevents the provision of an employment contract for this purpose, a 'fixed amount fellowship' can exceptionally be provided subject to prior written agreement by AvH. In this case, the living allowance will be halved, and the host institution must ensure that the fellow enjoys minimum social security coverage (including sickness, parental and invalidity benefits, benefits for accidents at work and occupational diseases, and pension contributions).

In general, MSCA4Ukraine fellows need to be offered full-time contracts, unless individual exceptional circumstances of the researcher, not linked to the general practice in the country, would justify offering a part-time contract.

In exceptional cases, the fellow may actively seek a part-time contract for their MSCA4Ukraine fellowship, in order to engage in an additional part-time employment opportunity which would take place concurrently with the MSCA4Ukraine fellowship (professional part-time work arrangement). This might be necessary to maintain the affiliation with their home organisation in Ukraine or due to other justified professional reasons. The host institution must ensure that any additional employment is not for research that substantially overlaps in scope or objectives with that as the one funded by the MSCA4Ukraine fellowship and that the fellow's research under MSCA4Ukraine is not hindered from achieving its goals as outlined in their MSCA4Ukraine application. Furthermore, the host institution must ensure that the potential professional part-time work arrangement does not affect the work-life balance of the researcher, and that the total number of hours worked by the fellow is compliant with legal provisions of the host country (see also Ch.4). The unit contributions will be adjusted pro rata; however, the duration of the grant will not be affected.

<sup>22</sup> European Charter for Researchers: <https://euraxess.ec.europa.eu/jobs/charter/european-charter>

If, due to medical or personal reasons (such as familial care responsibilities), the fellow requires to reduce their workload, part-time work arrangement can also be requested (personal part-time work arrangement). Both the unit contributions, as well as the fellowship duration, will be adjusted pro rata. If applicable, the host institution must submit to AvH relevant documentation which accounts for the part-time work arrangement, such as e.g. a medical certificate, or a personal statement of the fellow (in case of changed family commitments).

If the fellow is actively seeking a part-time contract, a minimum of 50% full-time equivalent (FTE) is required. Insofar as the MSCA4Ukraine employment contract is 50% FTE or more, the MSCA4Ukraine programme does not place restrictions on other contracts the researcher enters into. However, it would be the fellow's responsibility to report any other part-time employment to their host institution in keeping with the host institution's employment policies and national and EU legislation, and to ensure avoidance of any conflict of interest or other concerns (e.g. intellectual property rights, etc.). Any income tax-related issues need to be addressed by the researcher or host organisation in accordance with legal national and European provisions.

AvH must be informed 60 days before any part-time arrangement comes into force, for AvH to be able to verify that such arrangement is compliant with the provisions stipulated in these Terms of Reference for Grantees, and AvH reserves the right to object to such arrangement in the event of non-compliance. Where a 60-day prior notice is not possible, such changes must be communicated at the earliest possible, and a justification for late notification must be provided.

The decision will be taken on a case-by-case basis, considering the professional and personal circumstances of the fellow. Time records demonstrating actual time spent by the fellow working on the MSCA4Ukraine project must be maintained.

## 6.6 CAREER DEVELOPMENT

Academic mentors and host organisations are required to implement the training and networking activities outlined as part of their application. Within the first two months of the fellowship, a career development plan<sup>23</sup> must be prepared jointly by the academic mentor and the fellow and shared with AvH. The plan should outline the fellow's training and career needs, including, for example, training on transferable skills, teaching, planning for publications and participation in conferences and events. Training activities should include training for key transferable skills, foster innovation and entrepreneurship, such as commercialisation of results, Intellectual Property Rights, communication, public engagement and citizen science,

<sup>23</sup> REA template for Career Development Plans: [https://rea.ec.europa.eu/document/download/d338d608-e95c-4c93-a787-156757ac5509\\_en?filename=Career%20Development%20Plan.pdf](https://rea.ec.europa.eu/document/download/d338d608-e95c-4c93-a787-156757ac5509_en?filename=Career%20Development%20Plan.pdf)

and promote Open Science practices (open access to publications and to research data, FAIR data management, etc.).

In addition, the MSCA4Ukraine Consortium will organise networking sessions for MSCA4Ukraine fellows to strengthen their connections with research and innovation communities in Europe and to facilitate maintaining connections to colleagues in Ukraine, including in coordination with the annual Philipp Schwartz Initiative/Inspireurope+ Fora. Fellows are strongly encouraged to participate in these initiatives.

Travel and accommodation expenses of MSCA4Ukraine fellows attending the annual Philipp Schwartz Initiative/Inspireurope+ Fora are to be borne by the fellow's host institution via the MSCA4Ukraine unit contribution towards research, training and networking costs.

In consultation with MSCA4Ukraine fellows and host institutions, the Consortium will also design and implement a series of career development trainings and networking sessions for researchers from Ukraine. The host institution is expected to facilitate the fellows' participation in these primarily virtual trainings and networking opportunities.

For ethics-related training, if applicable, see Chapter 9 on Ethics.

## 6.7 SECONDMENTS

A secondment is an optional component of the application. A secondment can be split into several periods; more than one secondment (to different countries and/or different organisations within the same country other than the host country) is possible. The total duration of all secondment arrangements must not exceed a third of the fellowship duration. Secondments can be undertaken in another EU country<sup>24</sup>, Horizon Europe Associated Country<sup>25</sup>, including Ukraine, or in third countries<sup>26</sup>, except when they are subject to any of

<sup>24</sup> List of EU Member States: [https://european-union.europa.eu/principles-countries-history/country-profiles\\_en](https://european-union.europa.eu/principles-countries-history/country-profiles_en)

<sup>25</sup> List of participating countries in Horizon Europe: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation\\_horizon-euratom\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_en.pdf)

<sup>26</sup> Definition of third country: [https://home-affairs.ec.europa.eu/pages/glossary/third-country\\_en#:~:text=Definition\(s\),%E2%80%A2%C%20as%20defined%20in%20Art](https://home-affairs.ec.europa.eu/pages/glossary/third-country_en#:~:text=Definition(s),%E2%80%A2%C%20as%20defined%20in%20Art)

the EU restrictive measures<sup>27,28</sup>. Given the illegal invasion of Ukraine by the Russian Federation and the involvement of Belarus, there is currently no appropriate context allowing the implementation of any MSCA4Ukraine-related activities with legal entities established in Russia, Belarus, or in non-government controlled territories of Ukraine. Therefore, even where such entities are not subject to EU restrictive measures, such legal entities are not eligible to participate in any capacity<sup>29</sup>.

A secondment might include, for example, a research stay at a Ukrainian institution for part of the fellowship duration, in order to facilitate return to Ukraine if and when safe conditions are met, as judged by official national and/or EU advisories regarding travel to specific countries/regions and safety-related policies of the host institutions. The fellow takes responsibility for complying with the host organisation's health and safety policies, including fieldwork safety policies as applicable, including during the secondment phase. AvH strongly encourages the host institution to conclude a collaboration agreement with the institution where the secondment will take place. It should designate a mentor for the duration of the secondment ("secondment mentor") and cover provisions for the mentoring of the fellow, and in particular those who are PhD candidates. During the secondment, regular and sufficiently frequent contact should be maintained between the secondment mentor, the fellow and the primary host institution, including the primary academic mentor.

If a secondment arrangement was not included in the host institution's MSCA4Ukraine application, it can be planned once the fellowship is underway. Using a form provided by AvH, proposals for secondment arrangements not included in the original application must be submitted to AvH no later than 60 days before the envisaged start date of the secondment and can only begin after written confirmation by AvH. If a secondment arrangement included in the application has been significantly altered, such as a change of the secondment institution, its duration, or to planned activities with ethical relevance, a secondment proposal provided by AvH outlining these changes must also be submitted 60 days in advance of any planned

<sup>27</sup> Horizon Europe Work Programme 2023-2025 / 13. General Annexes (European Commission Decision C(2022)7550 of 6 December 2022), p. 8: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-13-general-annexes\\_horizon-2023-2024\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-13-general-annexes_horizon-2023-2024_en.pdf). EU restrictive measures (<https://www.sanctionsmap.eu/#/main>): Entities subject to EU restrictive measures under Article 29 of the Treaty on the European Union (TEU) and Article 215 of the Treaty on the Functioning of the EU (TFEU) as well as Article 75 TFEU10 are not eligible to participate in any capacity, including as beneficiaries, affiliated entities, associated partners, third parties giving in-kind contributions, subcontractors or recipients of financial support to third parties (if any).

<sup>28</sup> EU Grants: List of participating countries (HE): V2.8 – 05.12.2023: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation\\_horizon-euratom\\_v2.8\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_v2.8_en.pdf). Potential secondments to Hungary must comply with the COUNCIL IMPLEMENTING DECISION (EU) 2022/2506 of 15 December 2022 on measures for the protection of the Union budget against breaches of the principles of the rule of law in Hungary (<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32022D2506>) and consult the EU Funding and Tender Portal: <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>.

<sup>29</sup> Horizon Europe Work Programme 2023-2025/ 13. General Annexes (European Commission Decision C(2022)7550 of 6 December 2022), p. 8: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-13-general-annexes\\_horizon-2023-2024\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-13-general-annexes_horizon-2023-2024_en.pdf).

changes, and AvH must approve it prior to its envisaged starting date. Where a 60-day prior notice is not possible, such changes must be communicated at the earliest possible, and a justification for late notification must be provided.

As a rule, secondments cannot begin during the first 3 months of the grant period. It is required that the ethics self-assessment form submitted upon application to MSCA4Ukraine is reviewed and, if necessary, updated and re-submitted along with any new secondment proposal or if the change to any secondment arrangements is planned.

A secondment at the same institution and with the same secondment mentor may be split up into multiple stays; in this event and, if not included in the MSCA4Ukraine application, only one secondment proposal is to be submitted, and only the final secondment report is required.

A secondment arrangement, independent of whether it was agreed before or after the fellowship is underway, is considered to be a contractual obligation and any change – particularly of the institution hosting the secondment – must be justified and agreed in writing with AvH 60 days before it can begin. Where a 60-day prior notice is not possible, such changes must be communicated at the earliest possible, and a justification for late notification must be provided.

## 6.8 SHORT STAYS

Project-related stays of up to two weeks at another location outside the physical premises of the host institution are not understood to be a secondment and not subject to the provisions for secondments outlined in Chapter 6.7. Short stays must serve the purpose of the research project and/or training of the fellow (e.g. summer schools) and be in line with policies and practices at the host institution, which remains responsible for the implementation of the fellowship. Short visits can also take place during the secondment and should only represent a small part of the project.

## 6.9 PREPARATION FOR REINTEGRATION

While secondments are not required under the MSCA4Ukraine scheme, host institutions and academic mentors are strongly encouraged to take measures to support the fellow's preparation for reintegration into Ukraine, even if such reintegration does not take place within the period of the fellowship. Such preparatory measures might include maintaining or enhancing links to institutions and colleagues in Ukraine through double affiliations, joint supervision of doctoral candidates, teaching, or other arrangements with an organisation in Ukraine. Arrangements should complement, and not conflict with, the commitment to the MSCA4Ukraine grant.

## 6.10 ADDITIONAL AWARDS

Fellows are not permitted to receive additional income from any other source for the research they conduct in the context of the MSCA4Ukraine project, nor for research that substantially overlaps in scope or objectives with that funded by MSCA4Ukraine, with the exception of any payments made by the host institution as a top-up to the MSCA4Ukraine allowances or any payments received in conjunction with establishing or maintaining affiliations with academic institutions in Ukraine. The MSCA4Ukraine grant is not intended to substitute or augment other grants or fellowships. The acceptance of any further awards or salaries during the term of the fellowship is subject to prior written approval by AvH (see Ch.6.5).

## 6.11 FELLOWSHIP INTERRUPTIONS AND EARLY CESSATION

In the event that a fellowship may be interrupted (such as due to parental leave, illness, or special leave and/or general suspension for periods longer than 30 consecutive days) or that a fellowship may end prematurely (such as due to medical, personal, or professional reasons), the host institution must inform AvH as soon as possible. For interruptions which can be classified as a long-term leave, monthly unit contributions will be paused, the fellowship end date will be adjusted according to the interruption length, and a request for long-term leave allowance may be made (see Ch.6.3). If applicable, the host institution must submit documentation which accounts for the fellowship interruption, such as a medical certificate of incapacity to work.

If the fellow seeks to end the MSCA4Ukraine fellowship prematurely, for example to accept another grant or job offer, AvH must be informed as soon as possible, all reporting duties must be fulfilled, and the transfer of fellowship contributions should be stopped on the completion of the fellowship and any advance payments for a period that falls outside the fellowship period must be returned as soon as possible.

## 7. Financial Management, Documentation, and Reporting Duties

### 7.1 FINANCIAL MANAGEMENT

After the grant is accepted via the AvH portal based on these Terms of Reference and the Grant Award Letter, including any relevant data protection declarations and, where applicable, any additional ethics-related stipulations (see Ch.9), AvH will transfer funds related to the fellow unit costs and institutional unit costs to the host institution.



Payments will be calculated on a full-month basis. The cost of bank transfers must be borne by the host institution.

As a rule, payments will be made as follows:

- Initial payment: Funds to cover the first three months of the grant period (for grant periods of six months: funds to cover the first five months of the grant period), including the contributions to the researcher costs and to institutional unit costs, to be paid within the first 3 months of the grant period.
- Interim payment(s), if applicable: payment of all applicable allowances are implemented on a monthly basis.
- Final payment: The final payment of funds to cover the remaining fellowship month will be made upon the fulfilling of all reporting duties by the host institution and approval of the host institution's technical and financial reports, and, if applicable, secondment and ethics reports, by AvH (see Ch.7.3).

## 7.2 DOCUMENTATION

The host institution must retain documentation of payments to fellows and provide this as needed to AvH. Specifically, host institutions must keep records and other supporting documents to prove the proper implementation of the grant until at least end of December 2032. In addition, the host institution must for the same period keep adequate records and supporting documents to prove compliant financial management. The records and supporting documents must be made available upon request or in the context of checks, reviews, audits or investigations. If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the grant, the host institution must keep these records and other supporting documentation until the end of these procedures. The host institution must keep the original documents for the time indicated above. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. AvH may accept non-original documents if they offer a comparable level of assurance. Host institutions may be requested to provide certified translations of documents if they are not in English. Translation costs can be covered from the contribution towards institutional management costs.

## 7.3 REPORTING DUTIES

A Career Development Plan (see Ch.6.6) and a Data Management Plan (see Ch.10) must be submitted to AvH within the first 2 months of the grant.

In addition, the MSCA4Ukraine Consortium will develop a monitoring process based on surveys, such as on the individual fellow's progress regarding academic endeavours, training



activities, and temporary integration in the host academic system. These may include specific survey questions for the period spent at host institutions, as well as during any secondment and after return to Ukraine.

All reports, including the financial report, must be prepared in English, and submitted to AvH digitally (per e-mail).

### **7.3.1. Continuous reporting**

Any publications, IPRs and datasets must be reported as soon as possible and continuously to AvH in a format to be provided by the AvH (via respective Annexes).

### **7.3.2. Interim reports – Cohort 1 (MSCA4Ukraine Call 1, grants that started in 2023-2024)**

The host institution is required to submit for each calendar year in which the grant is implemented a brief periodic report on the progress of the grant, including the research project and the career development of the fellow, and on expenditures relating to the fellowship, in a format to be provided by AvH. Should any secondment have taken place, a separate report for the secondment should be submitted.

Reports including the financial report of the previous calendar year must be submitted by 28 February of the current year. This interim report is not required if the project is completed by the end of March. In this case, the expenditures of the previous calendar year and the expenditures of the current calendar year must be summarised in the report covering both the previous and current calendar year (i.e. for the previous calendar year + January-March of the current calendar year). Should the final report be due earlier than the interim report for the current calendar year, then both reports are due 60 days after the end of the grant.

### **7.3.3. Interim reports – Cohort 2 (MSCA4Ukraine Call 2, grants that started in 2025 and later)**

For grants lasting longer than 12 months, mid-term interim reporting is required. For instance, if the grant's duration is 24 months, then interim reports are due for the first 12 months of the grant. Mid-term interim reports must be submitted within one month of the end of the corresponding reporting period.

The host institution is required to submit a brief periodic report on the progress of the grant (technical report), including on the research project, comprising information on any ethically-

relevant issues, and on the career development of the fellow, and an interim financial report on expenditures relating to the fellowship, in a format provided by AvH. Should any secondment have been completed within the reporting period, a separate report for each completed secondment should be submitted (see Ch.6.7). If the secondment has not been completed within the reporting period, the activities that have taken place during the reporting period must be briefly described in the technical report.

For additional ethics-related reporting, if applicable, see Chapter 9.

### 7.3.4. Final reports

Within 60 days after completion of the fellowship period, the host institution is required to submit a final technical report on the outcomes of the project, any outstanding secondment report (unless already submitted alongside the interim report) and a final financial report on all expenditures relating to the grant, in a format provided by the AvH. These reports should cover the full grant period, and all expenses incurred since the start of the grant.

For additional ethics-related reporting, if applicable, see Chapter 9.

## 8. Checks, Reviews, and Audits

The Consortium implementing the MSCA4Ukraine project may carry out reviews or audits on the proper implementation of the grant and compliance with the obligations under the grant agreement. Reviews and audits may be started during the implementation of the grant and at least until end of December 2032. In reviews, the Consortium may be assisted by independent, outside experts; for audits, the Consortium may use its own audit services, delegate audits to a centralised service or use external audit firms. If the Consortium uses outside experts or external audit firms, the host institution will be informed and have the right to object on grounds of commercial confidentiality or conflict of interest. The host institution must cooperate diligently and provide within the deadline requested any information and data in addition to reports already submitted (including information on the use of resources, complete accounts, individual salary statements or other personal data or any other relevant information as requested). The Consortium may request beneficiaries to provide such information to it directly. The host institution may be requested to participate in meetings, including with the outside experts. For on-the-spot visits, the beneficiary concerned must allow access to sites and premises (including to the outside experts or

external audit firms) and must ensure that information requested is readily available. Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of review findings, a project review report will be drawn up. The Consortium will formally notify the project review report to the host institution, which has 30 days from receiving notification to make observations. Project reviews (including project review reports) will be in English.

Based on audit findings, a draft audit report will be drawn up. The auditors will formally submit the draft audit report to the host institution, which has 30 days from receiving notification to make observations (contradictory audit procedure). The final audit report will take into account observations by the host institution and will be formally notified to them. Audits (including audit reports) will be in English.

The European Commission has the same rights of checks, reviews and audits as the Consortium. The beneficiaries must give the European Commission access to their statutory records for the periodic assessment of simplified forms of funding which are used in EU programmes.

The following bodies may also carry out checks, reviews, audits and investigations – during the action or afterwards:

- the European Anti-Fraud Office (OLAF)
- the European Public Prosecutor's Office (EPPO)
- the European Court of Auditors (ECA)

If requested by these bodies, the host institution must provide full, accurate and complete information in the format requested (including complete accounts, individual salary statements or other personal data, including in electronic format) and allow access to sites and premises for on-the-spot visits or inspections. To this end, the host institution must keep all relevant information relating to the action, until at least end of December 2032 and, in any case, until any ongoing checks, reviews, audits, investigations, litigation or other pursuits of claims have been concluded.

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to grant reduction or other measures. Grant reductions after the final payment will lead to a revised final grant amount. Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations in any EU grant may also lead to consequences in other EU grants awarded under similar conditions. Moreover, findings arising from an OLAF or EPPO investigation may lead to criminal prosecution under national law.

## 9. Ethics

### 9.1 ETHICAL ISSUES

The host institution of the fellow whose project contains ethically relevant issues is responsible for ensuring that the fellowship is carried out in compliance with ethical principles applicable under international, EU and national law. Research carried out under the fellowship must 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), 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.

The host institution must ensure compliance with the highest standards of research integrity as set out, for instance, in the European Code of Conduct for Research Integrity<sup>30</sup>.

The host institution is responsible for obtaining all necessary formal ethics approvals and/or licences from relevant internal ethics boards and/or national authorities as required by relevant national and EU regulations. Funding can only start after AvH receives, reviews and documents relevant licences and approvals as specified in Annex 1 of these Terms of Reference and in any additional ethics-related requirements communicated alongside the Grant Award Letter. Any ethics-related issues arising after the start of the grant and/or during any secondment must also be addressed without delay in accordance with Annex 1 and AvH must be informed accordingly. If ethics-related documents are not in English, they must be submitted together with a summary description of the type of the document and its content in English.

### 9.2 CONDITIONS TO BE FULFILLED BEFORE THE BEGINNING OF THE GRANT

- The host institution of a fellow whose projects contains ethically relevant issues is required to identify a contact person for ethics and inform AvH accordingly.
- The host institution's contact person for ethics will be responsible for ensuring that all necessary formal ethics approvals are obtained as required by relevant national and EU regulations and in due time.
- The host institution is required to submit copies of formal ethics approvals and other ethics-relevant documentation (see Annex 1) specific to the project to AvH before funding is formally approved. If the fellow will carry out the MSCA4Ukraine-funded project within the context of an existing project, then existing approval for that project

<sup>30</sup> The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity\\_horizon\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf)

is sufficient, if all aspects of the fellow's project are covered. If the fellow plans to initiate new research, ethics-relevant documentation specific to this new project (i.e., new ethics approval, certificates, etc.) must be submitted beforehand.

### 9.3 CONDITIONS TO BE FULFILLED DURING THE GRANT IMPLEMENTATION

- The host institution is fully responsible for ensuring that the grant is carried out in accordance with relevant national and EU ethics regulations. Should any research be conducted in a non-EU country, including Ukraine, (e.g. during secondment), compliance with relevant EU regulations must be ensured and documented.
- If there is a recommendation to appoint an ethics mentor or an ethics advisor, such an appointment is mandatory and must take place within the first 4 weeks of the grant. AvH must be informed no later than 1 month after such an appointment took place. If this condition is not fulfilled, AvH reserves the right to delay the initial payment until this condition is fulfilled or withdraw the grant.
- Should any formal approvals be legally required and obtained at a later stage of the grant, all relevant documentation (see Annex 1) must be submitted to AvH no later than one month after it has been obtained.
- The host institution must inform the fellow about any ethics requirements that need to be implemented during the grant and about any formal ethics approvals. The host institution must provide relevant training, if necessary.
- The host institution is encouraged to provide training in ethics and responsible research and innovation to the fellow. Should the fellow be a doctoral candidate, such training is mandatory. The academic mentor and/or the ethics contact person at the host institution will assist the fellow with local ethics procedures and be available to address additional ethics issues that arise during the grant.

### 9.4 ETHICS REPORTING

- The host institution must inform AvH without delay about any new ethically relevant matters arising during the implementation of the grant.
- AvH may determine additional ethics-related conditions where necessary.
- As part of its reporting to AvH, the host institution must provide a separate report on the implementation of ethics in their project, including documentation of compliance with EU laws, should any research be carried out in a non-EU country, including Ukraine, (e.g. during the secondment) and on any ethics-related training.
- Should an ethics mentor or advisor be appointed, they are required to provide an additional interim and final ethics reports to be submitted alongside the other interim and final reports on the implementation of ethics in the project.

## 10. Data Management

The host institution is required to submit a Data Management Plan<sup>31</sup> within 2 months of the grant start date.

The host institution must process personal data related to the grant and collected for research purposes supported by the grant in compliance with the applicable EU, international and national law on data protection. They must ensure that personal data is:

- processed lawfully, fairly and in a transparent manner in relation to the data subjects;
- collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes;
- adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
- accurate and, where necessary, kept up to date;
- kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the data is processed;
- processed in a manner that ensures appropriate security of the data.

The host institution may grant their personnel access to personal data only if it is strictly necessary for implementing, managing and monitoring the grant. The host institution must ensure that the personnel is under a confidentiality obligation. The host institution must inform the persons whose data are transferred to other parties such as AvH.

## 11. Open Science

### 11.1 OPEN ACCESS TO SCIENTIFIC PUBLICATIONS

All peer-reviewed scientific publications arising from Horizon Europe funding, including MSCA4Ukraine, must be made available in open access. This implies that publications are to be made freely available online, immediately upon publication and with no restrictions on use, by depositing them in a repository.

There are two ways to ensure immediate open access:

- Deposit the publication in a repository for scientific publications and ensure open access.

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<sup>31</sup> A useful online tool for the development of data management plans is available at: <https://dmponline.dcc.ac.uk/>

- Publish research in an open access journal.

In both cases publications must be deposited in a repository, even when publishing in an open access journal. Please refer to “How to comply with Horizon Europe mandate for publications”<sup>32</sup> for more information.

The host institution must ensure open access to peer-reviewed scientific publications relating to the fellow’s research results, unless it goes against the legitimate interests of the fellow and/or the host institution. In particular, the host institution must ensure that:

- at the latest at the time of publication, a machine-readable electronic copy of the published version or the final peer-reviewed manuscript accepted for publication, is deposited in a trusted repository for scientific publications;
- immediate open access is provided to the deposited publication via the repository, under the latest available version of the Creative Commons Attribution International Public Licence (CC BY) or a licence with equivalent rights; for monographs and other long-text formats, the licence may exclude commercial uses and derivative works (e.g. CC BY-NC, CC BY-ND);
- information is given via the repository about any research output or any other tools and instruments needed to validate the conclusions of the scientific publication;
- host institutions or fellows retain sufficient intellectual property rights to comply with the open access requirements.

Metadata of deposited publications must be open under a Creative Common Public Domain Dedication (CC 0) or equivalent, in line with the FAIR principles<sup>33</sup> (in particular machine-actionable) and provide information at least about the following: publication (author(s), title, date of publication, publication venue); MSCA4Ukraine funding; licensing terms; persistent identifiers (PIDs) for the publication, the authors involved in the action and, if possible, for their organisations and the grant. Where applicable, the metadata must include PIDs for any research output or any other tools and instruments needed to validate the conclusions of the publication.

For all communication relating to the MSCA4Ukraine grant and for any dissemination of results, such as through publications, posters, conference papers, etc., the host institution and the fellow are required to ensure the visibility of the EU and MSCA4Ukraine emblems, and to acknowledge the funding. For further information see Chapter 15.

Any scientific publications published by the fellows must be reported as soon as possible and continuously to AvH in a format provided by AvH.

<sup>32</sup> See: <https://www.openaire.eu/how-to-comply-with-horizon-europe-mandate-for-publications>

<sup>33</sup> FAIR Principles: <https://www.go-fair.org/fair-principles/>



## 11.2 RESEARCH DATA MANAGEMENT

The host institution must manage the digital research data generated in the project ('data') responsibly, in line with the FAIR principles and by taking all the following actions:

- establish a data management plan ('DMP') and regularly update it;
- as soon as possible and within the deadlines set out in the DMP, deposit the data in a trusted repository;
- as soon as possible and within the deadlines set out in the DMP, ensure open access to the deposited data, under the latest available version of the Creative Commons Attribution International Public License (CC BY) or Creative Commons Public Domain Dedication (CC 0) or a licence with equivalent rights, following the principle 'as open as possible, as closed as necessary', unless providing open access would in particular:
  - be against the host institutions of the fellow's legitimate interests, including regarding commercial exploitation; or
  - be contrary to any other constraints, in particular the EU competitive interests or the beneficiary's obligations under this Agreement; if open access is not provided (to some or all data), this must be justified in the DMP;
- provide information via the repository about any research output or any other tools and instruments needed to re-use or validate the data.

Metadata of deposited data must be open under a Creative Commons Public Domain Dedication (CC 0) or equivalent (to the extent legitimate interests or constraints are safeguarded), in line with the FAIR principles (in particular machine-actionable) and provide information at least about the following: datasets (description, date of deposit, author(s), venue and embargo); acknowledgement of MSCA4Ukraine funding (see Ch.15); grant project name, acronym and number; licensing terms; PIDs for the dataset, the authors involved in the action, and, if possible, for their organisations and the grant. Where applicable, the metadata must include PIDs for related publications and other research outputs.

Datasets published by the fellows must be reported continuously to AvH in a format provided by AvH.

## 12. Research Integrity

Fellows and host organisations must ensure that the highest quality of research conduct is maintained in accordance with the European Charter for Researchers<sup>34</sup>. The host organisation

<sup>34</sup> European Charter for Researchers: <https://euraxess.ec.europa.eu/jobs/charter/european-charter>

must ensure that there are formal, fair and effective processes in place for the investigation of allegations of research misconduct (for example, plagiarism, falsification or fabrication of data, improper data selection, misuse of research funds) when they arise. These processes, together with the agreed procedures for investigating allegations of research misconduct, must be transparent and clearly publicised. The systems in place to manage research misconduct should also align with the basic principles that underpin all research integrity and good practice as outlined below (Ch.16). The host organisation is required to report to AvH all findings of any proven case of research misconduct arising from an MSCA4Ukraine-funded research project.

### 13. Intellectual Property Rights (IPRs)

The Consortium does not obtain ownership of the results produced under the grant. ‘Results’ means any tangible or intangible effect of the action, such as data, know-how or information, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights.

The Consortium has the right to use non-sensitive information relating to the grant and materials and documents received from the host institution and fellow (notably summaries for publication, deliverables, as well as any other material, such as pictures or audio-visual material, in paper or electronic form) for policy, information, communication, dissemination and publicity purposes during the grant or afterwards. The right to use these materials, documents and information is granted in the form of a royalty-free, non-exclusive and irrevocable licence, which includes the following rights:

- a) use for the Consortium’s own purposes (in particular, making them available to persons working for the Consortium or any EU service [including institutions, bodies, offices, agencies, etc.] or EU Member State institution or body; copying or reproducing them in whole or in part, in unlimited numbers; and communication through press information services);
- b) distribution to the public (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non-downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes);
- c) editing or redrafting (including shortening, summarising, inserting other elements (e.g. meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e.g. audio or video files), dividing into parts, use in a compilation);

- d) translation;
- e) storage in paper, electronic or other form;
- f) archiving, in line with applicable document-management rules;
- g) the right to authorise third parties to act on its behalf or sub-license to third parties the modes of use set out in points (b), (c), (d) and (f), if needed for the information, communication and publicity activity of the Consortium;
- h) processing, analysing, aggregating the materials, documents and information received and producing derivative works.

The rights of use are granted for the whole duration of the industrial or intellectual property rights concerned.

If materials or documents are subject to moral rights or third-party rights (including intellectual property rights or rights of natural persons on their image and voice), the host institution must ensure that they comply with their obligations under the grant (in particular, by obtaining the necessary licences and authorisations from the rights holders concerned).

Where applicable, the Consortium will insert the following information:

*“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the [name of granting authority] under conditions.”*

IPRs published by the fellows must be reported continuously to AvH in a format to be provided by the AvH.

## 14. Liability and Indemnity

The MSCA4Ukraine Consortium accepts no responsibility, financial or otherwise, for expenditure or liabilities arising out of work carried out under the grant, including secondment arrangements. The host organisation must fully indemnify the Consortium against all such expenditure or liabilities and against any actions, proceedings, costs, damages, expenses claims and demands arising including, in particular, but without limitation, any claims for compensation for which the host organisation may be liable as an employer or otherwise, or any claims by any person in relation to any intellectual property.

## 15. Acknowledgement of MSCA4Ukraine Funding

For all communication relating to the MSCA4Ukraine grant and for any dissemination of results, such as through publications, posters, conference papers, etc., the host institution and the fellow are required to ensure the visibility of the EU and MSCA4Ukraine emblems:



**Funded by  
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the European Union**



Furthermore, the following acknowledgement must be included:

*“This project has received funding through the MSCA4Ukraine project, which is funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union, the European Research Executive Agency or the MSCA4Ukraine Consortium. Neither the European Union nor the European Research Executive Agency, nor the MSCA4Ukraine Consortium as a whole nor any individual member institutions of the MSCA4Ukraine Consortium can be held responsible for them.”*

In oral presentations, a brief statement of acknowledgement of EU and MSCA4Ukraine funding is to be made. Accompanying biography notes should also refer to the MSCA4Ukraine fellowship and EU funding.

Where possible, reference to the MSCA4Ukraine website should also be included, e.g. in web-based articles and publications: <https://sareurope.eu/msca4ukraine/>

Social media posts which mention fellowship-related work and achievements should include the hashtag **#MSCA4Ukraine**.

## 16. Penalties and Procedures

### 16.1 PENALTIES

In the event of non-compliance to these Terms of Reference for grantees and/or grave violation of these Terms of Reference for Grantees, in particular scientific or other misconduct, including as described in the European Charter for Researchers, the European Conduct of Conduct for Research Integrity<sup>35</sup>, AvH's 'Rules of good scientific practice, procedures, and penalties in the event of malpractice'<sup>36</sup>, AvH on behalf of the Consortium can impose one or several of the following penalties, depending on the nature and gravity of the established non-compliance and/or misconduct:

1. written reprimand of the fellow and/or host institution concerned;
2. request that the fellow concerned retracts the discredited publication or corrects the falsified data (in particular by publishing an erratum), or appropriately indicates the recall of MSCA4Ukraine funding for the concerned publication, for example in the erratum;
3. Temporary suspension of MSCA4Ukraine fellowship funding pending resolution of the issue;
4. Forfeiture of eligibility of institutions for future fellowships, permanent or temporary, depending on the gravity of the scientific malpractice;

<sup>35</sup> See: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity\\_horizon\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf)

<sup>36</sup> See: AvH Rules on Good Scientific Practice, Procedures, and Penalties in the Event of Malpractice: [https://www.humboldt-foundation.de/fileadmin/Bewerben/Allgemein/rules\\_scientific\\_practice.pdf](https://www.humboldt-foundation.de/fileadmin/Bewerben/Allgemein/rules_scientific_practice.pdf)

5. Revocation of funding decisions (complete or partial cancellation of the MSCA4Ukraine grant, suspension or cancellation of the final payment, recall of funds granted, reclaim of funds spent);
6. Exclusion from any MSCA4Ukraine activities.

## 16.2 PROCEDURES

The procedure in the event of a suspected violation of these Terms of Reference for Grantees and/or any misconduct or violation of the European Charter for Researchers<sup>37</sup>, the European Code of Conduct for Research Integrity<sup>38</sup> and/or the MSCA Guidelines on Supervision<sup>39</sup> is essentially based on the following provisions:

1. If the MSCA4Ukraine Consortium should become aware of concrete and sufficiently documented facts, the host organisation and/or fellow in question must be notified of those facts and given an opportunity to respond in writing within four weeks. Simultaneously, funding can be suspended temporarily until the issue is resolved (ref.: point 3 in Ch.16.1). In this phase, the names of any potential sources of information or allegedly damaged parties will not be disclosed without their consent to the fellow concerned or their host institution (whistleblower protection).
2. In order to clarify the issue, the MSCA4Ukraine Consortium is authorised to request oral or written statements from concerned and third parties at any time.
3. If no response is received or if the matter is not fully clarified after review of the statement(s), the Consortium will notify the fellow concerned and their host institution of this fact and will explicitly point out the penalty options available to the Consortium, as well as the right of the fellow concerned, and/or their host institution, to remonstrate within four weeks.
4. If use is not made of the right to remonstrate, the Consortium may impose one of the measures listed above in Ch.16.1.
5. If the remonstration submitted by the person concerned fails to convince the Consortium, and in particular, fails to refute the alleged violation of these Terms of Reference for Grantees and/or the European Code of Conduct for Research Integrity, the MSCA4Ukraine Consortium may impose one of the

<sup>37</sup> See: <https://euraxess.ec.europa.eu/hrexcellenceaward/european-charter-researchers>

<sup>38</sup> See: <https://allea.org/code-of-conduct/>

<sup>39</sup> See: <https://marie-sklodowska-curie-actions.ec.europa.eu/about-msca/msca-guidelines-on-supervision>

above-mentioned penalties. Prior to making the decision, the Consortium may request internal and external expert feedback on the case in discussion, including legal advice and advice from the European Research Executive Agency (REA).

## 17. Relevant Links

AvH Rules of good scientific practice, procedures, and penalties in the event of malpractice:

[https://www.humboldt-foundation.de/fileadmin/Bewerben/Allgemein/rules\\_scientific\\_practice.pdf](https://www.humboldt-foundation.de/fileadmin/Bewerben/Allgemein/rules_scientific_practice.pdf)

Code of Conduct for the Recruitment of Researchers:

[https://euraxess.ec.europa.eu/sites/default/files/brochures/rights\\_leaflet\\_lowres\\_en.pdf](https://euraxess.ec.europa.eu/sites/default/files/brochures/rights_leaflet_lowres_en.pdf)

European Charter for Researchers:

<https://euraxess.ec.europa.eu/hrexcellenceaward/european-charter-researchers>

European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011:

<https://allea.org/code-of-conduct/>

FAIR Principles:

<https://www.go-fair.org/fair-principles/>

Horizon Europe work programme 2021-2022 MSCA:

<https://marie-sklodowska-curie-actions.ec.europa.eu/document/horizon-europe-work-programme-2021-2022-marie-sklodowska-curie-actions>

Horizon Europe work programme 2023-2024 MSCA:

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-2-msca-actions\\_horizon-2023-2024\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-2-msca-actions_horizon-2023-2024_en.pdf)

Information Package for MSCA fellows:



<https://op.europa.eu/en/publication-detail/-/publication/70aa4494-2c4f-11ef-a61b-01aa75ed71a1/language-en>

MSCA Green Charter:

<https://marie-sklodowska-curie-actions.ec.europa.eu/about-msca/msca-green-charter>

MSCA Guidelines on Supervision:

<https://marie-sklodowska-curie-actions.ec.europa.eu/about-msca/msca-guidelines-on-supervision>

## 18. Contact Details

The Alexander von Humboldt Foundation is the primary contact for the management of MSCA4Ukraine grants. Please review these Terms of Reference for Grantees and the FAQs (<https://sareurope.eu/msca4ukraine/faqs-msca4ukraine/>) before submitting a query to the MSCA4Ukraine team at AvH.

Contact: [MSCA4Ukraine@avh.de](mailto:MSCA4Ukraine@avh.de) Website: [www.sareurope.eu/msca4ukraine](http://www.sareurope.eu/msca4ukraine)

## **Annex 1: MSCA4Ukraine: Ethics-Related Requirements**

### **1. Human embryos (hE) / human embryonic stem cells (hESC)**

- 1.1. Information on origin(s) and line(s) of hESCs must be provided.
- 1.2. Details on licensing and control measures by the competent authorities of the Member States involved must be provided.
- 1.3. A declaration confirming that the hESC were not derived from embryos specially created for research or by somatic cell nuclear transfer, that the project uses existing cultured cell lines only, that informed consent has been obtained for using donated embryos for the derivation of the cell lines, that personal data and privacy of donors of embryos for the derivation of the cells are protected according to the data protection rules applicable for the donors and in the EU, and that no financial inducements were provided for the donation of embryos used for derivation of the cell lines, must be provided in the form of an updated Description of Action before grant signature.
- 1.4. The hESC lines to be used in the project must be registered in the European hPSC registry (<https://hpscereg.eu/>). A copy of the certificate of registration must be provided.
- 1.5. The project must be registered in the European hPSC registry (<https://hpscereg.eu/>). Copies of the certificates of registration must be provided.
- 1.6. Copies of ethics approvals for the research activities involving hESC together with the full application(s) must be provided.
- 1.7. Information on the origin of the human embryos must be provided.
- 1.8. Detailed information on informed consent procedures for the use of human embryos must be provided.
- 1.9. Project-specific templates of the informed consent forms and information sheets (in language and terms understandable to the participants) must be provided.
- 1.10. Copies of ethics approvals for the activities involving human embryos together with the full application(s) must be provided.
- 1.11. Other.

### **2. Humans**

- 2.1. Detailed information on the procedures and criteria that will be used to identify/recruit research participants must be provided.

2.2. Detailed information on the informed consent procedures that will be implemented for the research participants must be provided. Information on how personal data will be processed must be included.

2.3. Project-specific templates of the information sheets and informed consent/assent forms (in language and terms understandable to the participants) must be provided. Templates must include all the relevant information regarding the protection of personal data, including the DPO contact details for host institutions required to appoint a DPO under the General Data Protection Regulation 2016/679.

2.4. Clarification whether children and/or adults unable to give informed consent will be involved and, if so, adequate justification for their participation must be provided.

2.5. For children and/or adults unable to give informed consent involved, details on how the consent of the legal representatives and assent of the research participant will be obtained must be provided.

2.6. The beneficiary must check whether the national legislation of the country where the research takes place requires prior authorisation for research involving children and/or adults unable to give informed consent. A declaration confirming that the beneficiary has obtained all the necessary authorisations must be provided before the start of the relevant activities.

2.7. The procedures used to assess the decision-making capacity of the research participants must be provided in order to ensure that the informed consent procedures are adapted to the capacity of the participants.

2.8. Clarification whether vulnerable individuals/groups will be involved, and, if so, adequate measures to protect them, prevent coercion and undue inducement, exacerbation of their vulnerability, and minimise the risk of harm and/or stigmatisation must be provided.

2.9. The capacity to freely give consent might be affected for people in a dependent position (e.g. students, employees, people in prison, or members of the armed forces). In case research participants are in a dependent position, the procedures to ensure their capacity to freely give/withhold consent without undue pressure must be provided.

2.10. Clarification whether invasive physical procedures will be used, and, if so, details on the risks involved and the measures that will be taken to minimise risk and possible pain, must be provided.

2.11. Detailed information on the incidental/unexpected findings policy (including the disclosure policy in case of unexpected findings) must be provided.

2.12. Copies of opinions/approvals by ethics committees and/or competent authorities for the research with humans together with the full application(s) must be provided.

2.13. For each clinical study (as defined by the Clinical Trial Regulation 536/2014), information about the registration of the clinical study in an EU clinical trial registry (within EU) or WHO ICTRP or ICMJE- approved registry (outside the EU) must be provided.

2.14. Other.

### 3. Human Cells and Tissues

- 3.1. Detailed information on the origin of human foetal tissues/cells must be provided.
- 3.2. Detailed information on informed consent procedures for the use of human foetal tissues/cells must be provided.
- 3.3. Copies of ethics approvals for the use of human foetal tissues/cells together with the full application(s) must be provided.
- 3.4. For the use of human cells/tissues available commercially, details on the types of cells/tissues and their provider must be provided.
- 3.5. For human cells/tissues/biological samples obtained within the project, details on the types of cells/tissues/biological samples and their respective ethics approval(s) must be provided.
- 3.6. For human cells/tissues/biological samples obtained from another project/collaborator, details on the types of cells/tissues/biological samples and the respective authorisation(s) by the donors for the secondary use of the samples must be provided. The ethics approval(s) from the primary project as well as the permit from the collaborator must also be provided.
- 3.7. For human cells/tissues/biological samples obtained from a biobank, details on the types of cells/tissues and on the biobank (including, but not limited to, access restrictions) must be provided. Copies of MTAs/sample request forms must be provided.
- 3.8. For human cells/tissues/biological samples obtained from another project/from a biobank, confirmation that informed consent has been obtained/material is fully anonymised/consent for secondary use has been obtained must be provided.
- 3.9. The project and the iPSC lines used must be registered in the European hPSC registry (<https://hpscereg.eu/>). Copies of the certificates of registration must be provided.
- 3.10. Other.

### 4. Personal Data

- 4.1. The beneficiary must check if special derogations pertaining to the rights of data subjects or the processing of genetic, biometric and/or health data have been established under the national legislation of the country where the research takes place. A declaration of compliance with the applicable national legal framework(s) must be provided.
- 4.2. Detailed justification for the processing of sensitive (“special categories”) of personal data, as listed in art.9 of the General Data Protection Regulation 2016/679, must be provided.
- 4.3. Clarification on how all the personal data that will be processed are relevant and limited to the purposes of the research project (in accordance with the “data minimisation” principle) must be provided.

- 4.4. A description of the technical and organisational measures that will be implemented to safeguard the rights and freedoms of the data subjects/research participants must be provided.
- 4.5. A description of the security measures that will be implemented to prevent unauthorised access to personal data or the equipment used for processing must be provided.
- 4.6. A description of the anonymisation/pseudonymisation techniques that will be implemented must be provided. When personal data are not anonymised/pseudonymised, a justification for not anonymising/pseudonymising the relevant data must be provided.
- 4.7. For personal data that are to be transferred from the EU to a non-EU country or international organisation, a justification that such transfers are in accordance with Chapter V of the General Data Protection Regulation 2016/679 must be provided.
- 4.8. For personal data that are to be transferred from a non-EU country to the EU (or another third country), a justification that such transfers comply with the laws of the country in which the data was collected must be provided.
- 4.9. Detailed information on the informed consent procedures related to the processing of personal data must be provided.
- 4.10. Project-specific templates of the information sheets and informed consent forms related to the processing of personal data (in language and terms understandable to the participants, including the DPO contact details for host institutions required to appoint a DPO under the General Data Protection Regulation 2016/679) must be provided.
- 4.11. For research involving profiling, an explanation must be provided on how the data subjects/research participants will be informed of the existence of the profiling, its possible consequences, and how their fundamental rights will be safeguarded.
- 4.12. An explicit confirmation that the data used in the project is publicly available and can be freely used for the purposes of the project must be provided.
- 4.13. For the further processing of previously collected personal data, an explicit confirmation must be provided that the beneficiary has the lawful basis for data processing and that the appropriate technical and organisational measures are in place to safeguard the rights of the data subjects.
- 4.14. The ethics risks related to the data processing activities of the project must be evaluated. This evaluation must include an opinion if a Data Protection Impact Assessment (DPIA) should be conducted under art.35 of the General Data Protection Regulation 2016/679. The risk evaluation, the opinion, and, if applicable, the DPIA, must be provided.
- 4.15. Other.

## 5. Animals

5.1. Copies of relevant user authorisations (animal facilities) and project authorisations (including full application) for the activities involving animals (covering also the work with genetically modified animals, if applicable) must be provided.

5.2. Detailed information on the nature of the experiments (including the estimated number of animals, a justification for this number, and the harm that will be caused to the animals) and the measures to ensure animal welfare and adherence to the Three Rs principle must be provided. Details on the procedures, anaesthesia and analgesia protocols, post-procedural follow-up, care and other refinement methods, procedure-specific early identification of pain, humane endpoints and euthanasia methods to be used must be provided.

5.3. Copies of training certificates/personal licenses of the staff involved in the activities with animals must be provided.

5.4. Clarification whether [non-human primates] [endangered species] will be involved in this project and justification why the purpose of the procedure(s) cannot be achieved using species other than [non-human primates] [endangered species] must be provided.

5.5. Copies of the individual history files of the non-human primates/dogs/cats used for the purposes of the project must be provided. Each file must contain the information referred to in art. 31(1) and (2) of the Directive 2010/63/EU.

5.6. In case endangered species are involved, a confirmation must be provided that all appropriate authorisations for the supply/use of endangered species (including, where applicable CITES) will be in place before the start of the relevant activities.

5.7. Other.

## 6. Non-EU

6.1. Activities undertaken in non-EU countries must be legal in at least one EU Member State and comply with the Horizon Europe ethical standards. Detailed information on compliance of the relevant activities with respective legal framework(s) must be provided.

6.2. Detailed information and relevant documentation to demonstrate that the activities with animals performed in non-EU countries comply with the requirements of Directive 2010/63/EU (including but not limited to the Three Rs principle, origin and housing of animals, competence of personnel, killing methods of animals, animal welfare body, evaluation of protocols, inspections) must be provided.

6.3. Detailed information on the fair benefit-sharing arrangements with stakeholders from low and/or lower-middle income countries must be provided.

6.4. Details on the material that will be imported to/exported from the EU or between non-EU countries (and relevant import/export authorisations as required by national/EU legislation and/or the Material Transfer Agreements) must be provided.

6.5. An assessment of the risks to research participants and staff involved in this project and detailed information on the measures to minimise those risks (i.e. developing tailored security, health and safety plans) must be provided.

6.6. Copies of opinions/approvals by the local ethics committees and/or competent authorities together with the full application(s) must be provided.

6.7. Other.

## 7. Environment, Health and Safety

7.1. Detailed information about the possible harm to the environment caused by the research and the measures that will be taken to mitigate the risks must be provided.

7.2. Copies of authorisations for relevant facilities (e.g., security classification of laboratory, GMO authorisation) must be provided.

7.3. Details demonstrating that appropriate health and safety procedures conforming to relevant local/national guidelines/legislation are followed for staff involved in this project must be provided.

7.4. Details on the protected areas and/or endangered species involved in or affected by the research, and the measures to minimise the impact of the activities must be provided.

7.5. Copies of relevant authorisations [please specify] must be provided.

7.6. Other.

## 8. Artificial Intelligence

8.1. A human right impact assessment covering the development, deployment and post-deployment phases, including detailed information on how respect for fundamental human rights and freedoms will be ensured, must be provided. [please specify specific concerns where relevant]

8.2. A detailed explanation on the measures taken to prevent/avoid potential bias, discrimination and stigmatisation in input data and algorithm design and outcomes must be provided.

8.3. A detailed explanation on how the research participants and/or end-users will be informed about: (1) their interaction with an AI system/technology (if relevant); (2) the abilities,



limitations, risks and benefits of the AI system/technique; (3) the manner in which decisions are taken and the logic behind them (if relevant) must be provided.

8.4. The beneficiary must evaluate the ethics risks related to the AI and describe the measures set in place to prevent/mitigate any potential negative personal/social/environmental impacts during the research, deployment and post-deployment phases. The assessment and the risk mitigation plan must be provided.

8.5. An explanation on how humans will maintain meaningful control over the most important aspects of decision-making process [please specify] must be provided.

8.6. Copies of ethics approvals for the research together with the full application(s) must be provided.

8.7. Other

## 9. General/Other

9.1. A risk assessment and details on measures to prevent the misuse of the research and its findings must be provided.