UNDERSTAND THE DIMENSIONS OF ORGANISED CRIME AND TERRORIST NETWORKS FOR DEVELOPING EFFECTIVE AND EFFICIENT SECURITY SOLUTIONS FOR FIRST-LINE-PRACTITIONERS AND PROFESSIONALS

Deliverable D1.2
Data management plan (Month 18)
Project

Acronym: TAKEDOWN
Title: UNDERSTAND THE DIMENSIONS OF ORGANISED CRIME AND TERRORIST NETWORKS FOR DEVELOPING EFFECTIVE AND EFFICIENT SECURITY SOLUTIONS FOR FIRST-LINE-PRACTITIONERS AND PROFESSIONALS

Coordinator: SYNYO GmbH

Reference: 700688
Type: Research and Innovation Action (RIA)
Program: HORIZON 2020
Theme: Investigating the role of social, psychological and economic aspects of the processes that lead to organized crime (including cyber related offenses), and terrorist networks and their impact on social cohesion

Start: 01. September 2016
Duration: 36 months

Website: http://www.takedownproject.eu

Consortium: SYNYO GmbH (SYNYO), Austria
Fundación Euroárabe de Altos Estudios (FUNDEA), Spain
Universitat Autònoma de Barcelona (IDT-UAB), Spain
Middlesex University (MU), United Kingdom
University of Leeds (UNIVLEEDS), United Kingdom
ETH Zurich – Center for Security Studies (CSS), Switzerland
Technion Israel Institute of Technology (TECHNION), Israel
Czech Technical University (CVUT), Czech Republic
Technische Universität Darmstadt (TUDA), Germany
Agenfor Italia (AGENFOR), Italy
Center for the Study of Democracy (CSD), Bulgaria
Peace Action Training and Research Institute of Romania (PATRIR), Romania
University of Security Management in Kosice (VSBM), Slovakia
Leuven Security Excellence Consortium vzw (LSEC), Belgium
Agency for European Integration & Economic Development (AEI), Austria
Valencia City Council - Local Police (PLV), Spain
Police Academy in Szczytno (WSPol), Poland
Cloud security Alliance (CSA), United Kingdom
Deliverable

Number: D1.2
Title: Data management plan
Lead beneficiary: SYNYO
Work package: WP1 Management: project coordination and reporting
Dissemination level: Public (PU)
Nature: ORDP

Due date: 28.2.2017
Submission date: 28.2.2017 (updated 28.02.2018)

Authors: Florian Huber, SYNYO
Bernhard Jäger, SYNYO
Peter Leitner, SYNYO
Rebeca Varela, IDT-UAB
Emma Teodoro, IDT-UAB

Contributors: All partners

Acknowledgement: This project has received funding from the European Union’s Horizon 2020 Research and Innovation Programme under Grant Agreement No 700688.

Disclaimer: The content of this publication is the sole responsibility of the authors, and in no way represents the view of the European Commission or its services.
# Table of Content

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive Summary</td>
<td>5</td>
</tr>
<tr>
<td>1. Introduction</td>
<td>6</td>
</tr>
<tr>
<td>2. Data summary</td>
<td>7</td>
</tr>
<tr>
<td>3. FAIR data</td>
<td>10</td>
</tr>
<tr>
<td>4. Allocation of resources and data security</td>
<td>13</td>
</tr>
<tr>
<td>5. Ethical aspects</td>
<td>14</td>
</tr>
<tr>
<td>6. Outlook towards next DMP</td>
<td>19</td>
</tr>
<tr>
<td>7. Update of the ethical aspects</td>
<td>20</td>
</tr>
<tr>
<td>ANNEX</td>
<td>21</td>
</tr>
</tbody>
</table>
Executive Summary

Data management is a crucial issue for research and innovation projects and many mistakes were made in the past, when no one was actually thinking about what to do with the data and how to preserve them or make them available for other researchers too. This first Data Management Plan (DMP) shows that there are mainly eight data sets that will be produced as part of the project activities and that are relevant to be included in the DMP. These data sets cover the collected stakeholder contacts, public security services and digital security solutions. Furthermore, the empirical research will generate data from the quantitative survey, expert interviews, focus groups and workshops. Additionally, also the validation of the TAKEDOWN solutions will generate data.

Due to privacy and security concerns related with the sample size, the qualitative research data will not be made openly accessible as primary data but in a processed form. Due to the scope of the research and the intended sample size, it is planned to make the data from the quantitative survey openly accessible on the data repository Zenodo. Furthermore, reports working with the qualitative data will also be accessible. The consortium will also aim at open access when publishing papers and articles. However, these steps will be done in accordance with the ethical guidelines elaborated in this report as well as in D2.2.

The DMP is a living document and hence several issues will be updated and further questions will be answered in the second version, which will be finalized in month 18.
1. Introduction

Research and innovation projects such as TAKEDOWN usually produce large sets of data. Depending on the discipline, the data could come for example from social science research, laboratory testing, field studies or observations. However, it often remains unclear and uncertain, what will happen with the data after they were analysed and the project was finished. Furthermore, a lot of data sets are potentially interesting also for other researchers, but due to the fact that they are either stored on a local serves or miss crucial meta-data (or both), their potential value cannot be exploited. Hence, researcher need to think about the data that they will produce at the beginning of the research – and this is exactly the purpose of the Data Management Plan (DMP).

The purpose of the Data Management Plan (DMP) is to provide an analysis of the main elements of the data management policy that will be used in the TAKEDOWN project and by the consortium with regard to the project research data. The DMP covers the complete research data life cycle. It describes the types of research data that will be generated or collected during the project, the standards that will be used, how the research data will be preserved and what parts of the datasets will be shared for verification or reuse.

The DMP is a living document, which will evolve during the lifespan of the project, particularly whenever significant changes arise such as dataset updates or changes in Consortium policies. This document is the first version of the DMP, delivered in Month 6 of the project. It includes an overview of the datasets to be produced by the project, and the specific conditions that are attached to them. Although this report already covers a broad range of aspects related to the TAKEDOWN data management, the upcoming versions will get into more detail on particular issues such as data interoperability and practical data management procedures implemented by the TAKEDOWN project consortium.

The following section of the DMP provides an overview of the data sets, which will be produced in the TAKEDOWN project. It describes the origins of the data as well as the formats the allocation the particular WPs. Furthermore, it highlights the purpose of the collection as well as information on the utility. Section 3 clearly points out, which data will be made openly accessible and which won’t – including detailed justifications for the reasons. This is especially relevant for the primary data that will be collected as part of the empirical research. Furthermore, the section also provides details on the data repositories or other locations, where the data will be stored. Section 4 highlights main aspects related to the costs of the accessibility, whereas Section 5 discusses the main ethical issues. The final section provides an outlook on the open issues and questions to be addressed in the next DMP report.
2. Data summary

In order to provide an overview of the different data sets that are currently and will be produced in the TAKEDOWN project, the following table shows the data type, the origin of the data, the related WP number and the format, in which the data will be presumably stored.

<table>
<thead>
<tr>
<th>#</th>
<th>Data type</th>
<th>Origin</th>
<th>WP#</th>
<th>Format</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Stakeholder contacts collection</td>
<td>Publicly available data</td>
<td>2</td>
<td>.xls</td>
</tr>
<tr>
<td>2</td>
<td>Public security services collection</td>
<td>Publicly available data</td>
<td>2</td>
<td>.xls</td>
</tr>
<tr>
<td>3</td>
<td>Digital security solutions collection</td>
<td>Publicly available data</td>
<td>2</td>
<td>.xls</td>
</tr>
<tr>
<td>4</td>
<td>Quantitative survey data</td>
<td>Primary data</td>
<td>3</td>
<td>.xls + .csv</td>
</tr>
<tr>
<td>5</td>
<td>Expert interview data</td>
<td>Primary data</td>
<td>3</td>
<td>.mp3 + .docx + .txt</td>
</tr>
<tr>
<td>6</td>
<td>Focus groups data</td>
<td>Primary data</td>
<td>3</td>
<td>.docx + .txt</td>
</tr>
<tr>
<td>7</td>
<td>Workshops data</td>
<td>Primary data</td>
<td>3</td>
<td>.docx + .txt</td>
</tr>
<tr>
<td>8</td>
<td>Validation cycles data</td>
<td>Primary data</td>
<td>7</td>
<td>.xls + .csv</td>
</tr>
</tbody>
</table>

Table 1: Data sets overview

Table 2 describes the data set and the purpose of the data collection of data generation in relation with the objectives of the project. Additionally, it shows the data utility for clarifying to whom the data might be useful.

<table>
<thead>
<tr>
<th>#</th>
<th>Data type</th>
<th>Description &amp; Purpose</th>
<th>Utility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Stakeholder contacts collection</td>
<td><strong>Description</strong> The data contain information on the main stakeholders of TAKEDOWN along the major stakeholder groups. They include researchers, practitioners, policy makers, law enforcement agencies, NGOs and other initiatives as well as security solutions providers. The contact information that is collected includes the name, institutional affiliation, position, email address, phone number and office address. <strong>Purpose</strong> The collection will be used for contacting the respondents of the empirical research as well as the validation of the project outcomes. It also provides the basis for the dissemination of the project and for promoting the TAKEDOWN solutions.</td>
<td>The data could be on the one hand useful for research, as they comprise a large part of the ecosystem. Furthermore, the data might also be interesting for the private sector as target groups of their products.</td>
</tr>
<tr>
<td>2</td>
<td>Public security services collection</td>
<td><strong>Description</strong> The data set is a collection of public security services such as helplines, online reporting platforms or information sites. It covers most of the European countries and the entries are providing information on the name, the purpose or focus (OC or TN of both), the institution</td>
<td>These data are on the one hand useful for initiatives working in the field of counter violent extremism (CVE) and against organized crime, because it allows them to get an overview on</td>
</tr>
<tr>
<td></td>
<td>Digital security solutions collection</td>
<td></td>
<td>Quantitative survey data</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
</tbody>
</table>
|  | **Description** The data set structures and clusters digital security software and hardware from European companies along several main categories. They include the name of the solution, the field where it can be applied, the geographical scope and the status (laboratory, market-ready etc.). Additionally it includes a brief description of the solution, the operational language, the target group, the vendor, the country of the company and the link to the solution.  
**Purpose** The collection is used for getting an overview of existing software and hardware tools, which aim at fighting organized crime and terrorist networks. Additionally, it will be accessible for LEAs and professionals on the TAKEDOWN Solutions Platform.  
These data can be useful on the one hand for LEAs, which are looking for specific software or hardware against particular phenomena related to OC or TN. Furthermore, they can also be useful for private security companies working in one of these fields. The data might also be useful for solution developer in order to get a market overview as well as for investors, who are looking for future products to invest in. | **Description** This data set contains the data from the quantitative survey, which is conducted in the TAKEDOWN project. The target group of the survey is first-line practitioners (such as teachers, social workers, street workers, community police officers etc., who are working with people at risk of becoming involved in OC or TN. In addition to getting information on how they are dealing with these issues in their daily practice, the survey strongly aims at getting an understanding what they actually need in order to make their work easier and how toolkits need to be shaped in order to be a real support for them. The quantitative survey will be implemented as an online survey and aims at a minimum of 1,000 recipients.  
**Purpose** The outcomes of the survey will be used to develop the practitioner toolkits, the policy recommendations and the digital Open Information Hub.  
The large-scale survey, which will be implemented in TAKEDOWN, is the first one of this kind and of this scope. On the one hand, the outcomes will be crucial for understanding the needs and requirements of the first-line practitioners and for developing the toolkits etc. On the other hand, the data will be interesting for other researchers working in this field – either for (full or partial) secondary analysis, for a comparative analysis with other data or for a panel (longitudinal) survey. | **Description** The data contain of recordings, transcriptions and notes from about 40 qualitative expert interviews with researchers and policy makers. The information provided in the data is not only crucial for TAKEDOWN, but it can also be useful for research as |
| 6 | Focus groups data | **Description** | The dataset contains protocols, written notes and summaries from the five focus groups that are held in different countries and attended by practitioner organizations and LEA representatives.  
**Purpose** The focus groups aim at getting in-depth insights on the challenges and obstacles that these stakeholders are facing related to OC and TN. The acquired knowledge will help the consortium to shape the toolkits, the open information hub and the digital solutions platform. | The data are not only crucial for TAKEDOWN, but they are also useful for OC or TN research and policy making. Also practitioners and LEAs might benefit from it. |
| 7 | Workshops data | **Description** | The data contain protocols, written notes and summaries that were done at the three workshops, which are organized in different countries. The workshops aim at developers and providers of technical solutions.  
**Purpose** The information gathered at the workshops will support the development of the TAKEDOWN Solutions Platform by being able to take into account the requirements of the security industry. | The information provided in the data is not only important for TAKEDOWN, but it can also be useful for research as well as for policy making. Also practitioners and LEAs might benefit from it. |
| 8 | Validation cycles data | **Description** | The data from the evaluation of the non-digital and the digital solutions shows how major stakeholder groups experience their usability and relevance.  
**Purpose** The validation provides the basis for improving and releasing the final solutions. | The data from the validation of the non-digital and the digital solutions do mainly have an internal use for improving the solutions and for the lessons-learned. |
3. FAIR data

Making data openly accessible

The following table is highlighting A) which data that are produced and used in the project and B) will be made openly available. It also explains why several datasets cannot be shared because of particular reasons. For these cases, an alternative solution is provided.

<table>
<thead>
<tr>
<th>#</th>
<th>Data type</th>
<th>Data openly available (y/n)</th>
<th>Justification</th>
<th>Alternative solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Stakeholder contacts collection</td>
<td>No</td>
<td>Although the contacts of the collection are professionals’ contacts that are publicly available, the consortium can’t publish them due to potential misuse caused by automated Spam programs.</td>
<td>The statistical information on the stakeholder data (such as how many, from which countries, which professions etc.) will be integrated in the public report D2.6. In case an external institution is looking for contacts in a specific and the coordinator doesn’t see any privacy concerns, relevant contacts might be forwarded.</td>
</tr>
<tr>
<td>2</td>
<td>Public security services collection</td>
<td>Yes</td>
<td>(not relevant)</td>
<td>(not relevant)</td>
</tr>
<tr>
<td>3</td>
<td>Digital security solutions collection</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Quantitative survey data</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Expert interview data</td>
<td>No</td>
<td>The data from the expert interviews (recordings, protocols and transcriptions) will not be published as primary data due to privacy and security concerns. Anonymization is not considered as an alternative, because the sample size allows drawing conclusions on the respondents.</td>
<td>The categorization, analysis and interpretation of the primary data will be accessible in the public report D3.6 (and others) that can be accessed on the TAKEDOWN project.</td>
</tr>
<tr>
<td>6</td>
<td>Focus groups data</td>
<td>No</td>
<td>The data from the focus groups (recordings, protocols and transcriptions) will not be published as primary data due to privacy and security concerns.</td>
<td></td>
</tr>
</tbody>
</table>
Anonymization is not considered as an alternative, because the sample size allows drawing conclusions on the respondents. Furthermore, the outcomes will also be disseminated in scientific publications.

The data from the workshops (recordings, protocols and transcriptions) will not be published as primary data due to privacy and security concerns. Anonymization is not considered as an alternative, because the sample size allows drawing conclusions on the respondents.

The data from evaluation survey will not be published due to privacy and security concerns. Anonymization is not considered as an alternative, because the sample size allows drawing conclusions on the respondents.

The deliverable D7.3 will report on the validation and the development of the final non-digital and digital solutions based on the validation.

Table 3: Data sets accessibility

As it was indicated above, the following data sets will be made openly accessible: Data type #2 (Public security services collection), #3 (Digital security solutions collection) and #4 (Quantitative survey data). The following table describes the accessibility details of these particular datasets.

<table>
<thead>
<tr>
<th>#</th>
<th>Data type</th>
<th>Location</th>
<th>Level of accessibility</th>
<th>Type of availability and required software tools</th>
<th>Information on metadata and additional data information</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Public Security Services</td>
<td>TD Solutions Platform</td>
<td>Public</td>
<td>Filterable and searchable database; can be accessed with a state-of-the-art webbrowser</td>
<td>No metadata needed; additional information will be provided on the platform</td>
</tr>
<tr>
<td>3</td>
<td>Digital security solutions collection</td>
<td>TD Solutions Platform</td>
<td>Validated professionals</td>
<td>Filterable and searchable database; can be accessed with a state-of-the-art webbrowser</td>
<td>No metadata needed; additional information will be provided on the platform</td>
</tr>
<tr>
<td>4</td>
<td>Quantitative survey data</td>
<td><a href="https://zenodo.org/">https://zenodo.org/</a></td>
<td>Registered ZENODO users</td>
<td>Cleaned primary data; can be accessed with SPSS, Excel or</td>
<td>Metadata as well as a codebook will be deposited in the data repository Zenodo</td>
</tr>
<tr>
<td></td>
<td></td>
<td>open source data analysis software (such as PSPP etc.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>-------------------------------------------------------</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Table 4: Details on accessible data sets**

As it is indicated in the table, especially dataset #4 (Quantitative survey data) can be accessed with commercial statistical programs such as SPSS or with open source programs such as PSPP. An account at the Zenodo repository was created by the TAKEDOWN coordinator and a TAKEDOWN community, where the dataset as well as papers, reports and presentations will be published, was installed. The consortium will follow the conditions, rules and regulations from the Zenodo repository – including the settings for accessing the dataset.
4. Allocation of resources and data security

The consortium will use the free-of-charge Zenodo repository for making the dataset #4 (Primary data from the qualitative survey) accessible. Additionally, also the reports D2.6 and D3.6, which includes the analysis of the expert interview, the workshops and the focus groups, will be published there. This will ensure that the data are safely stored in this certified repository for long term preservation and curation.

The handling of the Zenodo repository on behalf of TAKEDOWN as well as all data management issues related to the project fall in the responsibility of the coordinator.

As for the publications, where the analyses of the empirical research data will be presented, the consortium will publish them in scientific journals that allow open access the costs related to open access will be claimed as part of the Horizon 2020 grant.
5. Ethical aspects

In order to ensure that all ethical aspects are considered and that the TAKEDOWN project is compliant with all legal requirements and ethical issues, a general strategy has been designed by the Ethics leader (IDT-UAB). This strategy involves an ad hoc monitoring process of the project development by applying the privacy-by-design approach through a methodological design based on a “Socio-legal Approach.” This is a risk approach to privacy and data protection issues in line with the new General Regulation for Data Protection. The complete strategy is included in Deliverable 2.2.

This general strategy for the monitoring of the ethical and privacy implications of the TAKEDOWN project consists of the following four steps.

- **Knowledge acquisition:** This task will include the study of the needs of the empirical research of the project. It will also include the study of all the stakeholders involved in the project and all their potential interactions with the Open Information Hub and the Solutions platform.

- **Privacy-impact-assessment (PIA):** A PIA (Wright & de Hert 2012) will be conducted to study all the scenarios in which, during the project lifecycle, personal data rights can be at stake. Special attention will be paid to activities involving data collection from external participants.

- **Risk mitigation strategy:** Initial, mid-term and final recommendations, prepared by the Ethics leader (IDT-UAB), regarding compliance with the relevant ethical and legal provisions.

- **Ongoing Monitoring:** In order to ensure that all data collection, storage, protection, retention and destruction during the project are developed in full compliance with EU legislation and relevant national provisions, an Ethics Board has been included in the management structure.

At this stage, a set of initial recommendations have been generated by the Ethics leader (IDT-UAB) for the three main domains of the project: (i) empirical research, (ii) Open Information Hub and, (iii) Solutions Platform.

**Initial Recommendations in relation to the empirical research task within the TAKEDOWN project**

The set of recommendations presented here suggest procedures, measures or strategies for conducting a proper and responsible empirical research according to the ethical and legal requirements previously identified. These recommendations are the results of the potential risks detected through: i) the EUROPRISE criteria, and ii) the application of the Privacy Impact Assessment methodology. The structure of these recommendations represents the different domains of the TAKEDOWN research that are relevant for the ethical and legal requirements and potential risks detected through the previously stated methodologies.

<table>
<thead>
<tr>
<th>Data formats and software</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.R1</strong> Online Survey: Detailed information on open source software tool for programming the European-wide online survey will be provided (SocialSci, ScoGosurvey, LimeSurvey or Survey Monkey).</td>
</tr>
<tr>
<td><strong>1.R2</strong> Expert interviews: Specific guidance to researchers will be provided about techniques and procedures to conduct expert interviews. Data formats and software to manage the information gathered through the interviews will be specified, specially taking into account the potential variety of research material that can be generated (interviews transcriptions, audio recordings, images, ethnographic diaries, written texts).</td>
</tr>
<tr>
<td>1.R3</td>
</tr>
<tr>
<td>2A.R1</td>
</tr>
<tr>
<td>2B.R1</td>
</tr>
<tr>
<td>2B.R2</td>
</tr>
<tr>
<td>2B.R3</td>
</tr>
</tbody>
</table>

**Processing qualitative data files**

| 3.R1 | The Consortium will evaluate a secure storage system in addition to the repository. |
| 3.R2 | Primary and secondary research data will be stored in a secure and accessible form. |
| 3.R3 | It is necessary to define who, when and under which conditions data can be accessed (raw data/analyzed data). Definition of access rights for: folders and files, particularly when they are stored on a server instead of a single computer. |
| 3.R4 | Define procedures for backup and recovery of data (frequency and reliability). |
| 3.R6 | Data disposal (erasure of data). |
| 3.R7 | Specification of procedures for keeping data accessible in terms of migration (conversion of data files from older formats to newer ones) and refreshing (transfer of data from one storage tool to another). |

**Physical data storage**

**Anonymisation, confidentiality and personal data**

| 4.R1 | **Online survey**: Ensuring anonymity and confidentiality. |
| 4.R2 | **Interviews**: Anonymity and use of coded data - replacing personal names with pseudonyms or categories. (example: replace Maria by female subject or woman)- change or remove sensitive information (example: “I studied in Oxford” by “I studied in University”). |
| 4.R3 | **Interviews**: Each researcher is responsible for guaranteeing the confidentiality of the information gathered from the data subject. |
| 4.R4 | **Focus groups and Workshops**: Specific information must be provided to the participants in relation to the type of information to be collected: video, audio, transcripts. |
| 4.R5 | **Storage of data collected**: Data collected will be stored by each partner in local and protected with password or equivalent measures. Each partner will ensure that only authorized researchers and for the purpose of the TAKEDOWN research have access to the data. As this data is stored in local, each partner can be considered liable for the misuse of such data. |
| 4.R6 | **Stakeholder’s database**: Information collected will be restricted to professional information gathered from open sources. In case a researcher has private or private obtained information he/she should introduce only the “available upon request” phrase. Prior to the transmission of this private obtained information, as a result of a request by other researcher from the Consortium, consent must be obtained from the data subject. |
Stakeholder’s database: Professional information gathered from open sources can be considered covered by the exemption to the obligation to inform the data subject contained in article 14.5 (b) of the General Regulation. However, the safeguards referred to in article 89.1, in relation to the data minimization principle (as defined in article 5.1 (c), will be respected.

Summary of empirical research: No personal data or sensitive information will be included in the summary. In order to ensure this, the summaries will be sent to the EAB leader for checking before sharing with the rest of the Consortium.

Table 5: Initial informations for the Empirical Research

| 5.R1 | The participation information sheet provided will include: contact information, subject and objectives of the research, data collection methods, voluntary nature of participation, confidentiality, and information about the potential reuse of data. |
| 5.R2 | The participant information sheet will be specific for each research activity: online survey, interviews, focus groups and workshops. |
| 5.R3 | The informed consent form has to include the information sheet and a certificate of consent. A model is provided by the Ethics Board. |
| 5.R4 | The informed consent form must specific for each type of data that will be collected, especially regarding video and audio recording. |
| 5.R5 | Research participants must be informed that they may withdraw from the project at any moment, without having to explain the reasons, and without any repercussion. |

Initial Recommendations in relation to the Open Information Hub within the TAKEDOWN project

The set of Recommendations presented here suggest procedures, measures or strategies to be included in the design of the Open Information Hub. The structure of these recommendations represents the different domains of the Open Information Hub that are relevant for the ethical and legal requirements and potential risks detected through the previously stated methodologies.

<table>
<thead>
<tr>
<th>Scope of information collected and purposes of collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.R1</td>
</tr>
</tbody>
</table>

Notice and rights of the individual

| 2.R1 | When the information is obtained from the data subject the Open Information Hub will provide information according to article 13 and gather the subject consent. |
| 2.R2 | Regarding personal data in the Open Information Hub, only data obtained from the data subject will be processed. |
| 2.R3 | In case that the Open Information Hub provides the users with the possibility to include data, a disclaimer should be included stating that the user acknowledges that the inclusion of personal data from other subjects is not allowed.1 |
| 2.R4 | Any natural person whose data is available in the Open Information Hub will have the right to access, modify and erase such data. |

Uses of the Open Information Hub and information collected

---

1 Proposed text for the disclaimer “I understand that personal data that has not been obtained from the data subject with the appropriate consent cannot be shared through this Open Information Hub.”
More information is needed related to the digital reporting functionality.

In case the information is used for the reporting of malicious/suspicious activities the exceptions concerning the use of personal data by competent authorities for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties will be taken into account.\(^2\)

In case that the digital reporting tool allows for personal data to be uploaded only relevant competent authorities, according to national legislation, will have access to this data.

Access roles and permissions will be defined in the first steps of the designing and development process.

Retention

The Consortium will take into account that for the purposes of the TAKEDOWN project the retention period is the one used in the relevant field, by analogy to the administrative and financial issues this should be 5 years. (Grant agreement article 18)

The Consortium will take into account that in case of a future exploitation of the Open Information Hub, different retention periods may apply, depending on the national legislations.

Technical aspects and security

When defining roles and permissions special attention will be paid to the possibility to track any interaction with the platform that entails access, modification and deletion of personal data.

Table 6: Initial Recommendations for the Open Information Hub

Initial Recommendations in relation to the Solutions Platform within the TAKEDOWN project

The set of recommendations presented here suggest procedures, measures or strategies to be included in the design of the Solutions Platform. The structure of these recommendations represents the different domains of the Solution Platform that are relevant for the ethical and legal requirements and potential risks detected through the previously stated methodologies.

Scope of information collected and purposes of collection

Data subjects will be informed according to articles 12 to 14 of the General Data Protection Regulation.

Notice and rights of the individual

During the registration process, in case personal data is collected, the Solutions platform will provide the information listed in articles 13 and 14 of the General data protection regulation and collect the consent of the data subjects.

Regarding personal data in the Solutions Platform, only data obtained from the data subject will be processed.

In case that the Solutions Platform provides the users with the possibility to include data from other subjects, a disclaimer will be included stating that the user acknowledges that the inclusion is only allowed with the consent of that subject.\(^3\)

\(^2\) Directive (EU) 2016/680 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data by competent authorities for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, and on the free movement of such data, and repealing Council Framework Decision 2008/977/JHA.

\(^3\) Proposed text for the disclaimer “I state that I have the consent to upload personal data from the relevant data subjects (contact person).”
Related with the generation of primary empirical data, it needs to be highlighted that, at this stage of the project, and realizing the importance of the empirical research being conducted, a specific and comprehensive set of guidelines have been provided to all partners in the Consortium by the Ethics leader (IDT-UAB): the *Ethical Guidelines for the processing of data in the context of the Empirical research for the TAKEDOWN project* (see Annex). This document aims at offering specific guidance to all the partners of the Consortium for the performance of the different tasks and activities foreseen in WP3, concerning empirical research. In order to ensure that all partners are compliant with the requirements related to Research Ethics and particularly, Informed consent procedures, the Guidelines include:

- a general introduction containing an explanation on the concept and meaning of Informed consent, in the context of research ethics and empirical research.
- a set of guidelines for quantitative research (online survey)
- a set of guidelines for qualitative research (interviews, focus groups, workshops)
- legal notice to be included in the online survey
- written informed consent form
- oral consent script
6. Outlook towards next DMP

The next DMP will be prepared in month 18, which is after the finalization of WP3 (Empirical research). As it was emphasized in the introduction, the DMP is a living document and several questions can only be answered at a later stage of the project. Hence, the upcoming DMP will provide updates on the issues raised above and more information on the following questions:

<table>
<thead>
<tr>
<th>Category</th>
<th>Underlying questions</th>
</tr>
</thead>
</table>
| Making data interoperable | - Are the data produced in the project interoperable, that is allowing data exchange and re-use between researchers, institutions, organisations, countries, etc. (i.e. adhering to standards for formats, as much as possible compliant with available (open) software applications, and in particular facilitating re-combinations with different datasets from different origins)?  
- What data and metadata vocabularies, standards or methodologies will you follow to make your data interoperable?  
- Will you be using standard vocabularies for all data types present in your data set, to allow inter-disciplinary interoperability? |
| Increase data re-use (through clarifying licences) | - How will the data be licensed to permit the widest re-use possible?  
- When will the data be made available for re-use? If an embargo is sought to give time to publish or seek patents, specify why and how long this will apply, bearing in mind that research data should be made available as soon as possible.  
- Are the data produced and/or used in the project usable by third parties, in particular after the end of the project? If the re-use of some data is restricted, explain why.  
- How long is it intended that the data remains re-usable?  
- Are data quality assurance processes described? |
| Allocation of resources | - Are the resources for long term preservation discussed (costs and potential value, who decides and how what data will be kept and for how long)?  
- Do you make use of other national/ funder/ sectorial/ departmental procedures for data management? If yes, which ones? |
| Data security | - What provisions are in place for data security (including data recovery as well as secure storage and transfer of sensitive data)? |
| Other aspects | - Do you make use of other national / funder / sectorial / departmental procedures for data management?  
- If yes, which ones? |

Table 8: Issues to be addressed in the next DMPs
7. Update of the ethical aspects.

At this stage of the project two are the main ethical aspects that require a review: first, the results of the ongoing monitoring conducted, especially in relation to the empirical research already conducted; and second, the need to review the PIA in light of the advances of the project and in particular in relation to the design decisions to be made for the development of the TAKEDOWN Open Information Hub and Solutions Platform.

1. Ongoing monitoring. The ongoing monitoring during the first part of the project focused on two aspects: the correct implementation of the Initial Recommendations and the verification that the empirical research was conducted with the utmost respect to the “Ethical guidelines for the processing of data in the context of the empirical research for the TAKEDOWN project”. In this sense, the Ethics Board reviewed that all the Initial Recommendation where duly implemented in the corresponding activities. As for the Ethical guidelines for empirical research no breach was detected. All partners conducting the different activities (survey, interviews, focus groups, workshops) followed the guidelines and contacted the ethical experts of the project when doubts or particular cases arose. Particular importance was giving in the monitoring of these activities to the Informed Consent procedure, ensuring that every participant provided the informed consent needed, that the signed informed consents where duly stored and that confidentiality was respected when using and publishing the results obtained from the empirical research.

2. Update of PIA and new set of recommendations. At this stage of the project there is the need to perform an update of the PIA, in particular the PIAs directed at identifying the potential risks derived from the design and implementation of the technological tools of Takedown. The process for updating the PIA has already been started. The same set of questions used for the first round of the PIA have been distributed to the partners in charge of developing Takedown Open Information Hub and Solutions Platform. At the same time information on potential risks has been extracted from Deliverable 4.5. on the concept of both tools. Once all the replies are collected and crossed with the information extracted from the Deliverable 4.5. a new set of recommendations will be distributed among the partners and published. As a result of the PIA changed may need to be made to the original concept for both platforms to ensure that the results are compatible with legal and ethical requirements, especially in relation to the processing of personal data.
ANNEX

Ethical guidelines for the processing of data in the context of the empirical research for the TAKEDOWN project

1. Introduction
   1.1. Informed consent in the context of Research Ethics
   1.2. Informed consent in the context of Empirical Research
   1.3. Processing of personal data for scientific purposes
2. Ethical guidelines for quantitative research (online survey)
3. Ethical guidelines for qualitative research (interviews, focus groups, workshops)
4. Legal notice to be included in the Online Survey
5. Written Informed Consent Form
6. Oral Consent Script
7. References

1. Introduction.
   1.1. Informed consent in the context of Research Ethics

In the context of Research Ethics, informed consent has become associated with the concept of confidentiality. Particularly, it has been conceptualized as a strategy to preserve confidentiality together with the concept of anonymisation (European Commission, 2010). As such, some authors’ understand anonymisation only as a strategy to achieve confidentiality (Traianou, 2014). This defines confidentiality as a fundamental ethical principle that operates in a preventive way in relation to data within the research context (Traianou & Hammersley, 2012).

Therefore, confidentiality and anonymisation are strongly related to the privacy and data protection rights. Although confidentiality stems directly from the respect for privacy, in its conceptualization in the legal technical domain, and from a contemporary perspective, it implies: (i) on the one hand, to prevent others from gathering information about ourselves that we do not want to share; (ii) and on the other, to maintain control over the processing of this information related to ourselves (European Commission, 2010).

Applying this technical and legal conceptualization of privacy rights, from a practical perspective and in a given research context, means that: (i) researchers cannot take actions that may affect privacy; (ii) be aware that, research interventions could affect privacy at any time of the research process; (iii) and, that issues related to privacy, and those strongly linked with it such as confidentiality and anonymisation, cannot be reduced to the achievement of technical and legal compliance with the legal and technical requirements that might be at stake (Punch, 2013) (Casanovas, 2015).

In this regard it is important to note that, within the research in Social Sciences, the concept and procedures to obtain the informed consent of research participants- as a mechanism to guarantee confidentiality and voluntary participation in research- has been understood as a matter of good academic practices (Lie & Witteveen, 2015). As a result, formal matters related to the informed consent have monopolized the debate, instead of focusing on other key elements as for instance the right to be informed or transparency in obtaining the consent. This formal approach is detrimental to
the understanding of informed consent as a key element in achieving confidentiality and the protection of the right to privacy.

In fact, different approaches coming from different ethical frameworks\(^4\) do not seem to be helpful and provide practical solutions to researchers in order to cope with quantitative and, particularly, qualitative research demands in Social Sciences. This approaches do not solve the main problem related to the informed consent, that can be summarized as follows: (i) giving information through any means and form does not necessarily mean the understanding of this information by the research participant; (ii) the need to rethink formal requirements and the management of the informed consent in a digital environment\(^5\) (Miller & Boulton, 2007)

The proposal of ethical guidelines for the management of the informed consent for quantitative and qualitative research contained in this document takes into account the nature and the aim of this project. The proposal builds on the pragmatic conceptualization of the ethic dimension of social research, and on the experience gained from the participation of the researchers from the Ethical leader (IDT-UAB) as ethical experts in different European research projects. In that regard, from a methodological point of view, a “pragmatic cycle” is carried out. Casanovas et al (Casanovas, Casellas, Tempich, Vrandecic, & Benajmins, 2007) consider this pragmatic cycle as consisting on a pragmatic integrated cycle that represents the common research path of social scientists, legal experts and technical experts. In their words, it could be defined as “the sequential steps followed by researchers from the knowledge acquisition process to their final involvement in the social implementation of research outcomes”. (Casanovas, Casellas, Tempich, Vrandecic, & Benajmins, 2007, p. 175)

This situated and pragmatic ethics related to research in Social Science, and in particular to qualitative research, entails an ethic positioning based on a relational and context dependent perspective, in order to solve critical situations regarding moral conflicts that may arise within the research process along the TAKEDOWN Project. (Casanovas, 2015) (Abad Miguélez, 2016) (Teodoro, 2015).

1.2. Informed consent in the context of Empirical Research

In the context of empirical research it is important to differentiate among the two dimensions of informed consent. First, the consent of the subject to participate in the research and, second, the consent in terms of collecting personal data. In its first dimension informed consent can be defined as “meant to guarantee the voluntary participation in research” (European Commission, 2013, p. 15) while, in the context of personal data, informed consent acts as the key element for lawful processing, as per article 6 of Regulation 2016/679.\(^6\)

\(^4\)This refers to the most common approaches to ethical decision-making such as Consequentialism, Duty-Based Ethics, Virtue Ethics, Ethics of Care, Discourse Ethics, Principilism or “The Four Principles Approach”, Liberalism and Communitarianism.

\(^5\)In that sense, research proposals regarding the inform consent in the Visual Research Methods domain (Lie & Witteveen, 2015) provide alternative, innovative and insightful ways of dealing with consent in a digital environment. The concept of Visual Inform Concept is presented as a way of replacing the paper-based informed consent procedure in research circumstances where data are collected and used visually. Procedures to obtaining a filming consent focus on the right to be informed and transparency in terms of gathering the consent instead of the understanding of the informed consent only understood as a formal procedure to ensure the documenting consent. This kind of proposal means a paradigm shift in relation with the inform consent. An informed consent paradigm on the basis of the respect of autonomy and self-determination based on the paper-based procedure needs to be replacing by another paradigm, which includes other values such as reciprocity, universality, and solidarity, among others.

\(^6\) Regulation 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46 /EC (General Data Protection Regulation).
However, the two dimensions of informed consent share a common aspect, the importance of providing the participants with all the information needed to make a truly informed decision, prior to the performance of the research activity. There is not a *numerus clausus* list on the elements that such information should contain. However, common agreement has been reached as per minimum standard that includes "any significant risks, the purpose of the research, any financial interests (e.g. do they receive a fee for each person recruited?), and the source of any external research funding (because people might, for example, object to helping certain companies or governments)." (European Commission, 2010, p. 37) In terms of collecting personal data article 13 of the Regulation 2016/679 requires that the controller provides the data subject with information on: the identity and contact details of the controller and relevant authorities, the purpose and legal basis for the processing, the recipients of personal data, the retention period, the rights to access, rectify or erase the data, the right to withdraw, the right to complain before a relevant authority and, if applicable, that personal data will be submitted to automated decision-making.

As for the procedure for obtaining the consent, Regulation 2016/679 defines consent of the data subject, in article, as "any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her."

In line with the contemporary approaches to informed consent, in the framework of the TAKEDOWN Project it will be considered as an ongoing decision making process that entails two different elements: first, the informed consent as a document and secondly, the informed consent as a process. As a document, the informed consent should guarantee legal provision, according to the legal requirements stated by the Regulation 2016/679. However, the informed consent understood as an ongoing process has to do with the action of providing information to research participants, by the researchers, at any time, and in any step of the project lifecycle to guarantee informed decisions related to the research. As a matter of fact, this dynamic and flexible conceptualization of informed consent needs to be put in place with the aim of tackling the ethical concerns that qualitative research poses in terms of preserving privacy and personal data protection. In fact, managing informed consent following this approach may help researchers to decouple informed consent not only from procedural and formal issues in terms of good research practices, but to understand consent as a complex decision making process in which researchers should guarantee that research participant are in the best position to make informed decisions.

According to this conceptual approach, informed consent should then be understood as a complex process in which researchers need to focus on providing, sharing and managing questions and concerns that may arise during the development of the research instead of focusing solely on gathering a signed written consent form signed by the research participants. This approach to informed consent has already been put in practice within the framework of some European Projects related for instance to biobanks where informed consent needs to be approached differently according to the variety of situations that this research field may present (Gainotti, Taruscio, & Mascalzoni, 2007-2013). In that sense, and bearing in mind the different nature of the research performed within the TAKEDOWN Project, it is important to stress that the achieved results of the RD-Connect Project funded by the EU have been very enlightening and useful to build and propose an effective way of dealing with the informed consent within the context of the research foreseen in this project. This approach fits in with the concept of confidentiality and anonymity as dynamic concepts that in qualitative research need to be applied in a flexible manner in such a way as to allow for understanding confidentiality as a complex
process in which procedures for anonymising data do not necessarily cover all the important aspects identified within that concept (Lancaster, 2017).

1.3. **Processing of personal data for scientific purposes.**

The processing of personal data for scientific purposes is specifically addressed in Article 89 (1) of the General Data Protection Regulation. This article, in line with Recital 156, states that

“Processing for archiving purposes ... scientific or historical research purposes..., shall be subject to appropriate safeguards, in accordance with this Regulation, for the rights and freedoms of the data subject. Those safeguards shall ensure that technical and organizational measures are in place in particular in order to ensure respect for the principle of data minimization. Those measures may include pseudonymisation provided that those purposes can be fulfilled in that manner...”

The data minimisation principle referred to in this Article 89 is defined in Article 5 (1c) with the following wording:

“Personal data shall be adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed”.

So, as it will be explained in detail in the following sections, this principle will work as a minimum legal constraint within the research framework of the TAKEDOWN Project for both, quantitative and qualitative research. For instance, and due to the nature of the research that the TAKEDOWN Project entails, it is possible that special categories of personal data may emerge, especially when carrying out particularly qualitative research. Even though the umbrella of the scientific purpose covers the processing of such data, the data minimisation principle is going to be used as a precautionary principle. And this particular will be strongly monitored by the Ethics Board, in order to ensure that the processing of this sensitive data is an exception in line with articles 89 and 5.

The following paragraphs explain in detail the concrete measures to be put in place—, for each of the empirical research activities—by any researcher within the TAKEDOWN project when conducting such activities.

2. **Ethical guidelines for quantitative research (online survey)**

The TAKEDOWN project foresees the deployment of a European wide online survey. The purpose of this survey is that of gathering information on "the needs of first-line practitioners", as stated in page 20 of Annex 1 of the DoW. This questionnaire will be implemented using the survey tool XXXXXXXX and will be anonymous. In this regard, no personal data from the participants will be collected. Against this background, 26 of the Regulation 2016/679 becomes relevant, as it states that data protection legal requirement do not apply to anonymous information, and defines this concept as "information which does not relate to an identified or identifiable natural person or to personal data rendered anonymous in such a manner that the data subject is not or no longer identifiable. This Regulation does not therefore concern the processing of such anonymous information, including for statistical or research purposes."

---

7According to Regulation 2016/679, processing of personal data revealing racial or ethnic origin, political opinions, religious and philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural's person sex life or sexual orientation shall be prohibited. The Regulation includes exceptions to this general prohibition when: (i) the data subject has given explicit consent; (ii) processing relates to personal data made manifestly public by the data subject; (iii) for reasons of public interest; (iv) and, when processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes.
Although the online survey does not foresee the collection of personal data, in order to conduct an ethical research, information needs to be provided to the participants, as stated in the introduction to these guidelines. Bearing in mind the electronic nature of the survey a legal notice, with a specific section for gathering the consent of the participants, will be included in the survey. (See Annex I) This legal notice includes:

- Information on the project, the Consortium and the origin of the funding.
- Privacy policy: information collected, purpose, confidentiality clause, data security measures, and retention period.
- Rights of the participant: voluntary nature of participation, right to withdraw, right to access, and right to rectify or erase.

-Disclaimer: limited scope of the questions, not necessarily addressing all particular circumstances.

In order to verify that the online survey is conducted in compliance with the above-mentioned requirements for ethical research some procedures need to be implemented by all the partners of the TAKEDOWN Consortium. In particular:

1. Synyo, as coordinator of the TAKEDOWN project, will act as the controller of the information gathered.
2. Each researcher conducting quantitative research in the project is responsible for applying the ethical guidelines.
3. The Ethics Board will validate the final version of the legal notice and the questionnaire for the online survey, in ethical terms, prior to its transmission to any potential participant.
4. The Ethical responsible (IDT_UAB) will address any query or petition received from any participant in the online survey in relation to the access and withdrawal rights.
5. The Ethical responsible (IDT-UAB) will address any query or doubt on how to conduct ethical research.

3. Ethical guidelines for qualitative research (interviews, focus groups, workshops)

The TAKEDOWN project foresees the development of a set of qualitative research activities. In particular, interviews (Task 3.2), focus groups (Task 3.4) and workshops (Task 3.5). Due to the nature of these activities the double nature of consent appears again as both personal data, and potentially sensitive information will be collected. Therefore two issues become crucial from the ethical perspective: the confidentiality of the information and the anonymisation of personal data.

The Code of Ethics of the International Sociological Association reminds researchers that "The security, anonymity and privacy of research subjects and informants should be respected rigorously... The sources of personal information obtained by researchers should be kept confidential, unless the informants have asked or agreed to be cited. Should informants be easily identifiable, researchers should remind them explicitly of the consequences that may follow from the publication of the research data and outcomes." (International Sociological Association, 2001, p. 2.3) From this article it is possible to extract some general rules that researcher must apply when designing and conducting their research:

- Information gathered from the participants should be kept confidential, unless specific consent to be cited is given by the participant.
- Information gathered should be anonymised and used only for the purpose for which it was collected.

- Participants must be informed when the researcher believes that some of the information shared may make them identifiable, and the potential consequences.

- Participants must be given, in a clear and transparent manner; the opportunity to withdraw at any time and especially after being informed of their potential identification and potential the consequences.

Since the conduction of qualitative research entails also the processing of personal data, data protection principles and legal requirements extracted from Regulation 2016/679 must be taken into consideration. In particular the controller needs to put in practice organizational and technical measures directed to "minimising the processing of personal data, pseudonymising personal data as soon as possible, transparency with regard to the functions and processing of personal data, enabling the data subject to monitor the data processing". (Regulation 2016/679, Recital 78) Such measures, for the qualitative research within the TAKEDOWN project are exposed below.

1. Information collected from the participants will be **anonymised**. Each of the partners of the Consortium will prepare a summary, in English, of the results of the quantitative research conducted. The raw information will be kept in local resources by the partners under their own responsibility and according to the data protection policies of their own organisations. Partners should pay special attention to the respect of the minimisation principle following article 89 (1) of Regulation 2016/679.

2. Each task leader will collect the **English summaries** and send them to the Ethics Board leader (IDT-UAB). The Ethics Board will review that no personal or sensitive information is contained in the summary, unless the participant has given specific consent. Once this point is verified the summary can be shared within the Consortium.

3. Researchers must obtain **specific consent** from all the participants prior to their involvement in the different activities.

4. Consent must be specific for each activity. The Ethics Board has created a template **Informed Consent Form**. (Annex II)

5. The task leader of each of the activities will propose to the Ethics Board a text containing the **specific information concerning the activity**. The Ethics Board will validate the specific Informed Consent Form before it is used with any participants.

6. **Informed consent** must be obtained, as a general rule, in **written** form.

7. Informed consent might be obtained through an **electronic Informed Consent Form**. This requires the implementation of some technical measure that ensures the identity of the participant, such as electronic signature. The check bottom system cannot be considered enough as signature of the consent for personal data processing.

8. **Oral informed consent** is highly discouraged. Although oral consent is legally valid, the controller of the data must be able to "demonstrate that the data subject has consented to processing of his or her personal data" (Regulation 2016/679, article 7.1) Therefore, researchers should only use this procedure when there is no other possibility and after having consulted with the Ethics Board. The Board will evaluate the situation, bearing in mind the potential value of the information that could be obtained from the participant. Annex III contains a model for a suggested script with the minimum content that the researcher must register (audio or video) in case oral consent is authorised by the Ethics Board.
9. Duly signed Informed Consent forms, both written, electronic or prove of the oral consent, must be kept by the controller (SYNYO) for a 5 year period in order to be available for auditing by the Ethics Board or any competent authority.

4. Legal notice to be included in the Online Survey

You are about to enter the Online survey designed in the context of the TAKEDOWN PROJECT.

GENERAL DESCRIPTION OF THE PROJECT, THE FUNDING SCHEME AND THE CONSORTIUM

DISCLAIMER

The questions contained in the survey are

- of a general nature only and not intended to address the specific circumstances of any particular individual or entity
- not necessarily comprehensive, complete, accurate or up to date
- not professional or legal advice (if you need specific advice, you should always consult a suitably qualified professional).

The TAKEDOWN project and the Consortium are not responsible for the opinions provided by the participants and for any misuse of this questionnaire.

However, this disclaimer is not intended to limit the liability of the TAKEDOWN Consortium in contravention of any requirements laid down in applicable European or national law.

COPYRIGHT

ADD RELEVANT INFORMATION

PERSONAL DATA PROTECTION

The TAKEDOWN project is committed to user privacy. The specific policy for the protection of your privacy has been designed on the basis of Regulation 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation).

Information collected

DESCRIBE INFORMATION THAT WILL BE COLLECTED; WHETHER PERSONAL DATA OR NOT.

Purpose of the collection

The results of this study will be used for scientific and scholarly purposes only. In particular this online survey intend to DESCRIPT ACORDING TO DoW

Recipients of the Information
Your replies will be shared with DESCRIBE

RetentionPolicy

The results of this survey will be stored for a 5 year period in order to comply with the European Union requirements for possible audits of the results of the project.

CONFIDENTIALITY AND DATA SECURITY MEASURES

Your survey answers will be sent to…………………… where data will be stored in ……………………… format. Your responses will remain anonymous. No one will be able to identify you or your answers, and no one will know whether or not you participated in the study.

THIS IS AN EXAMPLE, PLEASE PROVIDE THE SPECIFIC INFORMATION THAT WILL DEPEND ON THE SOFTWARE USED

RIGHTS

Your participation in this research study is voluntary. You may choose not to participate.

If you decide to participate in this research survey, you may withdraw at any time.

If you decide not to participate in this study or if you withdrawal from participating at any time, you will not be asked the reasons why.

You may access, rectify or erase any data collected at any time during the retention period.

CONTACT

If you have any questions about the research study, or you want to exercise your rights please contact:

ADD CONTACT PERSON/DETAILS

CONSENT

ELECTRONIC CONSENT: Please select your choice below. You may print a copy of this consent form for your records. Clicking on the “Agree” button indicates that

You have read and understand the above information

You voluntarily agree to participate

You are 18 years of age or older

☐ Agree

☐ Disagree

5. Written Informed Consent Form
**TAKEDOWN - Informed Consent Form**

**Name/description of the Organization/Consortium**
(To be completed with a general description)

**TAKEDOWN Consortium Contact Person(s):**

This Informed Consent Form has two parts:
- Information Sheet
- Certificate of Consent

You will receive a copy of the filled and signed Informed Consent Form

---

### PART I – TAKEDOWN INFORMATION SHEET

<table>
<thead>
<tr>
<th>Purpose of the research and of data collection:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A general description of the project.</td>
</tr>
<tr>
<td>A concrete explanation of the purpose of the data collection. This part must vary for each type of activities: survey, testing, etc. The text must be provided by the Task Leader of the different activities and validated by the Ethical leader (IDT-UAB)</td>
</tr>
</tbody>
</table>

**Contact person responsible for the activity**

<table>
<thead>
<tr>
<th>Name and Surname</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

**Activity details**

**Exercise Plan Form** Specific information must be provided in order for the participant to understand how the activity will be conducted. Each Task leader must prepare a definition of the activity.

**Possible Risks**

[to be specified – if any -according to the specific plan and role forms].

**Incentives:**

- Certificate for participation in the project

**Types of data to be collected**
(To be specified for each type of activity)

---

### PART II - CERTIFICATE OF CONSENT
### Voluntary Participant Data:

<table>
<thead>
<tr>
<th><strong>Name and Surname</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Profession</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Email</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Telephone</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Fax</strong></td>
<td></td>
</tr>
</tbody>
</table>

### Voluntary participation and Right to withdraw:

Your participation in the TAKEDOWN project is completely voluntary.

You are free to withdraw from the project, without giving a reason for your withdrawal and without any consequences to your future treatment by the researcher.

You retain all rights provided by the applicable data protection legislation and, in any case:
- information
- rectification
- erasure
- to be forgotten
- access
- restriction of processing

If you decide to withdraw from the project, please contact the TAKEDOWN contact person(s).

You should know that you may be withdrawn from the project for any of the following reasons:
- If you don’t follow the Consortium instructions.
- If you don’t attend the scheduled data collection sessions.
- If the whole project is stopped, for reasons not known now.

### Confidentiality

The TAKEDOWN researchers who see/access this information will keep it confidential.

### Applicable Laws/Directives


European guidelines: opinions and recommendations by the European Data Protection Supervisor, the recently appointed Ethics Advisory Group and the Article 29 Working Party.

National legislation: relevant national rules. **(Each partner must include their national provision, that can be found in this deliverable when obtaining consent in their countries)**

### Date and Place

### Declaration

I have read the foregoing information; I have had the opportunity to ask questions about it and questions have been answered to my
6. **Oral Consent Script**

Full Oral Information Giving and Consent Seeking Process

*Record this consent process using a digital recorder/video device*

**Oral information giving stage**

Hello, my name is [x]. I’m doing research within the TAKEDOWN project and I wondered if you’d be interested in being involved.

First of all, do you agree to be recorded for this Oral information giving and consent seeking Process.

**Await confirmation**

The TAKEDOWN project include General Description

Can I tell you more about the research?

**Await confirmation**

[For interviews/surveys/ tasks:] I will [have a conversation with you/ give you a survey / task [add length, location, any follow-up interviews] where I will ask a whole range of questions about [insert range of questions].

The [answers / data] you give will form the basis of my [research/ publication]. The personal information you will share with me will not be passed to any third party. [Add by whom and how anonymised research data will be handled, describing confidentiality/anonymity arrangements.]

This research is anonymous, which means that in any publications, your name will not be used, unless you insist on the opposite.

[Or: I will use your name in my publications – is that ok with you?]

The following risks are involved in taking part [list risks, e.g. an interview could cover sensitive issues.]

In order to mitigate any potential risks, I will [add how you will mitigate risks].

Taking part is completely voluntary and we can stop any time you like without giving a reason and without any negative consequences.

Do you understand this?

**Await confirmation**

With your permission, I would like to make an audio recording of our discussion to make sure I’m getting an accurate record of your thoughts. Alternatively, I can take notes in my notebook. Which would you prefer?

---

This script has been designed based on the Oxford University template available at [https://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/curec/documents/Template_Oral_Consent.docx](https://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/curec/documents/Template_Oral_Consent.docx)
I may want to re-contact you to clarify information you gave me in your interview. In that case, I will ask you if you have time to answer some more questions.

The research may/will also be published in academic journals / online / books.

If you have any complaints or concerns please feel free to contact me in the first instance. My contact details are

Do you have any questions?

[Oral consent seeking stage, after participant has had sufficient time to think about whether s/he wants to take part]

Do you give your permission for me to [interview you/ take your photo/ video you? Do you give me permission to audio record you?] Do you give your permission for me to re-contact you to clarify information?

[If collecting sensitive personal data]: Is it okay for me to collect [detail sensitive personal data]?

Do you give your consent?

Ok, thanks, in which case let's start.

7. References


