D7.1.1

ETHICAL REQUIREMENT

September 2013

Second Release

ABSTRACT

The first release of deliverable D7.1.1: Ethical Requirements (M2) has provided the ethical clearance for the six FI-CONTENT 2 experimentation sites. This second release of deliverable D7.1.1: Ethical Requirements (M6) provides additional information from the partners FOKUS, BBC, BLRK, DRZ, GOBO, IRT, RBB and Orange planning experiments at the different experimentation sites. This document demonstrates how the experimentation sites as well as all partners planning experiments at the different sites fulfil the ethical requirements of the ethical review report (ERR) as contractual obligations and it has been audited by our External Ethical Advisor Klaus Brisch (BridgehouseLaw).

This document is a deliverable of the FI-CONTENT 2 integrated project supported by the European Commission under its FP7 research funding programme, and contributes to the FI-PPP (Future Internet Public Private Partnership) initiative.

DISCLAIMER

DELIVERABLE DETAILS

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EXECUTIVE SUMMARY

The first release of deliverable D7.1.1: Ethical Requirements (M2) has provided the ethical clearance for the six FI-CONTENT 2 experimentation sites. This second release of deliverable D7.1.1: Ethical Requirements (M6) provides additional information from the partners FOKUS, BBC, BLRK, DRZ, GOBO, IRT, RBB and Orange planning experiments at the different experimentation sites. This document demonstrates how the experimentation sites as well as all partners planning experiments at the different sites fulfil the ethical requirements of the ethical review report (ERR) as contractual obligations and it is audited by our External Ethical Advisor Klaus Brisch (BridgehouseLaw).

In FI-CONTENT 2 the Experimentation site owners are ILB for Brittany, FHG/FOK for Berlin, PIX for Cologne, ETHZ for Zurich, I2CAT for Barcelona and ULANC for Lancaster. All experimentation site owners and all partners planning experiments at the sites agreed to the implementation of the ethical requirements at their sites based on European as well as national guidelines described in this document by filling out the attached questionnaire concerning ethical requirements - see attachment Annex A and provided ethical consent protocol templates for each site – see attachment Annex B.

Before starting the first FI-CONTENT 2 experimentation cycle in Month 06 each FI-CONTENT 2 partner planning experiments at the different experimentation sites have provided satisfying answers to the ethical questionnaire in this document.

As External Ethical Advisor, Klaus Brisch audited the provided answers and information from all six experimentation site owners and all partners planning experiments at the different sites in this document. Based on that information, he concluded that the studies to be conducted will involve only mild risks to human participants' privacy and that experimentation site owners and project partners take adequate precautions for the protection of participants' privacy. Other risks identified in this document, such as involvement of minors, apply only to a select part of the FI-CONTENT 2 project and were adequately addressed by the project partners involved.

It is the opinion of External Ethical Advisor that the FI-CONTENT 2 project meets the ethical requirements identified in this document and should be cleared for the first experimentation cycle starting in Month 06.

A report of the evaluation is included in Annex A of this document following the last of the questionnaires.

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ABBREVIATIONS

ADSL	Asynchronous Digital Subscriber Line
AR	Augmented Reality
B2B	Business To Business
CDI	Connected Device Interface
CMS	Content Management System
DRM	Digital Right Management
DVB	Digital Video Broadcasting
EPG	Electronic Program Guide
ETHZ	ETH Zurich
FTTH	Fibre To The Home
GUI	Graphic User Interface
HbbTV	Hybrid Broadcast Broadband TV
IM	Instant Messaging
IPTV	Internet protocol TV
LTE	Long Term Evolution
OTT	Over The Top
PEGI 7	Pan European Game Information
SCG	Smart City Guide
STB	Set Top Box
UGC	User Generated Content
UI	User Interface

DEFINITIONS

Personal Data shall mean any information relating to an identified or identifiable natural person; an identifiable person is one who can be identified, directly or indirectly, in particular by reference to an identification number or to one or more factors specific to his physical, physiological, mental, economic, cultural or social identity;

Experimentation site owners in FI-CONTENT 2 are ILB for Brittany, FHG/FOK for Berlin, PIX for Cologne, ETHZ for Zurich, I2CAT for Barcelona and ULANC for Lancaster.

1 - INTRODUCTION

The focus of work package 7 (WP7) is to 'test and validate novel Future Internet user media experiences' that are driven by numerous user involvement. Partners in WP7 will therefore engage test users with the support of local focus groups, user advisory boards and local public authorities at the different experimentation sites in Brittany, Berlin, Cologne, Barcelona Zürich and Lancaster. In result a growing user community will emerge that becomes involved in all co-designing activities.

We have carefully chosen this bouquet of six excellent working experimentation sites in Brittany, Berlin, Cologne, Barcelona, Zurich and Lancaster, which are complementing each other by providing rural as well as urban FI testbed infrastructures with active user communities to run the early trials.

- Brittany experimentation site with its owner ImaginLab, (ILB) has served as the first role model for the various FI test bed infrastructures listed in the FI-PPP Infinity Database.
- Berlin experimentation site with its owner FHG/FOK is an excellent model of a Smart City involved in the open data initiative and with an outstanding iTV and mobile user lab.
- Cologne experimentation site with its owner PIX is pioneering participatory media community applications with great support of local stakeholders and city public authorities.
- Barcelona experimentation site with its owner I2CAT is a prime example of the European Network of Living Labs (ENOLL) by providing the whole city as a Cultural Citilab
- Zürich experimentation site with its owner ETHZ is a well-established academic-industrial gaming lab cluster initiated by Disney with the support of the two local technical and art universities, the City of Zürich and the Swiss Arts Council Pro Helvetica.
- Lancaster experimentation site with its owner ULANC has, for more than ten years, contained a well-established rural Living Lab with a university campus, the smart village Wray and a regional network of 1500 households testing Social Connected TV and mobile applications.

1.1 - Objective of this document

This document describes the procedure and requirements for ethical clearance of the six FI-CONTENT 2 experimentation sites owners before starting their WP7 Task 7.1 work to prepare their experimentation site for the first experimentation cycle starting in Month 06. The aim of this document is to prove that the experimentation sites owners and the partners planning experiments at the sites have fulfilled the ethical requirements of the ethical review report (ERR) as contractual obligations and it has been audited by our external Ethical Advisor Klaus Brisch (BridgehouseLaw).

The structure of this document and partner questionnaire were developed with the support of External Ethical Advisor Klaus Brisch to allow each experimentation site owner and partner as well as future new partners such as SMEs joining our consortium through our upcoming open call in FI-CONTENT 2 or in phase 3 of the FI-PPP programme to be able to understand and comply with the ethical requirements. The questionnaire is used to obtain a summary from all experimentation site owners (ILB, FHG/FOK, PIX, I2CAT, ETH, ULANC) and all partners wishing to run experiments on the sites on their respective awareness of the ethical issues involved and the degree of implementation of protection measures already achieved. Based on answers provided and published in Annex All site owners and project partners have informed the project coordinator, WP7 workpackage leader GAR and External Ethical Advisor Klaus Brisch that they are fully compliant with ethical requirements. Monitoring of compliance with ethical requirements, which may involve on-site auditing, will be covered in later reports.

Section 2 of this document explains the general ethical requirements, starting with academic principles, followed by data protection principles and then protection of minors. Concerning data protection, regulations are based on European Directive 95/46/EC and each experimentation site owners added their national

specific data protection information in section 2 as well as provided their consent form and protocols - see attachment Annex B.

Section 3 of this document outlines the steps and measures to be taken by the partners and experimentation site owners in order to comply with ethical requirements set forth in section 2 - gives detailed instructions about the implementation of the ethical requirements by experimentation site owners as background information for the partner questionnaire (Annex A), which has been answered by all six experimentation site owners for ethical clearance of their sites. Before starting the first experimentation cycle in Month 06, all partners (TRDF, BBC, DRZ, Orange, GOBO, BLRK, IRT, GAR and RBB) planning to participate in experiments at the different experimentation sites have provided answers to the questionnaire in this document .

Table 1 – Overview Experimentation Sites Owners and their Partners for experiments at their sites for first experimentation cycle

City/Region	Experimentation Site Owner	Audited questionnaire	Partner	Planned Experiment	Audited questionnaire *
1. Brittany	ILB	yes, see Annex A1	Orange	Smart City Guide	yes, see Annex A1.1
			TRDF	Social Connected TV	yes, see Annex A1.2
2. Berlin	FHG/FOK	yes, see Annex A2	RBB	Social Connected TV	yes, see Annex A2.1
			IRT	Social Connected TV	yes, see Annex A2.12
			Orange	Smart City Guide	yes, see Annex A1.1
3. Cologne	PIX	yes, see Annex A3	GAR	Smart City Guide; Social Connected TV, Smart City Guide	Yes, see Annex A3.1
			TRDF	Social Connected TV	yes, see Annex A1.1
			DRZ	Gaming	Second experimentation cycle (M15)
			Gobo	Gaming	Second experimentation cycle (M15
			BLRK	Gaming	Second experimentation cycle (M15
			Orange	Smart City Guide	yes, see Annex A1.1
4. Barcelona	I2CAT	yes, see Annex A4	DRZ	Gaming	Second experimentation cycle (M15
			Gobo	Gaming	Second

City/Region	Experimentation Site Owner	Audited questionnaire	Partner	Planned Experiment	Audited questionnaire *
					experimentation cycle (M15
			Orange	Smart City Guide	yes, see Annex A1.1
5. Zurich	ETH	yes, see Annex A5	DRZ	Gaming	yes, see Annex A5.1
			Gobo	Gaming	yes, see Annex A5.2
			BLRK	Gaming	yes, see Annex A5.3
6. Lancaster	ULANC	yes, see Annex A6	BBC	Social Connected TV	yes, see Annex A6.1

2 - IDENTIFICATION OF ETHICAL ISSUES RAISED BY THE PROJECT

In the following part of this deliverable an overview over the identified ethical issues shall be given. For this overview, a generic approach has been taken to address ethical issues in the order they would need to be addressed within the course of the project. Where applicable, references to legal frameworks, codes of conduct or best practice scenarios have been included.

2.1 - Academic Standards

Any research conducted involving the collection and processing of empirical data, be it in the context of academic research done by universities and public research institutions or be it in market research and product development carried out by private corporations, raises the question of the researchers' integrity.
Conflicts of interest may jeopardise **freedom of the researchers, their responsibility and integrity. Researchers may become prone** to outside pressure from political groups or governments to have access to certain research results, to reach a certain conclusion or even to reach a predefined output of empirical data.

Therefore, scientific integrity and proper conduct are essential for individual researchers and must also prevail in the functioning of the research teams. Research misconduct refers to falsification of results, fabrication of data and plagiarism.
The working and success of the FI-CONTENT 2 project relies on scientific integrity of each partner and researcher involved. Empirical data and the conclusions drawn from them may be shared among the partners, not only at each experimentation site, but among all partners of the project. It is therefore essential that empirical data is true and accurate, and any conclusions shared among the partners are based on scientifically sound reasoning without influence of outside groups.

The partners should therefore take appropriate measures to ensure scientific integrity, academic freedom for the benefit of the entire research team. Scientific responsibility shall be at the core of any research conducted by the partners, thus disallowing any form of scientific misconduct.

2.2 - Collection of data from human participants in the project

The FI-CONTENT 2 project is based in part on the collection of data from human participants. The various test beds provided by the project and their use by the partners of the project rely on input from human participants, which is mainly construed of the human participants' recorded reactions to defined stimuli produced by the respective test scenario. This may be a human reaction to new technology, human reaction to use of existing technology for new purposes, or feedback on usability of new or existing technology.

Such empirical data may be collected by various means, including written or electronic questionnaires or interviews that may also be video recorded. Furthermore, volunteer participants may be asked to use technology in private or public settings as "field tests" and have their use of the technology, their reaction to it and possibly their feedback recorded. **Collection of data is in all cases nonintrusive and does not by itself pose any danger of bodily harm to any human participant.** Recorded data may, however, be assembled to form details of user profiles that may allow conclusions on the human participants' personality.

Generally, the identity of the human participants is inconsequential to the research conducted, and therefore all data recorded from reactions by each human participant need not be linked to the participants and name and other personal data.
Regardless, applicable law at each of the experimentation sites' locations regulates collection and processing of data for research purposes. The applicable legal framework shall be outlined in the following sections and all partners and experimentation site owners are bound by law, rather than contractual obligation, to comply with regulations outlined in the following sections.

2.2.1 - Data protection, privacy and legal framework

Collection of data from human participants for the purposes of scientific research within the course of the FI-CONTENT 2 project may be subject to European and national data protection and privacy regulations. For experimentation sites that are located in EU member states, applicable national and other protection and privacy regulations are based on the European directive 95/46/EC, which covers collection and processing of personal data for scientific purposes.

Cologne (owner is PIX) and Berlin Experimentation Sites (owner is FHG/FOK) in Germany

For any experimentation site located in Germany, such as the Cologne experimentation site, European directive 95/46/EC has been transformed into national law in the German Federal Data Protection Act (Bundesdatenschutzgesetz, BDSG). As such, the BDSG applies only to the protection of Personal Data. This includes, but is not limited to the name and address, phone number and e-mail address or a photo or visual representation of each human participant. It also includes any data collected as detailed under section 2.2 -, if such data is linked to any data that may be used to ascertain the identity of the human participant.

The German BDSG provides that any data collected for the purpose of scientific research shall be stored and otherwise processed separately from any Personal Data of the human participant. Data collected for scientific research may only be linked with data identifying the individual in cases where identification of the individual is strictly necessary and if otherwise the goal of the research could not be reached.

This separation of data is the main safeguard provided by German law under the BDSG to ensure the privacy of human participants in scientific research. This separation of data must therefore be implemented by law rather than contractual obligation by all partners and the experimentation site owners located in Germany.
National privacy legislation in other EU member states and in Switzerland may provide other or additional safeguards for the protection of privacy of human participants in scientific research. Partners and experimentation site owners located in other countries must comply with applicable national privacy legislation. For other jurisdictions, the main aspects of applicable national data protection and privacy legislation are outlined below:

Brittany Experimentation Site in France, (Owner is ILB)

National legislation in France is under control of the CNIL (Commission Nationale Informatique et Libertés), an independent administrative authority, which has transformed in law the European directive 95/46/EC.

Thereby, in order to protect personal data, only authorized persons can access the personal data contained in a file: either explicitly named recipients, designated to receive regular communication, and "authorized third parties" entitled to receive them in a timely and motivated manner (e.g. the police, tax administration).
Communication of information to unauthorized persons is punishable by five years' imprisonment and a fine of € 300,000. Disclosure of information made by carelessness or negligence is punishable by three years imprisonment and a fine of € 100,000. (Art. 226-22 of the Criminal Code).

In the specific case of the Brittany experimentation site, personal data is stored on an ImaginLab server inside the ImaginLab private data center, under Images & Réseaux responsibility. Only ImaginLab staff can access to these data. Personal data is not provided to experimentation stakeholders (i.e. Research Projects or customers) who collect data about the experimentation. In the process of experimentation data management, a significant improvement on data erasure at the end of the experimentation is still pending. ImaginLab commits to improve in the next few weeks.

Barcelona Experimentation Site in Spain, (Owner is I2CAT)

For any experimentation site located in Spain, such as the Barcelona experimentation site, European directive 95/46/EC was implemented through the Organic Data Protection Law (Ley Orgánica de Protección de Datos, LOPD)[1] published in the BOE n. 298 de 14/12/1999, substituting the old LORTAD. This new law adopted the European directive 95/45/EC and contemplated aspects related with the use of Information Technologies as mean of data transmission. As such, the LOPD applies to the protection of Personal Data, defined as "*any information relating to individuals identified or identifiable*". This includes, but is not limited to the name and address, phone number and e-mail address or a photo or visual representation of each human participant. It also includes any data collected as detailed under section 2.2 -, if such data is linked to any data that there may be used to ascertain the identity of the human participant.

The LOPD provides that any personal data can only be collected for processing when they are adequate, relevant and not excessive in relation to the purposes for which they were collected or for which they are further processed. Personal data subjected to processing may not be used for purposes incompatible with those for which they were collected. Further processing of personal data for historical, statistical or scientific purposes shall not be considered incompatible[2].

Furthermore, it will not be kept to identify the interested party for longer than necessary to fulfil the aims for which it was initially collected or registered. The Data Protection Agency and the interested parties will be informed of the corresponding procedure if it is decided to keep the data once the historic, statistical or scientific values have been met in accordance with applicable legislation.

The Barcelona experimentation site will follow the standards policies set forth by the Spanish Agency of Data Protection (https://www.agpd.es), the Catalan Authority for Data Protection (https://www.apd.cat) as well as the laws of European Union on this matter. Regarding the 95/46/EC adaptation on the Catalan framework for the Barcelona case, the reference is the law "Lei Orgánica de Protección de Dades" (LO 15/1999 de 13/12/1999), jointly with the Catalan Law 32/2010 and other legislation procedures regarding data treatment protection as RD 1720/2007 de 21/12/2007.

The involvement of children in the Barcelona experimentation site will be treated following the norms of the Spanish Agency of Data Protection and the Ethical norms established by UNICEF18[3] and what is established in "Children Participating in Research, Monitoring And Evaluation (M&E) — Ethics and Your Responsibilities as a Manager", Evaluation Technical Notes No. 1, UNICEF Evaluation Office, April 2002[4].

Zurich Experimentation Site in Switzerland, (Owner is ETHZ)

The Swiss Federal Act of 19 June 1992 on Data Protection (FADP), SR 235.1 declares the following principles:

1. Personal data may only be processed lawfully.
2. Its processing must be carried out in good faith and must be proportionate.
3. Personal data may only be processed for the purpose indicated at the time of collection, that is evident from the circumstances, or that is provided for by law.
4. The collection of personal data and in particular the purpose of its processing must be evident to the data subject.
5. If the consent of the data subject is required for the processing of personal data, such consent is valid only if given voluntarily on the provision of adequate information. Additionally, consent must be given expressly in the case of processing of sensitive personal data or personality profiles.

Lancaster Experimentation Site in UK, (Owner is ULANC)

In the UK the research is governed by the Data Protection Act (1998) which defines 'personal data processing' as the processing of any information (whether in electronic, paper or other relevant formats such as video or audio-tape) that relates to an identifiable, living individual. Therefore, researchers using personal data, of any sort, that is not totally anonymous are bound to comply with this Act and the eight data protection principles.

Data protection principles and social research

- First Principle: Personal data shall be processed fairly and lawfully.
- Second Principle: Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes.
- Third Principle: Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.
- Fourth Principle: Personal data shall be accurate and, where necessary, kept up to date.
- Fifth Principle: Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.
- Sixth Principle: Personal data shall be processed in accordance with the rights of data subjects under this Act.
- Seventh Principle: Appropriate technical and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.
- Eighth Principle: Personal data shall not be transferred to a country or territory outside the European Economic Area, unless that country or territory ensures an adequate level of protection of the rights and freedoms of data subjects in relation to the processing of personal data.
- Processing of sensitive personal data

The Act defines several categories of personal data that are considered to be of a sensitive nature and are, therefore, subject to additional conditions which have to be met if the data is to processed legitimately – the Lancaster experimentation site will not be collecting any such sensitive data. Other relevant legislation includes the Freedom of Information Act 2000 and the Human Rights Act 1998.

2.2.2 - Necessary approval from the competent national authorities

The collection and processing of Personal Data scientific research may also be subject to government approval. In the case of Germany, sect. 4d and 4e of the BDSG provide that any private data controller must notify the competent supervisory authority before commencement of data processing.
The partners and the experimentation site owners are therefore required to notify the competent supervisory authority. **This notification is, however, not an approval process and therefore partners and experimentation site owners need not wait for any reply of the competent supervisory authority**. Rather, collection and processing of personal data may commence immediately after notification of competent supervisory authority.

As an exception, no notification to the competent supervisory authority is required if the partner or experimentation site owner has appointed a data protection officer within one month of commencing their activities under sect. 4d sub sect. 2 and a sect. 4f BDSG. The data protection officer is required to have specialized knowledge and reliability necessary to carry out his or her duties, whereas the necessary level of specialized knowledge is determined in particular by the extent of data processing carried out by the controller and protection required by the personal data collected or used by the controller.

Partners and experimentation site owners in other jurisdictions, such as other EU member states or Switzerland, may have similar notification requirements. For detailed information on notification requirements

in jurisdictions outside of Germany, and for details on the specific information and level of detail required by each national competent supervisory authority, all partners and experimentation site owners are required to check the document at http://ec.europa.eu/justice/policies/privacy/docs/wpdocs/others/2006-07-03-vademecum.doc.

2.2.3 - Collection of data involving non-EU member states or developing countries

In its current state, the FI-CONTENT 2 project does not include any research involving the collection of data in the non-EU member states other than Switzerland or in developing countries.
The project may however be expanded at a later date to include such research in other non-EU member states or developing countries. In case of such a later expansion of the project, the partners and owners of experimentation sites in non-EU member states or developing countries must at all times be aware that such endeavours entail further ethical issues:
Any experimentation conducted in a non-EU member states or developing countries must comply with applicable local legislation in addition to compliance with EU legislation governing such research.

Also, scientific research in developing countries should have a benefit for the people of the host country. Partners and experimentation site owners should therefore aim to provide benefits to all stakeholders of the research project, including research participants and their local community and local researchers. Detrimental impact on the local resources and the local community is to be avoided or at least minimized. The standard of care provided to the research participants must also comply with internationally accepted guidance documents, such as the declaration of Helsinki.

2.3 - Informed consent from human participants in the project

All collection of data for research conducted in the FI-CONTENT 2 project is based on voluntary participation of the human participants and all the processing of data is based on informed consent given by the human participants.
Voluntary participation and informed consent are critical to the FI-CONTENT 2 project and its success. Partners and experimentation site owners therefore acknowledge that the recruitment process for human participants and any further into action with human participants during the research must be designed and implemented to

- assure participants that their participation is entirely voluntarily,
- assure participants that they may at any time withdraw participation from the project,
- inform participants of the general and specific goals of the study,
- inform participants of the scientific methods employed in the study they participate in,
- inform participants of the categories of data that will be collected during the study,
- inform participants of any processing of personal data collected,
- inform participants of the purposes, for which personal data is collected and processed,
- inform participants of the measures are taken to separate personal data from any data collected during the study, and
- inform participants of further planned uses of the collected data beyond the scope of the project, and whether such further use will be conducted with anonymized data only.

Any information given to human participants shall be comprised of unambiguous and commonly understood language and terms, avoiding technical terms that are not commonly known to the public and conveying in simple words the information as detailed above. All information given to participants shall be truthful and complete. If for any intention to disclose information only incompletely or to actively deceive participants about any information, the respective partner or experimentation site owner is required to submit a request to the ethical advisers outlining the reasons for scientific necessity for such incomplete disclosure or deception and outlining possible detrimental effects of such incomplete information or deception on the participant.

In such cases that the researcher informing the participant has reason to believe that participant has not fully understood the information given the researcher has had to take additional steps to ensure the participant's understanding of the information given. If, after that, the researcher still has reason to believe that participant has not understood the information given, the participant should be excluded from participating in the study.

If participants may experience distress or discomfort in the research process partners or experimentation site owners should take necessary steps to reduce the sense of intrusion and take care of participants' well-being.

Consent shall be given primarily in writing or electronically. Consent shall be documented by the partner or experimentation site owner. The corresponding consent forms for each experimentation sites are attached in Annex B.

Brittany Experimentation Site in France (Owner is ILB)

Users who accept to be in the ImaginLab database are volunteers and they can quit whenever they want. When becoming "imaginer", users and ImaginLab sign a charter, specifying the rights and the duties for both parties (attached in annex to this document). For every step of an experimentation cycle, a detailed schedule and involvement is described. The "imaginer" can then choose to participate or not.
In addition, there is the possibility for a project to establish a Specific Consent Form Protocol on top on ImaginLab charter.
Testing is not considered as a professional activity and "Imaginers" are not paid for experimenting, even if there are some incentives: ImaginLab is under French law constraints which implies to be under 70 € per year and per person for incentives to not be considered as a salary. As this is not a professional activity, "imaginers" are covered by their personal insurance. For the devices that may be lent to them for experimentation, it is specified in the charter that "imaginers" are not responsible if it is damaged, lost or stolen. "Imaginers" are just asked to notify officially any stolen device at a police station.

See Consent Form which is provided in French to ImaginLab users

Consent Form Protocol:

- The consent form has to be acknowledged online, on the ImaginLab registration site
- There is a possibility for a project to establish a Specific Consent Form Protocol on top off ImaginLab charter.
- The specific process will be followed when ImaginLab is involved with experimentation with elderly people
- ImaginLab will never imply children in experimentation

Cologne (owner is PIX) and Berlin Experimentation Sites (owner is FHG/FOK) in Germany and for Barcelona Experimentation Site in Spain, (Owner is I2CAT)

At the Cologne, Berlin and Barcelona experimentation sites, all participants will document consent through the completion of informed consent forms. These sites will use the B.1 model consent protocol and B.2 model consent form, - see attachment ANNEX B.

- Consent forms are prepared as written documents in the local language and will be made available to all experimentation site participants prior to the experiments
- Results of the trials will be documented anonymously using a predefined template
- Personal data will be collected anonymously (age, categorization of user into a persona / group, gender, etc.)
- Data will be collected at each experimentation site (per experiment by experimentation owners) and will be further categorized and gathered on WP level

Zurich Experimentation Site in Switzerland, (Owner is ETHZ)

The Swiss Federal Act of 19 June 1992 on Data Protection (FADP), SR 235.1 does not seem to include additional restrictions. ETHZ will provide the information and consent forms, see Annex B.

Lancaster Experimentation Site in UK, (Owner is ULANC)

At the Lancaster experimentation site consent will documented by Lancaster University through the completion of informed consent ethical protocols by all participants.

2.3.1 - Collection of data from minors and vulnerable adults

The FI-CONTENT 2 project partners and experimentation site owners shall recruit healthy adult participants for any study if possible, unless research is conducted for products aimed also at children or vulnerable adults.

Recruitment of minors or vulnerable adults (e.g., people with disabilities, elderly, pregnant women, prisoners, immigrants, etc.) must take into account additional requirements for the protection of such individuals. Partners and experimentation site owners need to justify recruitment of minors or vulnerable adults. For this purpose, it must be specified whether the scientific goal may be achieved without participation of vulnerable adults or minors, the information to be collected and its intended use, and the expected benefits and potential harm to the vulnerable adults or minors.

Partners and experimentation site owners need to take special precautions in order to gain informed consent from minors and vulnerable adults. Such additional precautions may include giving participants additional support in order to facilitate informed consent.

Partners and experimentation site owners must ensure compliance with legal requirements in relation to working with minors or vulnerable adults set by applicable local law. Above all, the best interests of the minors or vulnerable adults should be the primary consideration when conducting research with such participants.

2.4 - Data processing

Any data processing for the purpose of scientific research is governed by the same national data protection and privacy legislation as the collection of data.

Processing of data obtained in the FI-CONTENT 2 project is generally possible, if the data has been anonymised and is not linked to any data that may reveal the identity of a natural person. Processing of data that has not been anonymised and that allows the identification, whether directly or indirectly, of a natural person shall only be performed within the FI-CONTENT 2 project in exceptional circumstances. In case of doubt, such situations and their circumstances shall be presented to the external ethical adviser for review.

Cologne (owner is PIX) and Berlin Experimentation Sites (owner is FHG/FOK) in Germany

For experimentation sites located in Germany, the BDSG is applicable. The BDSG freely allows processing of data that is anonymised and not linked to any data that may reveal the identity of a natural person.
Before being rendered anonymous, personal data may only be processed for the specific scientific purpose it was collected for, also excluding processing by third parties.
Violation of data protection regulations of the BDSG may be punishable by fine, and in severe cases imprisonment.

Brittany Experimentation Site in France (Owner is ILB)

Data processing on the Brittany experimentation site is compliant with the French legislation: data collection and processing must have a specific goal. The information used in a file must be consistent with respect to its goal. The information cannot be reused in a manner inconsistent with the purpose for which they were collected. Any diversion of purpose is liable to five years imprisonment and a fine of € 300,000 (Art. 226.21 of the Criminal Code).

Barcelona Experimentation Site in Spain, (Owner is I2CAT)

Spanish regulation (LOPD) shall apply to personal data recorded on a physical support, which makes them capable of processing and to any type of subsequent use of such data, by the public and private sectors. This Regulation shall govern any processing of personal data. All data processing performed within the Catalan region will apply the Catalan law 32/2010.

Zurich Experimentation Site in Switzerland, (Owner is ETHZ)

The Swiss Federal Act of 19 June 1992 on Data Protection (FADP), SR 235.1 handles data protection and privacy. In particular, article 12 states:

1. Anyone who processes personal data must not unlawfully breach the privacy of the data subjects in doing so.
2. In particular, he must not:
    a. process personal data in contravention of the principles of Articles 4, 5 paragraph 1 and 7 paragraph 1;
    b. process data pertaining to a person against that person's express wish without justification;
    c. disclose sensitive personal data or personality profiles to third parties without justification.
3. Normally there is no breach of privacy if the data subject has made the data generally accessible and has not expressly prohibited its processing.

Lancaster Experimentation Site in UK, (Owner is ULANC)

For experimentation sites located in the UK, the Data Protection Act 1998 is applicable.

2.4.1 - Data storage

All data collected from human participants must be stored in such manner that allows compliance with applicable data protection and privacy legislation, as well as the requirements set forth in this deliverable.

All Personal Data must be stored separately from data collected in the studies. Such separation of data must be ensured by appropriate technical and organisational measures, further detailed in section 2.4.3 -.
Availability of all data, both personal data and data collected in the studies, must be ensured by appropriate measures.

2.4.2 - Transfer of data within the project and to third parties

Any transfer or making available of data to partners of the FI-CONTENT 2 project or to third parties is governed by the same rules as any data processing under section 2.4 -. Only anonymised data shall be transferred between partners, unless processing of personal data is strictly necessary for the goal of the research.
Any planned or possible transfer or making available of data to partners of the FI-CONTENT 2 project or to third parties should be included in the information given to the participant prior to the collection of any data. Such inclusion in the information given to the participant is mandatory, if the data to be transferred or made

available contains personal data and/or data that has not been anonymised and thus properly been separated from any data that may allow, directly or indirectly, the identification of a participant.

2.4.3 - IT-security measures

Cologne (owner is PIX) and Berlin Experimentation Sites (owner is FHG/FOK) in Germany

Collection and processing of personal data must be protected by technical and organisational measures in accordance with the annex to sect. 9 BDSG. Appropriate measures must be taken to ensure all goals enumerated in section 3.5 - of this document. Technical and organisational measures are implemented in coordination with and monitored by the appointed data protection officer.

Brittany Experimentation Site in France (Owner is ILB)

According to the French legislation, every manager in charge of processing personal data must adopt guidelines for the physical (buildings) and logical (security of information systems) safety, and adapted to the nature of the data and the risks presented by the processing. The non-compliance with these safety requirements is punishable by five years' imprisonment and a € 300,000 fine (Art. 226-17 of the Criminal Code).

For instance, in the case of the ImaginLab experimentation site, data is not hosted in the cloud and the organization has defined its own security policy with an appointed CISO (Sergio Morant). Raw data is not shared with other experimentation sites or other entities, only the results of the experimentation (which do not include personal data) are shared. There is no additional cost as the security policy is already in the scope of ImaginLab current and usual operations. Images & Réseaux is registered at the CNIL, the French national authority in charge of data protection, under registration number n°1636810 v 0.

For Barcelona Experimentation Site in Spain, (Owner is I2CAT)

Wherever personal data or other data is collected, processed or used in automated form within the FI-CONTENT 2 project Barcelona experimentation site, processing the data is required to meet specific requirements of the LOPD and also the Catalan recommendation (Recomanació 1/2008 sobre la difusió d'informació que contingui dades de caràcter personal a través d'Internet)[5].

For Zurich Experimentation Site in Switzerland, (Owner is ETHZ)

The Swiss Federal Act of 19 June 1992 on Data Protection (FADP), SR 235.1 states, that:

1. Personal data must be protected against unauthorised processing through adequate technical and organisational measures.
2. The Federal Council issues detailed provisions on the minimum standards for data security

For Lancaster Experimentation Site in UK, (Owner is ULANC)

At the Lancaster experimentation site data collection, processing and storage will meet the specific requirements of the Data Protection Act 1998 concerning its internal organisation and technical measures suited to protect personal data or specific categories of data.

2.5 - Data processing beyond the project time scope

The partners and experimentation site owners shall inform all participants prior to collection of any data about any planned processing of personal data beyond the scope of the FI-CONTENT 2 project.

At the end of the FI-CONTENT 2 project, all data must be anonymised, meaning that any and all references to identifiable natural persons must be purged from the data. Data may only be used beyond the project scope in this anonymised form.

2.5.1 - Deletion of personal data

At the end of the FI-CONTENT 2 project, all personal data of participants must be deleted and all data collected in the studies must be purged of any reference to personal data of participants. This obligation of all partners and experimentation site owners to delete personal data shall not apply, if applicable legislation orders the preservation of personal data of participants. In such case, any link between personal data of participants and data collected in the studies must be deleted and access to participants' personal data must be blocked or limited to the farthest extent permitted by applicable law.

2.5.2 - Use of data for purposes outside the project

The use of personal data of participants is strictly limited to the purpose of the scientific research. Partners or experimentation site owners may not transfer or use participants' personal data for other purposes, including but not limited to marketing of products, including products developed using scientific research of the FI-CONTENT 2 project.

2.6 - Insurance coverage of human participants

As an essential safeguard for human participants in any study conducted in the FI-CONTENT 2 project, all human participants have the right to know whether their participation in any study is covered by appropriate insurance. Therefore, the partner conducting the study is required to inform the participants of whether any insurance is in place, by whom the insurance is provided, and what notable restrictions apply to the provided insurance coverage.

Partners conducting a study shall provide documentation to the ethical advisors that includes details on foreseeable risks to the human participants, whether such risks are covered by pre-existing insurance policies, whether the partner has elected to provide separate insurance coverage for the participants, and if not, the reasons of not taking out separate insurance policies for the benefit of participants.

3 - IMPLEMENTATION OF ETHICAL REQUIREMENTS BY EXPERIMENTATION SITE OWNER

The following section shall outline the steps and measures to be taken by the partners and experimentation site owners in order to comply with ethical requirements set forth in section 2 -.
The steps and measures to be taken as outlined in this section shall also be summarised in the form of questionnaire, attached as Annex A.

All six FI-CONTENT 2 experimentation site owners have already provided answers to all questions raised in this section. Before starting the first FI-CONTENT 2 experimentation cycle in Month 06 each partner planning experiments at the different experimentation sites shall also provide answers to all questions raised in this section and – if applicable – provide appropriate documentation first to the experimentation site owner who will forward all answers and any documentation to the WP7 work package leader GAR and the external ethical advisors.
A second release of this document will be made available to the European Commission for review in Month 06 with all answers and information provided by partners planning to run experiments at the different sites.

3.1 - Dedication to academic standards

All partners of the FI-CONTENT 2 projects should be dedicated to academic standards that condemn research misconduct, such as falsification of results, fabrication of data and plagiarism. Partners should also be free of any detrimental outside influence on the research that is conducted, including by other departments of the partners' corporation.

Sample rules of academic conduct are supplied in Annex C. The sample rules are based on generally accepted rules of conduct. Partners of the FI-CONTENT 2 project that are not subject to any other academic code of conduct may submit to the rules provided in Annex C by incorporating a reference to this annex in employment contracts with researchers (or amendment agreements thereto) and the contract to participate in the FI-CONTENT 2 project. In such cases, partners should answer the third and fourth question below with "yes" and "Annex C incorporated by reference" respectively.

All partners are requested and required to provide answers to the following questions:

- Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?
- If yes, provide the name of the code of conduct rules.
- If no, is any provision on academic standards part of standard employment contracts with researchers?
- If yes, provide the text of the respective section of standard employment contracts.
- If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.
- Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?
- If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?

3.2 - Implementation of data collection process

Partners of the FI-CONTENT 2 project shall ensure that all collection of data from human participants is conducted in accordance with applicable law and ethical requirements set forth in this document. Partners of the FI-CONTENT 2 project are requested and required to provide details on the process of collection of data from human participants for the studies being conducted by the respective partner. Such details are to be given first to the experimentation site owner and forwarded to the WP7 work package leader GAR and the external ethics advisers and – if necessary – to the European Commission.

Please provide answers to the following questions:

- Does your research rely on data collected from human participants?
- Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).
- Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).
- Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?
- If yes, specify possible situations harmful to participants.
- Are participants informed about potentially harmful situations?
- What measures are taken to minimise risk for participants?
- Does your research rely on collection of personal data?
- Is personal data of the participants linked to data collected in the study?
- If yes to any of the previous two questions, please specify the reason for the need for personal data.
- Are you aware of the legal framework governing the collection of personal data in your country?

3.2.1 - Data protection officer/approval by competent national authority

Each partner conducting studies within the FI-CONTENT 2 project is responsible to notify the competent national supervisory authority for data protection and privacy, and if necessary obtain relevant government approval. In Germany, the competent supervisory authority must be notified before commencement of data processing. Partners may be exempt from the requirement of notification if they have appointed a suitable data protection officer ("privacy officer" within the meaning of EU directive 95/46/EC).
Requirements in other jurisdictions may vary.

Experimentation site owners may offer to partners to appoint the experimentation site owner's data protection officer also. The partners making use of such offer may provide the contract with the experimentation site owner allowing the appointment of the data protection officer and documentation of the appointment itself.

The partners should provide answers to the following questions:

- Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?
- Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?
- If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?
- Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.

3.2.2 - Appointment of experimentation site owner's data protection officer by partners

All partners should be aware that appointment of a data protection officer may be required under applicable data protection law. Such requirement may apply without regard to the number of persons engaged in processing of Personal Data. In recognition of the fact that many partners are small businesses and/or start-up businesses, appointment of a data protection officer should be made as simple as possible under applicable legislation. The partners are therefore encouraged to seek assistance from the experimentation site owner. Each experimentation site owner should have appointed a data protection officer whose responsibilities cover the research conducted at the experimentation site. **It is encouraged that each experimentation site owner enter into an agreement with each of the FI-CONTENT 2 project partners**

conducting research at the experimentation site for provision of services of the appointed data protection officer to the partners.

The German BDSG permits appointment of an external data protection officer. Partners that do not already have appointed a data protection officer are encouraged to make use of this possibility. Appointment of the data protection officer of another partner or the experimentation site owner must be based on a separate written agreement. Such agreement must specify the extent of the services provided by the data protection officer and must identify possible conflicts of interest that may arise from the use of said data protection officer by the partner. Reasonable steps to avoid possible conflicts of interest must be included in the agreement. If conflicts of interests cannot be avoided, the partner must not enter into such an agreement.

National data protection legislation in other jurisdictions may not allow appointment of an external data protection officer or may provide different requirements. Partners in jurisdictions other than Germany need to familiarise themselves with applicable data protection legislation.

In order to comply with requirements to appoint a data protection officer, partners should answer the following questions:

- Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?
- Have you appointed a data protection officer?
- Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.
- If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?
- Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.

3.2.3 - Implementation of measures for the protection of minors and vulnerable adults

Partners and experimentation site owners should be aware that all research should generally only involve healthy adult participants. If partners for experimentation site owners conduct research to develop products that are either aimed specifically at minors or vulnerable adults (e.g., people with disabilities, elderly, pregnant women, prisoners, immigrants, etc.) or will also be used by them, special precautions must be taken in order to ensure possible further legal requirements in relation to working with minors or vulnerable adults are met and participation is still based on informed consent.

Partners who were working with minors or vulnerable adults are required to familiarise themselves with applicable national legislation for the protection of minors and applicable groups of vulnerable adults. Applicable national legislation may provide that minors must not be subjected to certain types of media, certain types of content. Further provisions may include that minors may not participate in certain activities without the presence of a parent or legal guardian, during certain times of day, or at all. Partners researching application of technology for the purpose of providing interactive services must be aware that provision of such services may be subject to government approval or rating of adverse suitability of the content for minors by a competent government authority or other institution.
Partners must adhere to such restrictions imposed for the physical and emotional well-being of minors and all procedure prescribed by applicable legislation.

Similar legislation and may be applicable for vulnerable adults as research participants. Partners must familiarise themselves with applicable legislation.

Partners engaged in research involving minors or vulnerable adults as participants must also take appropriate measures to ensure that participation is based on informed consent. In all instances involving

minors or adults for whom a legal guardian has been appointed informed consent must be given by the parent or legal guardian. Additionally, partners must take all necessary measures to ensure that participants are given the same information as the parent or legal guardian and are able to understand the information and its implications to the best extent possible. Measures may include giving the participants extensive oral explanations on the information provided in a language that the minor or vulnerable adults will be able to comprehend.

Partners should provide answers to the following questions:

- Does your research involve participation of minors or vulnerable adults? If yes, please specify.
- If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?
- If yes, please specify all restrictions imposed by applicable national legislation on your research and involve the groups of vulnerable adults or minors.
- If yes, please specify measures you have taken to comply with applicable national legislation.
- If yes, please specify measures you have taken to ensure participation is based on informed consent.

3.2.4 - Submission of documents concerning collection of data from Non-EU countries or developing countries

If partners elect to conduct research in Non-EU countries or developing countries that involves collection of data from participants from the host country, then partners must be aware that additional ethical requirements may apply.

Before commencing a research in non-EU countries or developing countries, partners must provide documentation to the ethical advisers for review. This documentation must include details on the various ethical considerations involved. Partners are required to familiarise themselves with local law and customs before commencing research. Partners are required to provide a detailed explanation on why the study or research is carried out in the specific non-EU or developing country and what particular benefits may arise from the study or research for the community in the developing country. Partners that are conducting studies or research in developing countries further have to provide details on how internationally accepted ethical standards, such as the declaration of Helsinki, are implemented, and how ethical standards provided by the EU Commission are also applied to participants from the host country.

Partners should provide answers to the following questions:

- Do you conduct research or studies in non-EU or developing countries?
- Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?

3.3 - Implementation of informed consent protocol

The partners at each experimentation site shall design an adequate consent form and protocol. Model consent form and protocol are attached as Annex B. Experimentation site owners may choose to implement their own consent form and protocol, if such consent form and protocol has generally been used at the experimentation prior to the FI-CONTENT 2 project and has been reviewed by an internal or external ethical advisor for compliance with applicable national legislation.

3.4 - Implementation of data processing requirements

Partners should be aware that all processing of Personal Data is covered by national data protection and privacy legislation. Personal Data that was collected for the purposes of research may only be processed for this purpose and not be used for other purposes, such as marketing and advertising.

Any data collected from participants during the studies must be processed separately from Personal Data of the participants. Partners must ensure that such separate processing of data is enabled by design of the research conducted. It is therefore highly recommended that all processing of participants' Personal Data must not be conducted by the same persons who process data collected during the studies. This applies in particular to any studies that involve the creation of profiles of reactions of participants that may be used to draw conclusions about the participants' personality or behaviour. It is further recommended that for each experimentation site a separate entity or department is appointed to handle administration of participants. This administration department should have no access to any data collected in the studies or profiles of the participants, but only the participants' Personal Data and a unique identifier that may be used to link the data collected in the studies and profiles to the identity of the participant. All data are stored in the administration department must be on a separate hardware (or if on the same hardware, stored in different databases with a different set of access permissions) from any in data storage of the data collected in the studies. No person employed by any partner or the experimentation site owner shall have access to both the Personal Data of participants and the data collected during the studies.

If a partner wishes to link the data collected in the studies with the Personal Data of the participant, the partner is required to provide detailed documentation outlining the reasons for such linking of data to the ethical advisers before any linking of data occurs. Such linking of data collected in the studies with the Personal Data is subject to review and publication in the annual report by the ethical advisers.

It is also highly recommended that any unique identifier used for linking any set of data collected in studies with the participants' identity should be implemented in such manner that their unique identifier may be easily removed from the set of data.

Any transfer of data collected is in studies to other partners of the FI-CONTENT 2 project may only occur if the unique identifier is removed prior to transfer. Partners should take appropriate measures to ensure that if the data is transferred, the unique identifier is removed automatically.

Partners should provide answers to the following questions:

- Is all data collected for studies kept and processed separately from Personal Data of the participants?
- Do any persons have access to both Personal Data of the participants and data collected for the studies?
- Is the data collected for studies linked with data that may identify the participants?
- If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?
- Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?

3.5 - Implementation of IT-security measures

Partners shall implement appropriate IT-security measures to ensure anonymity of the participants to the best extent possible.

Such technical and organisational measures shall be taken

1. to prevent unauthorised persons from gaining access to data processing systems for processing or using personal data (access control),
2. to prevent data-processing systems from being used without authorisation (access control),
3. to ensure that persons authorised to use data-processing systems have access only to the data they are authorised to access, and that personal data cannot be read, copied, altered or removed without authorisation during processing, use and after recording (access control),

4. to ensure that personal data cannot be read, copied, altered or removed without authorisation during electronic transfer or transport all while being recorded onto data storage media, and that it is possible to ascertain check which bodies are to be transferred personal data using data transmission facilities (disclosure control),
5. to ensure that it is possible after the fact to check and ascertain whether personal data have been entered into, altered or removed from data-processing systems and if so, by whom (input control),
6. to ensure that personal data processed on behalf of others are processed strictly in compliance with the controller's instructions (job control),
7. to ensure that personal data is protected against accidental destruction or loss (availability control), and
8. to ensure that the data collected for different purposes can be processed separately.

All measures that are taken must be appropriate with regard to the sensitivity of the information being collected and processed. If sensitive categories of data are collected or processed, special measures must be taken to ensure adequate protection.

It is highly recommended that partners implement measures based on commonly accepted IT-security standards, such as ISO27001-27004 or "IT-Grundschutz" by the German Federal Office for Information Security (BSI).

Partners should provide answers to the following questions:

- Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?
- Have you implemented adequate IT-security measures in accordance with the legal requirements?
- Please specify all implemented IT-security measures.

3.6 - Implementation of measures concerning withdrawal of a partner from the project or the end of the project

As part of the measures that are to be implemented under section 3.5 -, each experimentation site owner and FI-CONTENT 2 partner shall implement adequate measures to ensure that Personal Data of the participants is neither used by partners who have withdrawn from the project nor beyond the end of the project.
Adequate measures include limiting access to personal data of the participants for partners who have withdrawn from the project.

Data that was collected in studies may be used by partners who have withdrawn from the project and beyond the end of the project, if the data is completely anonymised, e.g. by removing any unique identifier.

3.6.1 - Deletion of data associated with the project from the former partner's data storage facilities

Partners are generally not allowed to use any Personal Data of the participants outside of the FI-CONTENT 2 project. Therefore, upon withdrawing from the FI-CONTENT 2 project the respective partner must delete all Personal Data of the participants from his data storage facilities and must provide to the ethical advisers of the project written confirmation that all Personal Data of the participants has been deleted.
In case of mandatory legal requirements to preserve Personal Data of the participants the respective partner must block access to the Personal Data of the participants to prevent use for other purposes and must provide to the ethical advisers of the project written confirmation of the measures implemented to block access.

3.7 - Documentation of insurance coverage for human participants

For any studies conducted by partners of the FI-CONTENT 2 project involving human participants, partners shall ensure provision of adequate insurance coverage.

As outlined in section 2.6 -, the partners should provide answers to the following questions:

- Please specify all foreseeable risks of your study to human participants.
- Are those risks covered by any pre-existing insurance? If yes, please specify.
- Is a separate insurance policy taken out for the benefits of the participants?
- Were the participants informed about the foreseeable risks and insurance coverage?

REFERENCES

[1] LOPD (spain) en angles - http://www.apd.cat/media/2307.pdf

[2] Article 9.- PROCESSING FOR STATISTICAL, HISTORICAL OR SCIENTIFIC PURPOSES; 32/2010 (catalan) - http://www.apd.cat/media/2663.pdf

[3] http://www.unicef.org/adolescence/cypguide/index_ethics.html

[4] www.unicef.org/evaluation/files/TechNote1_Ethics.pdf

[5] http://www.apd.cat/media/667.pdf

Annex A PARTNER QUESTIONNAIRE

A.1 Brittany Experimentation Site Owner ILB

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?			Not applicable: ImaginLab is not a research team. ImaginLab is operating the Living Lab but does not perform research works on collected data.
1b	If yes, provide the name of the code of conduct rules.			Not applicable
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			Not applicable
1d	If yes, provide the text of the respective section of standard employment contracts.			Not applicable
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			Not applicable
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?			Not applicable
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			Not applicable
3a	Does your research rely on data collected from human participants?	Yes		Not applicable
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			The test setup is defined with the project and may differ between various experimentations. Most of the time, it is based on questionnaires (online survey) during a Field User Test. The collected data are the answers to the questionnaire. It can be completed by a focus group at experimentation start/end.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Main technics which are used on ImaginLab: • Questionnaires • Interviews (Individuals / Groups) • Video recording
4a	Is there a possibility that participants may be introduced to potentially harmful	Yes		

Nr.	Question	Y	N	Details
	situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?			
4b	If yes, specify possible situations harmful to participants.			Walking and experimenting a mobile application.
4c	Are participants informed about potentially harmful situations?	Yes		
4d	What measures are taken to minimise risk for participants?			Firstly, comply with national rules (no mobile when driving …). Guidelines for experimentation can be added per experimentation case.
5a	Does your research rely on collection of personal data?		No	
5b	Is personal data of the participants linked to data collected in the study?		No	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	Yes		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	Yes		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?	Yes		
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?			
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			Not applicable
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a	Yes		

Nr.	Question	Y	N	Details
	data protection officer?			
7b	Have you appointed a data protection officer?	Yes		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.			CISO for ImaginLab and Images & Réseaux cluster (handled at experimentation site level).
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?			Not applicable
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.		No	
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		No	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		No	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			Not Applicable
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	Yes		
10b	Do any persons have access to both Personal Data of the participants and data	Yes		ImaginLab database administrator only

Nr.	Question	Y	N	Details
	collected for the studies?			
10c	Is the data collected for studies linked with data that may identify the participants?		No	
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			Not applicable
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?			To be checked
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	Yes		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	Yes		
11c	Please specify all implemented IT-security measures.			User data are hosted in a secured server inside ImaginLab data center and intranet (Firewall, DMZ).
12a	Please specify all foreseeable risks of your study to human participants.			See 4b.
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.		No	
12c	Is a separate insurance policy taken out for the benefits of the participants?		No	
12d	Were the participants informed about the foreseeable risks and insurance coverage?			Partially. They are informed that they are not responsible for any damage that could occur to the devices which are lent during the experimentation.

A.1.1 Orange planning experiments at Brittany, Berlin, Cologne and Barcelona Sites

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?		X	
1b	If yes, provide the name of the code of conduct rules.			Not applicable
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			No
1d	If yes, provide the text of the respective section of standard employment contracts.			Not applicable
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			Careful attention shall be made to avoid research misconduct (falsification of results, fabrication of data, plagiarism). Orange has an internal control department that may control research conduct under the project.
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		X	
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	X		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Use or web or mobile applications as well as mock-up service Usage patterns, questionnaires, open feedbacks
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Questionnaires, interviews, video recordings, service usage logs Application testing, field trials
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?	X		

Nr.	Question	Y	N	Details
4b	If yes, specify possible situations harmful to participants.			As a mobile service, the participant could be attempted to use the service while driving or cycling
4c	Are participants informed about potentially harmful situations?	X		
4d	What measures are taken to minimise risk for participants?			Comply with national rules (no mobile when driving …). Guidelines for experimentation can be added through the "condition of use of the service" while register to the service: Information screen(s) to warn the participants should be implemented
5a	Does your research rely on collection of personal data?	X		
5b	Is personal data of the participants linked to data collected in the study?	X		
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			For the service itself: Provide recommendations to users about particular events, transport ... where experimentation shall take place but not related to existing Orange commercial product For research reasons: Analyse the behaviour of users but globally and not in individual basis. We will use ID.
5d	Are you aware of the legal framework governing the collection of personal data in your country?	X		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	X		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?		X	Information of our internal data protection officer (see question 6d)
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	X		
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			Marie-Gaëlle Choisy (Chief Privacy Officer, Personal Data & Information Security)

Nr.	Question	Y	N	Details
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	X		
7b	Have you appointed a data protection officer?	X		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.		X	
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		X	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			Not applicable
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		X	No, except for the experimentation held in Cologne that could involve participation of minors (age: around 16 to 18 years old). See the information provided by Grassroots for Cologne experimentation site in Annex A.
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			Yes for Cologne. See the information provided by Grassroots in Annex A for Cologne experimentation site.
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		X	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			Not applicable
10a	Is all data collected for studies kept and processed separately from Personal Data of		X	Research: we would like to analyse links between some elements of the profile (sex,

Nr.	Question	Y	N	Details
	the participants?			age, ... but not personal identification of person such as name, telephone number, ...) and usage behaviour. So these data have to be crossed but this not enabled to identify user personally.
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	X		There will be no link between personal data of the participant and data collected for studies. However, in the application tested, the participant is invited to give profile information like his name, surname and optionally date of birth and phone number. He/she is free to give pseudonyms or real name. If giving real name, the server administrator will have access to both data.
10c	Is the data collected for studies linked with data that may identify the participants?	X		See 10b
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?	X		
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?	X		
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	X		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	X		
11c	Please specify all implemented IT-security measures.			All information are on secured server
12a	Please specify all foreseeable risks of your study to human participants.			
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.		X	See site experimentation owner
12c	Is a separate insurance policy taken out for the benefits of the participants?		X	See site experimentation owner
12d	Were the participants informed about the foreseeable risks and insurance coverage?		X	See site experimentation owner

A.1.2 TRDF planned experiments at Brittany and Cologne Sites

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?		X	
1b	If yes, provide the name of the code of conduct rules.			
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?		X	
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			No such measures
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?			None
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?		X	
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Test setup : user is in front of a TV set and a tablet Type of data collected : navigation in a portal, selection of items, ratings, comments on movie
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Questionnaires, interview, video recordings, voice recordings, use of information technology to acquire user profiles and user activity
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?		X	User will be located in their home
4b	If yes, specify possible situations harmful to			

Nr.	Question	Y	N	Details
	participants.			
4c	Are participants informed about potentially harmful situations?	X		Via Site experimentation owner partner
4d	What measures are taken to minimise risk for participants?			Firstly, comply with national rules (no mobile when driving…). Guidelines for experimentation can be added per experimentation case.
5a	Does your research rely on collection of personal data?		X	
5b	Is personal data of the participants linked to data collected in the study?		X	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	X		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	X		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?	X		Via Site experimentation owner partner
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?			
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			Not applicable
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	X		Via Site experimentation owner partner
7b	Have you appointed a data protection officer?	X		Via Site experimentation owner partner
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please	X		Via Site experimentation owner partner

Nr.	Question	Y	N	Details
	give details.			
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?			Not applicable
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		X	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		X	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			Not Applicable
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	X		
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	X		ImaginLab database administrator only
10c	Is the data collected for studies linked with data that may identify the participants?		X	
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to	X		

Nr.	Question	Y	N	Details
	ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?			
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	X		Via Site experimentation owner partner
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	X		Via Site experimentation owner partner
11c	Please specify all implemented IT-security measures.			User data are hosted in secured server inside ImaginLab data center and intranet (Firewall, DMZ) ; When Technicolor server is used, IT-security measures are similar : Firewall (filtering of IP address, very limited number of port (i.e. only port 80), DMZ, SSH access for admin
12a	Please specify all foreseeable risks of your study to human participants.			Manage by Site experimentation owner
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.		X	Manage by Site experimentation owner
12c	Is a separate insurance policy taken out for the benefits of the participants?		X	Manage by Site experimentation owner
12d	Were the participants informed about the foreseeable risks and insurance coverage?	X		Via Site Experimentation partner. They are informed that they are not responsible for any damage that could occur to the devices which are lent during the experimentation.

A.2 Berlin Experimentation Site Owner FHG/FOK

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	x		Applies (AGBs) to rules of the Fraunhofer society
1b	If yes, provide the name of the code of conduct rules.			AGB of the Fraunhofer Society
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			-
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		x	-
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?		x	-
3a	Does your research rely on data collected from human participants?	x		User feedback from trials will feed in the ongoing development process (especially UX design, services and feature utilization)
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Setup consists of smartphones, TV sets and tablets running a Smart City Guide application with a set of features that is currently under development
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Questionnaires (online/offline) & interviews
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their		x	

Nr.	Question	Y	N	Details
	surroundings)?			
4b	If yes, specify possible situations harmful to participants.			
4c	Are participants informed about potentially harmful situations?	x		Nothing expected in this direction
4d	What measures are taken to minimise risk for participants?			Services to be executed are designed to minimize risks
5a	Does your research rely on collection of personal data?		x	
5b	Is personal data of the participants linked to data collected in the study?		x	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	x		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	x		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?		x	Not required
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	x		-
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.		x	- Dr. Klaus-Peter Eckert
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	X		
7b	Have you appointed a data protection officer?	x		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please		x	Not yet, if necessary open for negotiation

Nr.	Question	Y	N	Details
	give details.			
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		x	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.		x	
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		x	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		x	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	x		
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	x		Only the persons from FI-CONTENT beneficiaries
10c	Is the data collected for studies linked with data that may identify the participants?		x	
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to	x		

Nr.	Question	Y	N	Details
	ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?			
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	x		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	x		
11c	Please specify all implemented IT-security measures.		x	Data protection officer is available and has checked IT security guidelines and implemented IT security handbook
12a	Please specify all foreseeable risks of your study to human participants.		x	
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.		x	
12c	Is a separate insurance policy taken out for the benefits of the participants?		X	
12d	Were the participants informed about the foreseeable risks and insurance coverage?	X		

A.2.1 RBB planning Experiments at the Berlin Experimentation Site

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	x		
1b	If yes, provide the name of the code of conduct rules.			RBB Staatsvertrag http://www.rbb-online.de/content/rbb/rbb/unternehmen/der_rbb/struktur/grundlagen/rbb_staatsvertrag.file.html/rbb_staatsvertrag.pdf RBB Data protection rules
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		x	None identified
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	x		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			HbbTV enabled televisions and Tablet computers. Feedback to services available on the above devices will be gathered.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Questionnaires and interviews
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the		x	

Nr.	Question	Y	N	Details
	research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?			
4b	If yes, specify possible situations harmful to participants.			
4c	Are participants informed about potentially harmful situations?			
4d	What measures are taken to minimise risk for participants?			
5a	Does your research rely on collection of personal data?		x	
5b	Is personal data of the participants linked to data collected in the study?	x		Personal Data is collected to ensure that if a participant withdraws from the study at any stage they can also have any data also withdrawn.
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	x		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	x		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?			Not required. RBB is required by law to appoint a data protection officer. The data protection officer is independent in exercising her office. http://www.rbb-online.de/unternehmen/der_rbb/ RBB's Data protection officer is Ms Anja Naujock
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?			
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			

Nr.	Question	Y	N	Details
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	x		
7b	Have you appointed a data protection officer?	x		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.		x	
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?			
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		x	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		x	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	x		

Nr.	Question	Y	N	Details
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?			
10c	Is the data collected for studies linked with data that may identify the participants?		x	Personal Information files are kept separate from data files which are anonymised
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?			
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	x		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	x		
11c	Please specify all implemented IT-security measures.			Personal identification files and data files will be stored separately to any field data. All personal identification files will be deleted on the completion of the project. All data files will be made anonymised.
12a	Please specify all foreseeable risks of your study to human participants.			We foresee no risks
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.			
12c	Is a separate insurance policy taken out for the benefits of the participants?			
12d	Were the participants informed about the foreseeable risks and insurance coverage?			

A.2.2 Lab Experimentation IRT – in close collaboration with Berlin experimentation site

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	x		
1b	If yes, provide the name of the code of conduct rules.			IRT's statutes (Satzung) IRT data protection rules Where not sufficiently detailed: Data protection rules from ARD/ZDF (e.g. RBB)
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		x	None identified
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	x		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			HbbTV enabled televisions and Tablet computers. Feedback to services available on the above devices will be gathered.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Questionnaires and interviews of internal testers and friendly users, log file evaluation where required/available
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while		x	

Nr.	Question	Y	N	Details
	conducting a vehicle, using technology that may distract participants from their surroundings)?			
4b	If yes, specify possible situations harmful to participants.			
4c	Are participants informed about potentially harmful situations?			
4d	What measures are taken to minimise risk for participants?			
5a	Does your research rely on collection of personal data?		x	
5b	Is personal data of the participants linked to data collected in the study?	x		Personal Data is collected to ensure that if a participant withdraws from the study at any stage they can also have any data also withdrawn.
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	x		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	x		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?			Not required. IRT has appointed a data protection officer. IRT's Data protection officer is Mr Alexander Schertz
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?			
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	x		
7b	Have you appointed a data protection	x		

Nr.	Question	Y	N	Details
	officer?			
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.		x	
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?			
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		x	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		x	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	x		
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?			
10c	Is the data collected for studies linked with data that may identify the participants?		x	Personal Information files are kept separate from data files which are anonymised

Nr.	Question	Y	N	Details
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?			
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	x		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	x		
11c	Please specify all implemented IT-security measures.			Personal identification are note foreseen to be stored – in case this is required, personal files and data files will be stored separately to any field data. All personal identification files will be deleted on the completion of the project. All data files will be made anonymised.
12a	Please specify all foreseeable risks of your study to human participants.			We foresee no risks
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.			
12c	Is a separate insurance policy taken out for the benefits of the participants?			
12d	Were the participants informed about the foreseeable risks and insurance coverage?			

A.3 Cologne Experimentation Site Owner Pixelpark (PIX)

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?		N	Not applicable. Pixelpark does not employ researchers, all data is recorded without human interaction
1b	If yes, provide the name of the code of conduct rules.			
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?		N	
1d	If yes, provide the text of the respective section of standard employment contracts.			.
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.	N		Automatic results cannot be edited
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		N	None
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	Y		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Focus Group, Workshop and Field Trials with students testing the social connected TV, mobile and gaming applications in the framework of co-designed school class experiments. We plan to collect the data over an online platform.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Pixelpark does not collect data from participants
4a	Is there a possibility that		N	

Nr.	Question	Y	N	Details
	participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?			
4b	If yes, specify possible situations harmful to participants.			
4c	Are participants informed about potentially harmful situations?		N	
4d	What measures are taken to minimise risk for participants?		N	n.a. Protection measures must be implemented by project partners
5a	Does your research rely on collection of personal data?		N	
5b	Is personal data of the participants linked to data collected in the study?		N	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	Y		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	Y		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?		N	
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	Y		
6d	Please specify the exception provision you are utilising. If this exception provision involves the	Y		§4f BDSG

Nr.	Question	Y	N	Details
	appointment of a data protection officer, please specify the name of the appointed data protection officer.			
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	Y		
7b	Have you appointed a data protection officer?	Y		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.	Y		Pixelpark offers Data Protection Officer services to future project partners if necessary.
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?	Y		
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.	Y		Provisions of the model agreement in Annex D were agreed on.
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		N	
8b	If yes, are you aware of applicable international legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			n.a. Project Partners are required to use consent forms and consent protocols in Annex B.

Nr.	Question	Y	N	Details
9a	Do you conduct research or studies in non-EU or developing countries?		N	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			n.a.
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	Y		
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?		N	
10c	Is the data collected for studies linked with data that may identify the participants?		N	
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymized, e.g. by removing any unique identifier?	Y		
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	Y		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	Y		
11c	Please specify all implemented IT-security measures.			Data center is BSI /ISO27001 certified. More information can be found on the Pixelpark Website at http://www.pixelpark.com/de/pixelpark/agentur/awards-und-zertifizierungen/zertifizierungen/index.html
12a	Please specify all foreseeable risks of your study to human participants.			n.a. Experiments are conducted by project partners
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.		N	n.a.
12c	Is a separate insurance policy taken out for the benefits of the participants?		N	

Nr.	Question	Y	N	Details
12d	Were the participants informed about the foreseeable risks and insurance coverage?		N	

A.3.1 GAR planning experiments at the Cologne Experimentation Site

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?		N	
1b	If yes, provide the name of the code of conduct rules.			
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?	Y		
1d	If yes, provide the text of the respective section of standard employment contracts.			Academic Rules in Annex C have been incorporated by reference in amendment agreements with researchers.
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		N	None
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	Y		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Focus Group, Workshop and Field Trials with students testing the social connected TV, mobile and gaming applications in the framework of co-designed school class experiments. The data we plan to collect is in the first experiment cycle qualitative and quantitative feedback and user generated content.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			We plan to use questionnaires, interviews as well as to record the anonymous user inputs on the mobile device and collect user generated content to create school media presentations. The contact point for the pupils is the teacher.
4a	Is there a possibility that	Y		

Nr.	Question	Y	N	Details
	participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?			
4b	If yes, specify possible situations harmful to participants.			The students will move around the city in pedestrian zones during the school class field trip testing the mobile applications.
4c	Are participants informed about potentially harmful situations?	Y		Prior to the school trip the students will be informed to make sure that they look at their environment and other people when walking. They can stop walking to look on the screen
4d	What measures are taken to minimise risk for participants?	Y		We have a prior workshop for the teacher, parents and students to discuss all open issues and questions about the experiments and we will mentor together with the teacher the field trip and the experiments. We will read together with each participant the information sheet attached to the consent form and ask the participant as well as their parents (in case of the 16 – 18 years old students) to sign the consent form as a consent protocol.
5a	Does your research rely on collection of personal data?	Y		
5b	Is personal data of the participants linked to data collected in the study?		N	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			We will have personal contact to the participants as they are participants in a school class and we and the teacher needs to collect their personal data to better mentor them in their scholar achievement.
5d	Are you aware of the legal framework governing the collection of personal data in your country?	Y		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	Y		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in		N	

Nr.	Question	Y	N	Details
	your jurisdiction?			
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	Y		
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.	Y		§4f BDSG.
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	Y		
7b	Have you appointed a data protection officer?	Y		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.			To be determined. Site owner has offered such service.
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?	Y		
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.	Y		Provisions of the model agreement in Annex D were agreed on.
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.	Y		Grassroots collaborates with the Public School EVT, Cologne in Germany. The school decided in their national/regional/local education program to integrate in the frame work of their educational national legislation concerning minors to involve their students in a model Internet class to co-create and perform an experiment with us and get a school grade for it (16-18 years old)
8b	If yes, are you aware of applicable international legislation concerning minors or involve the groups of	Y		Grassroots will abide by the ethical norms established by the UNICEF (Children Participating in Research, Monitoring And Evaluation (M&E) — Ethics and Your

Nr.	Question	Y	N	Details
	vulnerable adults?			Responsibilities as a Manager", Evaluation Technical Notes No. 1, UNICEF Evaluation Office, April 2002. www.unicef.org/evaluation/files/TechNote1_Ethics.pdf to the UNICEF). We comply to the restrictions imposed for the physical and emotional well-being of minors and all procedure prescribed by applicable legislation.
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			• The Students will not be subjected to content deemed unsuitable for their age by German self-Regulatory Body "FSK" without the approval of the Teacher. • The Students will be supervised wherever necessary or practical.
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			Grassroots collaborates with the Public School EVT, Cologne in Germany. The school decided in their national/regional/local education program to integrate in the frame work of their educational national legislation concerning minors to involve their students in an Information Technology class to co-create and perform a media experiment with us and get a school grade for it (16-18 years old) in the framework of their school legislation. Any experimentation set-up will be discussed in detail with experienced teachers of EVT to identify possible legal compliance issues. In case of doubt or dispute, professional legal advice will be sought.
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			Informed Consent Forms for Minors as well as Informed Consent Forms for Parents as described in Annex B are used and Consent Protocol of Annex B is used.
9a	Do you conduct research or studies in non-EU or developing countries?		N	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			n.a.
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	Y		
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?		N	
10c	Is the data collected for studies linked with data that may identify		N	

Nr.	Question	Y	N	Details
	the participants?			
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?		Y	
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	Y		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	Y		
11c	Please specify all implemented IT-security measures.			We use Pixelpark data center, which is BSI /ISO27001 certified. More information is found on the Pixelpark Website at http://www.pixelpark.com/de/pixelpark/agentur/awards-und-zertifizierungen/zertifizierungen/index.html
12a	Please specify all foreseeable risks of your study to human participants.			The students will move around the city in pedestrian zones during the school class field trip testing the mobile applications.
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.	Y		The school field trips are covered by the existing school insurance.
12c	Is a separate insurance policy taken out for the benefits of the participants?		N	
12d	Were the participants informed about the foreseeable risks and insurance coverage?	Y		

A.4 Barcelona Experimentation Site Owner I2CAT

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	Y		
1b	If yes, provide the name of the code of conduct rules.			For research studies with users, we take in account the Deontological code Sociologist from the Spanish Federation of Sociology at http://www.fes-web.org/quienes-somos/codigo-deontologico.php
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			The contract is regulated by each institution with a specific section of ethical responsibilities
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?			We never found such type of conflicts because we don't use to be involved in unethical projects.
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			-
3a	Does your research rely on data collected from human participants?	Y		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			We deal with multimedia technology trying to connect Technology and Culture. In doing so, we explore user experiences and their interpretations that provide us perceptions, feelings, social requirements, uses, wishes list, ideas, proposals and other insights necessary for any co-designing process, testing or validation.

Nr.	Question	Y	N	Details
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			It depends on the phase of the project. Usually we use ethnographic fieldwork and qualitative research that relies on techniques such as in deep interviews, participant observation, personal stories, active workshops with users and other kind of focus group. We also use autoethnographic documents and different types of questionnaires
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?		N	
4b	If yes, specify possible situations harmful to participants.			
4c	Are participants informed about potentially harmful situations?	Y		
4d	What measures are taken to minimise risk for participants?			According to the law.
5a	Does your research rely on collection of personal data?		N	
5b	Is personal data of the participants linked to data collected in the study?	Y		
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			We only store basic contact information (mail address) for internal communication purposes with the participants.
5d	Are you aware of the legal framework governing the collection of personal data in your country?	Y		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	Y		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?			

Nr.	Question	Y	N	Details
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?			
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	Y		
7b	Have you appointed a data protection officer?			Not yet
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.		N	
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?			
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.	Y		
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			Yes, we are
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			Do not link personal data with the results.
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			Do not link personal data with the results

Nr.	Question	Y	N	Details
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			Signed document prior to research
9a	Do you conduct research or studies in non-EU or developing countries?		N	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	Y		
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?		N	
10c	Is the data collected for studies linked with data that may identify the participants?		N	
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymized, e.g. by removing any unique identifier?	Y		
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	Y		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	Y		
11c	Please specify all implemented IT-security measures.			Passwords and firewalls to access to the data
12a	Please specify all foreseeable risks of your study to human participants.			None of the specific occasioned by the research.
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.	Y		Civil protection insurances from any institution who participates and collaborates in the research
12c	Is a separate insurance policy taken out for the benefits of the participants?	N		
12d	Were the participants informed about the	Y		

Nr.	Question	Y	N	Details
	foreseeable risks and insurance coverage?			

A.5 Zurich Experimentation Site Owner ETH

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	X		
1b	If yes, provide the name of the code of conduct rules.			There are 'Guidelines for Research Integrity and Good Scientific Practice at the ETH Zurich' that apply to all members of the ETH Zurich involved in scientific research (incl. students and technical staff): http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%C3%A4t-Forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%E4t_Forschung_engl.pdf Possible scientific misconduct is regulated in the following document: 'Procedure to address allegations of research misconduct at the ETH Zurich': http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung_englisch.pdf
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		X	
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	X		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback,			Mobile AR: The subjects test different game concepts using a mobile device such as a tablet or smart phone. The display shows the

Nr.	Question	Y	N	Details
	etc.).			image of the integrated camera pointing to the surrounding scene. The image may be augmented with virtual objects that are not part of the physical scene. The subject might interact with other subjects playing the game at the same time.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			We plan to mainly watch the participants, use questionnaires and interviews as well as to record the user inputs on the mobile device. Following the advise of the ETH Ethical Committee, we will already record the data in an anonymised way, i.e. linking only to a unique number. If necessary (e.g. for questions on provided input from the participant), we will use a separately stored lookup table to be able to contact the respective participant.
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?	X		
4b	If yes, specify possible situations harmful to participants.			The participants may walk while looking at the screen of the mobile device and can be distracted.
4c	Are participants informed about potentially harmful situations?	X		
4d	What measures are taken to minimise risk for participants?			We will only conduct the studies in a pedestrian zone.
5a	Does your research rely on collection of personal data?		X	
5b	Is personal data of the participants linked to data collected in the study?		X	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	X		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	X		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements		X	

Nr.	Question	Y	N	Details
	that exist in your jurisdiction?			
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	X		
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			We will go through the Ethics Committee of ETHZ for approval of our user studies to avoid potential issues. Marcel Lancelle is in charge of this task. By providing a designated data protection officer (Marcel Lancelle), the data files do not have to be declared specifically (235.1, Art. 11a, 5.e)
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	X		
7b	Have you appointed a data protection officer?	X		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.	X		Marcel Lancelle is the data protection officer for the Zurich experimentation site. Usually, multiple partners will be involved in the experiments.
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		X	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		X	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-	X		

Nr.	Question	Y	N	Details
	EU or developing countries?			
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?	X		
10 a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	X		
10 b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	X		
10c	Is the data collected for studies linked with data that may identify the participants?		X	
10 d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10 e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?	X		
11 a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	X		
11 b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	X		
11c	Please specify all implemented IT-security measures.			The systems in the ETHZ network must be protected against known vulnerabilities. If this is not the case, the IT staff must disconnect the device from the network. Operating systems have to be upgraded with the latest security patches. Computers have to be configured with the latest anti-virus systems. Further details are available here (German only, we will provide a translation on demand): https://www.isg.inf.ethz.ch/pub/Main/AboutUsGuidelines/ETH_standards_systempflege.pdf
12 a	Please specify all foreseeable risks of your study to human participants.			In Augmented Reality studies, users might be distracted by looking at the screen rather than at the environment. We will conduct experiments with such risks in mind, e.g. not conduct them near motorized traffic. Currently, we do not see any other specific risks.
12	Are those risks covered by any pre-existing	X		Possible damages to the participant's

Nr.	Question	Y	N	Details
b	insurance? If yes, please specify.			health which are directly related to the study and are demonstrably the fault of ETH Zurich, are covered by the general liability insurance of ETH Zurich.
12c	Is a separate insurance policy taken out for the benefits of the participants?		X	
12 d	Were the participants informed about the foreseeable risks and insurance coverage?	X		

A.5.1 DRZ planning Experiments at the Zurich Experimentation Site

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	X		DRZ comply to the academic code of ETHZ. All experiments involving users will be done in conjunction with ETHZ.
1b	If yes, provide the name of the code of conduct rules.			There are 'Guidelines for Research Integrity and Good Scientific Practice at the ETH Zurich' that apply to all members of the ETH Zurich involved in scientific research (incl. students and technical staff): http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%C3%A4t-Forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%E4t_Forschung_engl.pdf Possible scientific misconduct is regulated in the following document: 'Procedure to address allegations of research misconduct at the ETH Zurich': http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung_englisch.pdf
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		X	
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	X		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Mobile AR: The subjects test different game concepts using a mobile device such as a tablet or smart phone. The display shows the image of the integrated camera pointing to the surrounding scene. The image may

Nr.	Question	Y	N	Details
				be augmented with virtual objects that are not part of the physical scene. The subject might interact with other subjects playing the game at the same time.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			We plan to mainly watch the participants, use questionnaires and interviews as well as to record the user inputs on the mobile device.
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?	X		
4b	If yes, specify possible situations harmful to participants.			The participants may walk while looking at the screen of the mobile device and can be distracted.
4c	Are participants informed about potentially harmful situations?	X		
4d	What measures are taken to minimize risk for participants?			We will only conduct the studies in a pedestrian zone.
5a	Does your research rely on collection of personal data?		X	
5b	Is personal data of the participants linked to data collected in the study?		X	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	X		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	X		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?		X	
6c	If not, are you utilizing an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	X		
6d	Please specify the exception provision you are utilizing. If this exception provision involves the appointment of a data protection officer, please specify the name			We will go through the Ethics Committee of ETHZ for approval of our user studies to avoid potential issues. We will work with Marcel Lancelle (from ETHZ) who is

Nr.	Question	Y	N	Details
	of the appointed data protection officer.			in charge of this task. By providing a designated data protection officer (Marcel Lancelle), the data files do not have to be declared specifically (235.1, Art. 11a, 5.e)
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	X		
7b	Have you appointed a data protection officer?	X		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.	X		Marcel Lancelle from ETHZ is the data protection officer for the Zurich experimentation site. DRZ, as other partners, will be involved in the experiments.
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		X	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		X	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?	X		
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?	X		
10 a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	X		

Nr.	Question	Y	N	Details
10 b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	X		
10c	Is the data collected for studies linked with data that may identify the participants?		X	
10 d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10 e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?	X		
11 a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	X		
11 b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	X		
11c	Please specify all implemented IT-security measures.			The systems in the ETHZ network must be protected against known vulnerabilities. If this is not the case, the IT staff must disconnect the device from the network. Operating systems have to be upgraded with the latest security patches. Computers have to be configured with the latest anti-virus systems. Further details are available here (German only, we will provide a translation on demand): https://www.isg.inf.ethz.ch/pub/Main/AboutUsGuidelines/ETH_standards_systempflege.pdf
12 a	Please specify all foreseeable risks of your study to human participants.			In Augmented Reality studies, users might be distracted by looking at the screen rather than at the environment. We will conduct experiments with such risks in mind, e.g. not conduct them near motorized traffic. Currently, we do not see any other specific risks.
12 b	Are those risks covered by any pre-existing insurance? If yes, please specify.	X		Possible damages to the participant's health which are directly related to the study and are demonstrably the fault of ETH Zurich, are covered by the general liability insurance of ETH Zurich.
12c	Is a separate insurance policy taken out for the benefits of the participants?		X	
12 d	Were the participants informed about the foreseeable risks and insurance coverage?	X		

A.5.2 GOBO planning Experiments at the Zurich Experimentation Site

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	X		GOBO comply to the academic code of ETHZ. All experiments involving users will be done in conjunction with ETHZ.
1b	If yes, provide the name of the code of conduct rules.			There are 'Guidelines for Research Integrity and Good Scientific Practice at the ETH Zurich' that apply to all members of the ETH Zurich involved in scientific research (incl. students and technical staff): http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%C3%A4t-Forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%E4t_Forschung_engl.pdf Possible scientific misconduct is regulated in the following document: 'Procedure to address allegations of research misconduct at the ETH Zurich': http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung_englisch.pdf
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		X	
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	X		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Mobile AR: The subjects test different game concepts using a mobile device such as a tablet or smart phone. The display shows the image of the integrated camera pointing to the surrounding scene. The image may

Nr.	Question	Y	N	Details
				be augmented with virtual objects that are not part of the physical scene. The subject might interact with other subjects playing the game at the same time.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			We plan to mainly watch the participants, use questionnaires and interviews as well as to record the user inputs on the mobile device.
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?	X		
4b	If yes, specify possible situations harmful to participants.			The participants may walk while looking at the screen of the mobile device and can be distracted.
4c	Are participants informed about potentially harmful situations?	X		
4d	What measures are taken to minimize risk for participants?			We will only conduct the studies in a pedestrian zone.
5a	Does your research rely on collection of personal data?		X	
5b	Is personal data of the participants linked to data collected in the study?		X	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	X		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	X		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?		X	
6c	If not, are you utilizing an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	X		
6d	Please specify the exception provision you are utilizing. If this exception provision involves the appointment of a data protection officer, please specify the name			We will go through the Ethics Committee of ETHZ for approval of our user studies to avoid potential issues. We will work with Marcel Lancelle (from ETHZ) who is

Nr.	Question	Y	N	Details
	of the appointed data protection officer.			in charge of this task. By providing a designated data protection officer (Marcel Lancelle), the data files do not have to be declared specifically (235.1, Art. 11a, 5.e)
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	X		
7b	Have you appointed a data protection officer?	X		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.	X		Marcel Lancelle from ETHZ is the data protection officer for the Zurich experimentation site. DRZ, as other partners, will be involved in the experiments.
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		X	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		X	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?	X		
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?	X		
10 a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	X		

Nr.	Question	Y	N	Details
10 b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	X		
10c	Is the data collected for studies linked with data that may identify the participants?		X	
10 d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10 e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?	X		
11 a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	X		
11 b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	X		
11c	Please specify all implemented IT-security measures.			The systems in the ETHZ network must be protected against known vulnerabilities. If this is not the case, the IT staff must disconnect the device from the network. Operating systems have to be upgraded with the latest security patches. Computers have to be configured with the latest anti-virus systems. Further details are available here (German only, we will provide a translation on demand): https://www.isg.inf.ethz.ch/pub/Main/AboutUsGuidelines/ETH_standards_systempflege.pdf
12 a	Please specify all foreseeable risks of your study to human participants.			In Augmented Reality studies, users might be distracted by looking at the screen rather than at the environment. We will conduct experiments with such risks in mind, e.g. not conduct them near motorized traffic. Currently, we do not see any other specific risks.
12 b	Are those risks covered by any pre-existing insurance? If yes, please specify.	X		Possible damages to the participant's health which are directly related to the study and are demonstrably the fault of ETH Zurich, are covered by the general liability insurance of ETH Zurich.
12c	Is a separate insurance policy taken out for the benefits of the participants?		X	
12 d	Were the participants informed about the foreseeable risks and insurance coverage?	X		

A.5.3 BLRK Planning Experiments at the Zurich Experimentation Site

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	X		BLRK comply to the academic code of ETHZ. All experiments involving users will be done in conjunction with ETHZ.
1b	If yes, provide the name of the code of conduct rules.			There are 'Guidelines for Research Integrity and Good Scientific Practice at the ETH Zurich' that apply to all members of the ETH Zurich involved in scientific research (incl. students and technical staff): http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%C3%A4t-Forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/414_Integrit%E4t_Forschung_engl.pdf Possible scientific misconduct is regulated in the following document: 'Procedure to address allegations of research misconduct at the ETH Zurich': http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung.pdf http://www.rechtssammlung.ethz.ch/pdf/415_fehlverhalten_forschung_englisch.pdf
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		X	
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	X		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback,			Mobile AR: The subjects test different game concepts using a mobile device such as a tablet or smart phone. The display shows the

Nr.	Question	Y	N	Details
	etc.).			image of the integrated camera pointing to the surrounding scene. The image may be augmented with virtual objects that are not part of the physical scene. The subject might interact with other subjects playing the game at the same time.
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			We plan to mainly watch the participants, use questionnaires and interviews as well as to record the user inputs on the mobile device.
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?	X		
4b	If yes, specify possible situations harmful to participants.			The participants may walk while looking at the screen of the mobile device and can be distracted.
4c	Are participants informed about potentially harmful situations?	X		
4d	What measures are taken to minimize risk for participants?			We will only conduct the studies in a pedestrian zone.
5a	Does your research rely on collection of personal data?		X	
5b	Is personal data of the participants linked to data collected in the study?		X	
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			
5d	Are you aware of the legal framework governing the collection of personal data in your country?	X		
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	X		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?		X	
6c	If not, are you utilizing an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?	X		
6d	Please specify the exception provision you are utilizing. If this exception provision			We will go through the Ethics Committee of ETHZ for approval of our user studies

Nr.	Question	Y	N	Details
	involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			to avoid potential issues. We will work with Marcel Lancelle (from ETHZ) who is in charge of this task. By providing a designated data protection officer (Marcel Lancelle), the data files do not have to be declared specifically (235.1, Art. 11a, 5.e)
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	X		
7b	Have you appointed a data protection officer?	X		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.	X		Marcel Lancelle from ETHZ is the data protection officer for the Zurich experimentation site. BLRK, as other partners, will be involved in the experiments.
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		X	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.			
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		X	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?	X		
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?	X		
10	Is all data collected for studies kept and	X		

Nr.	Question	Y	N	Details
a	processed separately from Personal Data of the participants?			
10 b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	X		
10c	Is the data collected for studies linked with data that may identify the participants?		X	
10 d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10 e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?	X		
11 a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	X		
11 b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	X		
11c	Please specify all implemented IT-security measures.			The systems in the ETHZ network must be protected against known vulnerabilities. If this is not the case, the IT staff must disconnect the device from the network. Operating systems have to be upgraded with the latest security patches. Computers have to be configured with the latest anti-virus systems. Further details are available here (German only, we will provide a translation on demand): https://www.isg.inf.ethz.ch/pub/Main/AboutUsGuidelines/ETH_standards_systempflege.pdf
12 a	Please specify all foreseeable risks of your study to human participants.			In Augmented Reality studies, users might be distracted by looking at the screen rather than at the environment. We will conduct experiments with such risks in mind, e.g. not conduct them near motorized traffic. Currently, we do not see any other specific risks.
12 b	Are those risks covered by any pre-existing insurance? If yes, please specify.	X		Possible damages to the participant's health which are directly related to the study and are demonstrably the fault of ETH Zurich, are covered by the general liability insurance of ETH Zurich.
12c	Is a separate insurance policy taken out for the benefits of the participants?		X	

Nr.	Question	Y	N	Details
12 d	Were the participants informed about the foreseeable risks and insurance coverage?	X		

A.6 Lancaster Experimentation Site Owner ULANC

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?	Y		Lancaster University (Reference provided on request) ESRC http://www.lancs.ac.uk/researchethics/index.html
1b	If yes, provide the name of the code of conduct rules.			Lancaster University (Reference provided on request) ESRC http://www.lancs.ac.uk/researchethics/index.html British Sociological Association Statement of Ethical Practice 2002 http://www.britsoc.co.uk/about/equality/statement-of-ethical-practice.aspx British Psychological Society Code of Ethics http://www.bps.org.uk/what-we-do/ethics-standards/ethics-standards
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?			
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provided details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		N	None
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	Y		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions,			Data will be collected through the use of interviews, surveys, and cultural and technology probes. Data will concern the extent of their interactions with, and their reactions to, various

Nr.	Question	Y	N	Details
	feedback, etc.).			aspects of socially connected TV
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Data will be collected through the use of interviews, surveys, and cultural and technology probes.
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their surroundings)?		N	
4b	If yes, specify possible situations harmful to participants.			
4c	Are participants informed about potentially harmful situations?			
4d	What measures are taken to minimise risk for participants?			
5a	Does your research rely on collection of personal data?		N	
5b	Is personal data of the participants linked to data collected in the study?	Y		
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			Personal Data is collected to ensure that if a participant withdraws from the study at any stage they can also have any data also withdrawn. It also ensures compliance with the Freedom of Information Act 2005
5d	Are you aware of the legal framework governing the collection of personal data in your country?	Y		Data Protection Act 1998
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?	Y		
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?	Y		Lancaster University is registered as a data controller under the terms of the Data Protection Act, 1998. Our registration number is Z6328653. Research Ethics forms and Informed Consent forms have been submitted to the Research Ethics Committee, Lancaster University Research Support Office.

Nr.	Question	Y	N	Details
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?			
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	Y		
7b	Have you appointed a data protection officer?	Y		
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.	Y		The project experimentation site has an appointed data protection officer and Lancaster University also has a Data Protection Officer. Lancaster University is registered as a data controller under the terms of the Data Protection Act, 1998. Our registration number is Z6328653
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		N	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.		N	
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		N	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			

Nr.	Question	Y	N	Details
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		N	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			
10a	Is all data collected for studies kept and processed separately from Personal Data of the participants?	Y		
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	Y		The experimentation site data protection officer
10c	Is the data collected for studies linked with data that may identify the participants?		N	Personal Information files are kept separate from data files which are anonymised
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?	Y		
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	Y		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	Y		
11c	Please specify all implemented IT-security measures.			Personal Identification Files and Data files will be encrypted and stored on a secure server. All field data will be collected on an encrypted memory stick. All files will be destroyed on the completion of the project.
12a	Please specify all foreseeable risks of your study to human participants.		N	No foreseeable risks
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.	Y		Lancaster University has Employer's Liability and Professional Indemnity insurance cover. As part of the ethical approval process for the project this would be confirmed on approval
12c	Is a separate insurance policy taken out		N	

Nr.	Question	Y	N	Details
	for the benefits of the participants?			
12d	Were the participants informed about the foreseeable risks and insurance coverage?	Y		

A.6.1 BBC planning experiments at Lancaster Site

Nr.	Question	Y	N	Details
1a	Is your research team subject to any publicly available academic code of conduct (e.g. of a University or comparable research institution)?		N	The BBC will be conducting all user testing through Lancaster University. Please see their questionnaire for response.
1b	If yes, provide the name of the code of conduct rules.			See Lancaster University questionnaire for response.
1c	If no, is any provision on academic standards part of standard employment contracts with researchers?		N	
1d	If yes, provide the text of the respective section of standard employment contracts.			
1e	If no, provide details on other measures taken to ensure adherence to academic standards and prevention of research misconduct.			British Psychological Society Code of Ethics http://www.bps.org.uk/what-we-do/ethics-standards/ethics-standards
2a	Which outside influences (including by other internal departments) have you identified that may lead to conflicts of interests for the researchers or may jeopardise their freedom, responsibility and integrity?		N	None
2b	If any, what measures have you taken to minimise such outside influences or their detrimental effect on the research team?			
3a	Does your research rely on data collected from human participants?	Y		
3b	Describe the test setup (what technology is used, what stimuli are involved, etc.) and the type of data collected from human participants (expected reactions, feedback, etc.).			Data will be collected through the use of interviews, focus groups, surveys, and cultural and technology probes. Data will concern the extent of their interactions with, and their reactions to, various aspects of personalised services prototyped for an online TV service
3c	Describe the methods being used to collect data from human participants (e.g. questionnaires, interviews, video recordings, use of information technology to acquire user profiles).			Data will be collected through the use of interviews, focus groups, surveys, and cultural and technology probes.
4a	Is there a possibility that participants may be introduced to potentially harmful situations within the normal course of the research (e.g. public settings, using technology while conducting a vehicle, using technology that may distract participants from their		N	

Nr.	Question	Y	N	Details
	surroundings)?			
4b	If yes, specify possible situations harmful to participants.			
4c	Are participants informed about potentially harmful situations?			
4d	What measures are taken to minimise risk for participants?			
5a	Does your research rely on collection of personal data?		N	
5b	Is personal data of the participants linked to data collected in the study?	Y		
5c	If yes to any of the previous two questions, please specify the reason for the need for personal data.			Personal Data is collected to ensure that if a participant withdraws from the study at any stage they can also have any data also withdrawn. It also ensures compliance with the Freedom of Information Act 2005
5d	Are you aware of the legal framework governing the collection of personal data in your country?	Y		Data Protection Act 1998
6a	Are you aware of the specific requirements in your jurisdiction regarding necessary approval by or notification of the competent national supervisory authority?		N	BBC will be conducting all user testing through Lancaster University – see their completed questionnaire for response.
6b	Have you obtained the necessary approval or given necessary notification in accordance with the specific requirements that exist in your jurisdiction?		N	BBC will be conducting all user testing through Lancaster University – see their completed questionnaire for response.
6c	If not, are you utilising an exception provision to the notification requirements, such as sect. 4d sub sect. 2 and sect. 4f BDSG (appointment of a data protection officer)?			
6d	Please specify the exception provision you are utilising. If this exception provision involves the appointment of a data protection officer, please specify the name of the appointed data protection officer.			
7a	Are you aware of the specific provisions of the data protection legislation in your jurisdiction pertaining to appointment of a data protection officer?	Y		BBC will be conducting all user testing through Lancaster University – see their completed questionnaire for response.
7b	Have you appointed a data protection officer?	Y		BBC will be conducting all user testing through Lancaster University – see their

Nr.	Question	Y	N	Details
				completed questionnaire for response.
7c	Is the appointed data protection officer also responsible for other partners or the experimentation site owner? If yes, please give details.	Y		BBC will be conducting all user testing through Lancaster University – see their completed questionnaire for response. The project experimentation site has an appointed data protection officer and Lancaster University also has a Data Protection Officer. Lancaster University is registered as a data controller under the terms of the Data Protection Act, 1998. Our registration number is Z6328653
7d	If the data protection officer of a partner or the experimentation site owner was appointed as external data protection officer, was this based on a separate written agreement?		N	
7e	Does this separate written agreement include provisions regarding avoidance of possible conflicts of interest? If yes, please specify.		N	
8a	Does your research involve participation of minors or vulnerable adults? If yes, please specify.		N	
8b	If yes, are you aware of applicable national legislation concerning minors or involve the groups of vulnerable adults?			
8c	If yes, please specify all restrictions imposed by applicable national legislation on your research to involve the groups of vulnerable adults or minors.			
8d	If yes, please specify measures you have taken to comply with applicable national legislation.			
8e	If yes, please specify measures you have taken to ensure participation is based on informed consent.			
9a	Do you conduct research or studies in non-EU or developing countries?		N	
9b	Have you provided the projects ethical advisers with appropriate documentation on this research in non-EU or developing countries?			
10a	Is all data collected for studies kept and processed separately from Personal Data of	Y		

Nr.	Question	Y	N	Details
	the participants?			
10b	Do any persons have access to both Personal Data of the participants and data collected for the studies?	Y		The user researchers – max 2 people and the experimentation site data protection officer
10c	Is the data collected for studies linked with data that may identify the participants?		N	Personal Information files are kept separate from data files which are anonymised
10d	If yes, has the appropriate documentation had been provided to the ethical advisers prior to linking the data?			
10e	Have appropriate measures been taken to ensure that any transfer of data collected in studies is completely anonymised, e.g. by removing any unique identifier?	Y		
11a	Are you aware of the legal requirements to implement IT-security measures in your jurisdiction?	Y		
11b	Have you implemented adequate IT-security measures in accordance with the legal requirements?	Y		
11c	Please specify all implemented IT-security measures.			Personal Identification Files and Data files will be encrypted and stored on a secure server. All field data will be collected on an encrypted memory stick. All files will be destroyed on the completion of the project.
12a	Please specify all foreseeable risks of your study to human participants.		N	No foreseeable risks
12b	Are those risks covered by any pre-existing insurance? If yes, please specify.	Y		BBC will be conducting all user testing through Lancaster University. Lancaster University has Employer's Liability and Professional Indemnity insurance cover. As part of the ethical approval process for the project this would be confirmed on approval
12c	Is a separate insurance policy taken out for the benefits of the participants?		N	
12d	Were the participants informed about the foreseeable risks and insurance coverage?	Y		

A.7 Report by external ethical advisors BridgehouseLaw Cologne

A.7.1 EXTERNAL REVIEW OF THE FI - CONTENT 2 INPUT ON ETHICAL REQUIREMENTS (QUESTIONNAIRES BY FI-CONTENT 2 PARTNERS):

Summary

Ethical review of the FI-CONTENT 2 experimentation sites and partners has taken a substantial leap forward in the months after the first draft of this deliverable. As external ethical advisers, we have now received answers to the ethical questions and issues previously addressed from all FI-CONTENT 2 site owners and experimentation partners.

From those answers, a general best practice in dealing with data protection and ethical issues may easily be deduced. Of the six experimentation sites, five already have appointed a data protection officer and are willing or already planning to extend their data protection officer's mandate to oversee also project partners conducting research at the respective experimentation site. The remaining experimentation site has not yet appointed a data protection officer, but has indicated such an appointment and may follow in the near future. Also, the vast majority of site owners and project partners are intent on protecting participants' privacy by technically separating personal data from research data collected and limiting access to personal data on a need-to-know basis. As indicated by most answers, the FI-CONTENT 2 partners generally do not rely on research involving minors or vulnerable adults. In this respect, the research being conducted in Cologne by GAR is most likely the one involving minors to the farthest extent. This research is being conducted in consultation with the BridgehouseLaw Cologne as external advisers.

As an overall assessment, the FI-CONTENT 2 partners at all experimentation sites have made significant progress towards awareness of ethical issues involved and compliance with applicable data protection standards and applicable regulations protecting minors involved in the research. As external ethical advisers, we therefore look forward to working with the FI-CONTENT 2 project partners (and their respective data protection officers) and gaining greater insight into the role of each project partner for the overall experimentation being conducted in the context of the FI-CONTENT 2 project.

A.7.2 EVALUATION OF QUESTIONNAIRES

1. Questionnaire A.1 (ILB)

Upon review of ILB's answers to the questions pertaining to possible ethical risks, it is apparent that the Brittany experimentation site is well equipped to deal with ethical risks such as protection of the participants' data. All research data and personal data of the participants will be stored in secure data storage is and be under the control of a qualified data protection officer.

2. Questionnaire A.1.1 (Orange)

Answers provided by Orange satisfactorily show that Orange has in place a suitable infrastructure to address any issues in relation to the participants' personal data and any other ethical questions arising from the experimentation within the FI-CONTENT 2 project. Within its own organisation, Orange employs a data protection officer and an internal control department with authority to oversee any experimentation taking place at the various experimentation sites. Furthermore, all remaining questions arising from Orange's previous answers to the questionnaire (M1) have been satisfactorily answered.

3. Questionnaire A.1.2 (TRDF)

TRDF has provided sufficient answers to show that the risks arising from the experimentation to participants' health and privacy are low. TRDF provided that all research will be done using pseudonyms and research data will not be linked to personal data of the participants. Furthermore, TRDF uses infrastructure provided by the site owner, and therefore all data will be securely stored in the available data centre.

4. Questionnaire A.2 (FHG/FOK)

FHG as the Berlin site owner has also provided sufficient information on the data protection set up. FHG also employs its own data protection officer and has established an IT security concept for its organisation in general and the FI-CONTENT 2 project in particular. It is assumed this point that all the data protection issues are addressed by the data protection officer of FHG who is also available upon request to the FI-CONTENT 2 project partners.

5. Questionnaire A.2.1 (RBB)

RBB has sufficiently addressed data protection and other ethical requirements. RBB's data protection officer will oversee also the FI-CONTENT 2 experimentation, as well as the separation of personal data from research data in accordance with applicable German data protection law.

6. Questionnaire A.2.2 (IRT)

IRT has provided sufficient information on how privacy issues are addressed. IRT employs a separate data protection officer who will also oversee any experimentation within the FI-CONTENT 2 project. Furthermore, experimentation data and personal data are strictly separated.

7. Questionnaire A.3 (PIX)

PIX has sufficiently demonstrated that is privacy and other ethical issues are addressed. As a site owner, PIX employs a data protection officer and is using an ISO 27001 certified data centre.

8. Questionnaire A.3.1 (GAR)

GAR has outlined specific precautions sufficient to address all issues arising on data protection and other ethical issues. GAR has also contracted or will contract PIX's data protection officer to oversee GAR's collection and use of personal data. Furthermore, sufficient precautions have been taken to ensure compliance with applicable law protecting minors participating in GAR's research projects.

9. Questionnaire A.4 (I2CAT)

I2CAT has provided some information on addressing ethical issues involved in the FI-CONTENT 2 project. I2CAT has further indicated that it has not yet appointed a data protection officer, but it is assumed that at this point that a data protection officer will be appointed at some later date. Such an appointment is recommended in particular, because I2CAT includes in its description such data collection methods that rely on human interaction ("deep interviews", "participant observation", "personal stories", and "active workshops") and thus make participants easily recognizable. Furthermore, personal data is separated from research data only in case of minors being involved. The data protection officer's mandate should include evaluation of the aforementioned methods in regard to their compliance with applicable national data protection law.

10. Questionnaire A.5 (ETHZ)

ETHZ has given sufficient information showing that all identified ethical issues are being addressed. In particular, ETHZ has appointed a data protection officer to ensure compliance with applicable data protection law and involved the ETH Ethical Committee in designing the research setup.

11. Questionnaire A.5.1 (DRZ)

DRZ has provided sufficient information that all experimentation by DRZ will be modeled after ETHZ requirements as set forth by the ETHZ data protection officer and the ETHZ Ethics Committee. DRZ has further indicated to follow ETHZ's lead in resolving any arising data protection and other ethical issues.

12. Questionnaire A.5.2 (GOBO)

GOBO has provided answers that are completely identical to those of DRZ, thus indicating they are also willing to follow ETHZ's lead on questions concerning data protection and other ethical questions. However, as a next step, it may be prudent to clarify GOBO's part in the actual research being conducted, as opposed to merely supplying software components.

13. Questionnaire A.5.3 (BLRK)

BLRK has provided answers that are completely identical to those of DRZ, thus indicating they are also willing to follow ETHZ's lead on questions concerning data protection and other ethical questions. However, as a next step, it may be prudent to clarify BLRK's part in the actual research being conducted, as opposed to merely supplying software components.

14. Questionnaire A.6 (ULANC)

Answers provided by ULANC sufficiently demonstrate that the data protection issues and other ethical questions are being addressed. ULANC has appointed a data protection officer specifically for the FI-CONTENT 2 experimentation site and is furthermore using strict separation of personal data from research data in order to protect participants' privacy.

15. Questionnaire A.6.1 (BBC)

BBC has also provided answers to sufficiently demonstrate that ethical questions and data protection issues are addressed. The BBC also follows the lead of their experimentation site owner concerning compliance with applicable data protection law and other regulations.

Annex B CONSENT FORM AND PROTOCOL

All Experimentation site owners and partners planning to conduct studies at the experimentation sites need to use suitable consent protocols and a suitable consent form. The following model consent protocol and consent form may be used, but Experimentation site owners are free to establish consent of protocols and consent forms that have been previously used for other studies outside of the FI-CONTENT 2 project and were reviewed and accepted by internal or external ethical advisers.
If an Experimentation site owner has established specific consent protocol and consent form, those should be used at that site in general and only be adapted to suit the needs of each study.

B.1 Model consent protocol for Berlin, Cologne and Barcelona Experimentation Site

Generally, consent of participants for studies within the FI-CONTENT 2 project will be obtained in one of two ways, either by presenting a consent form on paper or by presenting the text of the consent form electronically. The following model consent protocol will give Experimentation site owners and partners suggestions for implementation.

B.1.1 Consent obtained on paper

If consent of participants is to be obtained on paper, the following protocol should be adopted:

- Consent forms should be given to participants to read. There should be no time constraint imposed on participants and participants should be able to carefully read the forms in a relatively quiet and comfortable environment.
- A researcher or member of staff should be available during the entire time participants read the form and able to answer any questions regarding the study, the consent form, and other aspects of participation in the study.
- If participants are minors, consent forms should be handed out for reading and questions should be answered by a researcher or member of staff, but participants shall be informed that consent of a parent or legal Guardian is required and that consent forms should be taken home and discussed with the parent or legal Guardian, unless a parent or legal Guardian is present when handing out consent forms.
- A separate copy of the consent form shall be handed out to the participants for their records and for further reference.
- Only after collection of signed consent forms should participants be allowed to participate in the study.
- Consent forms of all participants shall be archived after processing in accordance with applicable record keeping requirements.

B.1.2 Consent obtained electronically

If consent of participants is to be obtained electronically, the following protocol should be adopted:

- The text of the consent form should be made available to the participant in the course of an online registration process that allows the user to read the consent form at a pace of their choosing and without limitations such as browser timeouts.
- The text of the consent form should be made available for download by the participant at the earliest opportunity. Participants should have the option to read the consent form and a later date and complete registration after careful reading.
- Participants should be enabled to ask questions about consent form, the study, and their involvement in it at any time by electronic means, such as e-mail, instant messaging, or telephone. It

must be ensured that participants may ask questions, wait for an answer, and return to the consent form later.

- Consent must be given in a way that requires deliberate action by the participant. Therefore, checkbox that must be ticked by the participant should be used in addition to a clickable button. The checkbox must be located directly next to the statement of consent that is used. The checkbox must not be pre-checked (no “opt-out”).
- Technical implementation of the electronic consent form must ensure that consent is only documented electronically, if participant has deliberately opted for consent. Under no circumstances should it be possible to have consent of participants are documented, if participant did not actively tick the checkbox.
- Upon completion of the registration, an electronic copy of the consent form shall be sent to the e-mail address given by the participant, in a format commonly used, such as plaintext, HTTP, or as PDF attachment.
- To better ensure that the person who has access to the given e-mail address is the same person who wishes to participate in the study, Experimentation site owners or partners may implement a double opt-in process by, in which an activation link is sent to the given e-mail address together with the copy of the consent form and registration cannot be completed without actively clicking on the activation link.
- Registration data provided and consent given electronically must be documented and archived in accordance with applicable record keeping requirements for electronic documents.

B.2 Model consent form for Berlin, Cologne and Barcelona Experimentation Site

Experimentation site owners and project partners who have not already established a consent form may adapt the following consent forms to suit the needs of the specific research to be conducted.

Consent Form for Participation in [TITLE OF STUDY]

Conducted by [NAME OF PROJECT PARTNER]

Introduction

You are being asked to be in a research study of [INSERT GENERAL STATEMENT ABOUT STUDY]. The purpose of this study is to [INSERT GENERAL PURPOSE OF THE STUDY].

We ask that you read this form and ask any questions that you may have before agreeing to be in the study.

Description of the Study Procedures

If you agree to be in this study, we would ask you to do the following things: [EXPLAIN PROCEDURES AND TASKS; IDENTIFY ANY PROCEDURES THAT ARE EXPERIMENTAL; DESCRIBE LENGTH OF TIME FOR PARTICIPATION, FREQUENCY AND DURATION OF PROCEDURES; ETC.]

Risks of being in the study

If you agree to be in this study, you may face the following risks:

[EXPLAIN FIRST RISK, INCLUDING THE LIKELIHOOD OF THE RISK]

[FOR EXAMPLE: When you test our smartphone application … in a public setting, such as a city centre, you need to remain aware of your surroundings at all times in order to avoid accidents in traffic. Even though testing in public will be limited to pedestrian zones, you will still need to make sure to look where you are walking. You can stop walking at any time to look at the screen. The application does not require you to move while using/testing it.]

Insurance Coverage

[EXPLAIN WHETHER PARTICIPATION IN THE STUDY IS COVERED BY ANY INSURANCE POLICY]

Data collected in the study

If you agree to be in this study, we will collect the following research data:

[EXPLAIN WHAT CATEGORIES OF DATA IS COLLECTED, E.G. ANSWERS TO QUESTIONNAIRES; ANONYMOUS USER PROFILES ON THE USE OF TESTED SMARTPHONE APPLICATION; FREQUENCY, DURATION AND CONTENT VIEWED ON TV, ETC.]

Your personal data, such as you name and email-address will be collected only to contact you and inform you about the next steps of the study. [We do not require you to enter your real name to participate in the study. You may also choose to invent a nickname for yourself and use an email address that does not include your name. However, a valid email address is required, if you wish to be in the study, so please do not use a temporary email address that may be deleted after a short time.]

Your personal data is collected for scientific purposes only. It will not be used for other purposes, such as advertising, etc.

We will not give your personal data to anyone who does not need to have it. Even the researchers conducting the study will not have your personal data, but only the research data. Instead, your personal data will remain only with the administrations department who need to contact you. They, in turn, will not have any access to research data we collect.

Use of the collected research data

The research data we collect will be used as follows:

[EXPLAIN THE USE OF RESEARCH DATA]

[FOR EXAMPLE: The research data will be analysed automatically/by our researchers and immediately anonymised. That means your answers and use of the application will be put into categories together with the answers of the other participants, e.g. 50% of the participants said A and 50% said B, from the ones who said A, 30% also said C, and so on. Only in this form will the research data be used further.]

All research data that has been anonymised can be used for any of our research and may be given to other scientists or companies for their research. All primary data, i.e. the research data that was not yet anonymised, will remain with us und be destroyed after […] years.

Your benefits of being in this study

First of all, you will be one the first to test our new and interesting [application/gadget/etc.]. You will have the ability to contribute to design and usability by telling us what you liked and disliked.

Also, you will receive [money/vouchers/etc.] after your participation in this study.

Contact and questions

For any questions about this study, this consent form, and your being in this study, please feel free to contact:

[INSERT CONTACT DETAILS]

Voluntary participation

You will be in this study by your own choice. Participation is entirely voluntary and you may quit this study at any time.

Copy of this form

If this form is given to you on paper, you should also receive a copy of this form for your records and future reference immediately. If this form is presented to you electronically, you should receive a copy of the text of this form by email to the email address you gave us a few minutes after your consent.

If you do not receive a copy of this form in electronic form or on paper, please contact us using the contact details above.

Statement of consent

If you would like to be in this study, by signing at the end of this document, you state that:

You have read and understood the content of this consent form, and received answers to your questions,

You know that being in this study is entirely voluntary and that you may quit this study at any time,

(if you are the participant's parent or legal guardian) You were also able to ask questions and have received answers to them, and give consent for your child to participate in this study, and

You have received (or will receive) a copy of this form.

[DATE] [SIGNATURE OF PARTICIPANT] [SIGNATURE OF PARENT/LEGAL GUARDIAN, IF APPLICABLE]

B.3 Brittany Experimentation Site Consent Form and Protocol (ILB)

The « Imagineur » is you !

Who is a good candidate?

A person

- who is open-minded, not a geek but an early adopter
- who accepts to give us a feedback on his usage of products and services through questionnaires or interviews

Your role and duties

- Ready to test and evaluate new digital products and services
- Availability during the experimentation period
- Be thorough for reports
- Share your advices and suggestions, according to your usage trends
- Warn us about any access network or device issue

Our commitments

- A charter for confidence
  - Personal data protection
  - New experimentations notification
  - Lessons learned after experimentation
- Access to helpdesk
  - Online https://helpdesk.imagineurs.imaginlab.fr
  - Hotline during office open hours (02 57 19 94 54)
  - Email : support-brest@imaginlab.fr
- A web portal : https://portail.imagineurs.imaginlab.fr

CHARTER for CONFIDENCE “PANEL Imagineurs”

1. Private data protection

Private data collected for user panel belongs to Images & Réseaux cluster and is stored under cluster responsibility for ImaginLab project duration. Every personal information is considered as strictly confidential and will not be ceased to any third party for any reason or usage.

2. Panel involvement

Registration to ImaginLab panel is free. The submission acceptance is linked to charter agreement by « Imagineur ». ImaginLab keeps the final decision for accepting / refusing any candidate.

3. Panel registration duration

Registration to ImaginLab panel is not limited in duration

4. ImaginLab user rights and duties

In conformance with law « Digital Freedom » n°78-17 of 06/01/1978, every user has the right to access, modify or delete its personal data from ImaginLab database by emailing at imagineurs@imaginlab.fr. Every user commit to have a fair activity inside the panel (a fair activity consist in accepting at least one experimentation). In case of lack of activity, ImaginLab can take the decision to remove an user from the panel. Every user must inform ImaginLab as soon as possible in case of email or address change. Most important change affecting his social profile should also be notified to ImaginLab (wedding, employment, children, ….)

User commits to honestly answer to surveys, independently and according to his own personal feelings.

5. Confidentiality

User commits to not provide, distribute, copy to any person outside his household the questionnaires and the products or services under evaluation.

6. Incentive

User involved in an experimentation may receive an incentive but this is not mandatory : the incentive may be a gift voucher, a gift or any other benefit.

B.4 Zurich Experimentation Site Consent Form and Protocol (ETHZ)

B.4.1 User study information sheet

Study title: Augmented Reality Game

The research project FI-CONTENT 2 aims at building a platform for the future internet. It is funded by the EU within the FP7 program.

In this case you will participate in a user study for augmented reality games.

Please read the following information, ask when you have questions and sign if you choose to participate.

Goals of the study

- Investigate if the game technology works as expected
- Measure timings, latencies and their importance for you
- Observe other points and collect feedback from you

Research procedure (methods) and Schedule

- Follow the instructions on the screen
- If necessary, ask your supervisor for help
- After each part or the experiment, please fill in the form provided

What happens with the collected data

- statistical analysis and evaluation
- we try to address weak points / improve the system / choose the best methods

Conditions to be met for participation in the study

- None.

Advantages and disadvantages for participants / Risks

It should be fun and you can profit from testing these new technologies. Please make sure that you look at your environment and other people when walking. You can stop walking to look on the screen.

Compensation/Reimbursement

After the completion of the form you will receive a movie theater voucher.

Right of withdrawal

As a participant, you have the right to withdraw from the study at any time without needing to specify any reasons nor facing negative consequences.

Data protection

The obtained data will be stored safely and reported in an anonymous form. Only the responsible investigators and/or the members of the ethical committee have access to the original data under strict confidentiality.

Your name or other means of identification will not be stored or recorded together with the data obtained in the study.

Insurance coverage

Possible damages to your health, which are directly related to the study and are demonstrably the fault of ETH Zurich, are covered by the general liability insurance of ETH Zurich (insurance policy no. 100.001 of the Swiss Mobiliar insurance company). However, beyond the before mentioned, the health insurance and the accident insurance (e.g. for the way to or back from the study location) is in the responsibility of the participant.

Contact person(s)

Dr. Marcel Lancelle, Universitätsstrasse 6, 8092 Zurich

B.4.2 Consent Form by ETHZ

- **Please read this form carefully.**
- **Please ask the investigator or the contact person if you have any questions.**

Study title: [has to be exactly the same as the one indicated on the coversheet of the application form]

Study location: [Address and room!]

Principal Investigator's Name and First Name: Marcel Lancelle

Participant's Name and First Name: ……

Participant:

- I participate in this study on a voluntary basis and can withdraw from the study at any time without giving reasons and without any negative consequences.
- I have been informed orally and in writing about the aims and the procedures of the study, the advantages and disadvantages as well as potential risks.
- I have read the written information for the volunteers. My questions related to the study participation have been answered satisfactorily. I have been given a copy of the information for the volunteers and the consent form.
- I was given sufficient time to make a decision about participating in the study.
- With my signature I certify that I fulfill the requirements for the study participation mentioned in the information for the volunteers.
- I have been informed that possible damages to my health which are directly related to the study and are demonstrably the fault of ETH Zurich, are covered by the general liability insurance of ETH Zurich (insurance policy no. 100.001 of the Swiss Mobiliar insurance company). However, beyond the before mentioned, my health- and/or accident insurance (e.g. for the way to or back from the study location) will apply.
- I agree that the responsible investigators and/or the members of the ethical committee have access to the original data under strict confidentiality.
- I am aware that during the study I have to comply with the requirements and limitations described in the information for the volunteers. In my own health interest the investigators can, without mutual consent, exclude me from the study.

Location, date . . . . . Signature volunteer . . . . . .

Location, date . . . . . Signature investigator . . . . . .

B.5 Lancaster Experimentation Site Consent Form and Protocol (ULANC)

B.5.1 Research Protocol Form

LANCASTER UNIVERSITY SCHOOL OF COMPUTING & COMMUNICATIONS

RESEARCH PROJECT: FI CONTENT 2

PRINCIPAL INVESTIGATOR: Dr Nick Race
Email: n.race@lancaster.ac.uk
Address: Computing Department, Infolab21, Lancaster University, Lancaster LA1 4WA
Tel: +44 (0) 1524 510123
OTHER INVESTIGATORS:
Dr Mark Rouncefield

INTRODUCTION: The FI CONTENT 2 project – background and purpose

FI-CONTENT 2 is a large EU funded project that will demonstrate a number of innovations making use of Future Internet technologies on the project's Connected TV platform. We seek to implement a number of trials with professional content (from broadcasters and 3rd party content providers) that integrate technologies, services and additional content coming from the Web world for creating new user experiences. Personalisation of services plays a decisive role in this because it lets users cope with the increasing amount of content. In this context, we will investigate the issues of user data collection and privacy control.

The partners involved in the TV platform of FI-CONTENT 2 plan to iteratively design, implement, test, and improve services in the following areas:

- **Multi-screen interaction**
  - Intuitive interaction for advanced TV services
  - More versatile content presentation across screens
- **Personalised TV experience**
  - Content portals tailored to single and multiple users
  - Social interaction between users (e.g. explicit recommendation)
  - Search and discovery applications
- **User tracking and privacy**
  - Visualising personal content consumption
  - Tracking implicit and explicit user interaction
  - Providing users with simple control over personal data

The use cases (as well as the related applications and the technology) will be improved and upgraded based on the feedback gained from the field trials.

The Lancaster experimentation site will host a number of user trials of Social Connected TV services especially personalised TV content consumption through user tracking and preference modelling. Specifically, it will investigate the strategy and methodology to track usage statistics and how such statistics can be visualised for each user and exploited for personalised content services (e.g. tailored content

recommendation). The first user trial will be designed to evaluate the test applications for better user perception and statistics modelling. Subsequent large-scale user trials will be hosted “in-the-wild” with thousands of users in the Lancaster Living Lab environment. It is also planned to measure the effectiveness of the personalised viewing experience through objective service metrics and user questionnaires.

You will be taking part in a research study concerned with understanding the general public’s response to aspects of socially connected TV.

This research will involve the use of a variety of methods for gathering information and opinions including, technology probes (monitoring your use of TV); cultural probes (providing you with a range of tools to document your experiences, like a diary, camera, postcards etc; questionnaires, interviews and a focus group for the collection of information and opinions about aspects of socially connected TV.

It is important that you read and understand several principles that apply to all who take part in our studies:

- Taking part in the study is entirely voluntary;
- Personal benefit may not result from taking part in the study, but knowledge may be gained that will benefit others;
- Any significant findings will be discussed with you if you desire;
- You may withdraw from the study at any time.
- In accord with all of our research protocols, privacy will be fully protected and confidentiality maintained at all times.

The nature of the study, the risks, inconveniences, discomforts, and other pertinent information about the study are discussed below. You are urged to discuss any questions you have about this study with the investigators before you sign this consent.

STUDY PROCEDURE:

You are being asked to possibly participate in a QUESTIONNAIRE, an INTERVIEW and a FOCUS group – your personal opinions and reflections as well as the deliberations of the group, and their comments or opinions expressed will be recorded. You may also be involved in a TECHNOLOGY PROBE (where your TV use is monitored) or a CULTURAL PROBE (where we give you some tools to document your own experiences of TV use).

Any recording may be transcribed onto an encrypted memory stick to ensure confidentiality. Recording can be stopped or data erased as you wish - your wishes are paramount. While you may initially be a little concerned or embarrassed our experience is that people soon learn to enjoy the experience.

When writing the results from the research into a project report or any other form of documentation, steps are taken to ensure anonymity for all those involved. Confidentiality will be maintained at all times. Information from the research is the property of the researcher and will be kept in a secure environment **and will be destroyed at the conclusion of the research.**

RISKS OF PARTICIPATION IN THE STUDY:

The risks of participating in this study are minimal. It is the investigators' intention that your identity in these studies will remain confidential.

However, there is an extremely small risk of inadvertent disclosure. In addition, your identity and study findings may be disclosed through legal action. However, disclosure is unlikely to have an adverse effect on

you, on your family members, and on your family relationships. Nor is disclosure likely to result in discrimination in hiring, retention, or promotion.

BENEFITS:

There may be no personal benefit to you from participating in this project. The research may inform the requirements for the development of new technologies or applications that may be made available to the public.

COSTS AND COMPENSATION:

You will not be paid for participating in this study. We believe there is unlikely to be any cost, financial or other, to you from participation in the study.

CONFIDENTIALITY:

All information collected in this study belongs to the fieldworker and will be maintained in a confidential manner at Lancaster University. All data obtained will be encrypted and stored securely. Nobody, other than the fieldwork researcher, will have access to the raw data. Any recordings will be destroyed at the end of the project. Although rare, it is possible that disclosure may be required by law. Otherwise, the information will not be disclosed to third parties without your permission. If the study is published, your name and institution will be kept confidential.

PEOPLE TO CONTACT:

If you have further questions related to this research study, you may call the Principal Investigator, Nick Race
Address: Computing Department, Infolab21, Lancaster University, Lancaster LA1 4WAEmail: n.race@lancaster.ac.uk

B.5.2 Ethical Protocol Consent Form

I understand that I am free to refuse to participate in this research project or to withdraw my consent and discontinue participation in the project at any time without prejudice.

I understand that I will not be paid to participate in this study.

I have had the opportunity to discuss this investigation and the procedure(s) with a study investigator.

All my questions regarding this project have been answered.

I agree to participate in the project as described above.

Participant's signature

Date signed

Participant's printed name

A COPY OF THIS FORM HAS BEEN GIVEN TO ME _____

Participant's initials

If I am not satisfied with the manner in which this study is being conducted, I may report (anonymously if I so choose) any complaints to Yvonne Fox, Secretary to the Ethical Committee, Lancaster University by calling 01524 592068 , emailing y.fox@lancaster.ac.uk; or addressing a letter to Y.Fox, Ethical Committee, Lancaster University, LA1 4YR.

I have discussed with the participant, the procedure(s) described above and the risks involved; I believe he/she understands the contents of the consent form, and is competent to give a legally effective and informed consent.

Signature of Investigator **Date signed**

B.5.3 Research Participant Consent Form provided by ULANC for planned Socially Connected TV Trial

PROJECT TITLES: **Socially Connected TV Trial**

INVESTIGATORS: Nick Race, Mark Rouncefield

PARTICIPANT NAME: _____

TITLE: _____

I agree to participate in the project named above, the particulars of which have been explained to me. I have read the Research Project Description a written copy of which has been given to me to keep.

I understand that any information I provide is confidential, and that, subject to the limitations of the law, no information that could lead to the identification of any individual will be directly disclosed in any reports on the project, or to any other party.

I agree to being: (tick as appropriate):

- ☐ interviewed;
- ☐ observed;
- ☐ photographed;
- ☐ given a Cultural Probe pack;
- ☐ having my TV use monitored;
- ☐ enrolled on a Facebook group;
- ☐ part of a focus group

I agree to the following data being collected:

- ☐ field notes;
- ☐ audio-recordings;
- ☐ photos;
- ☐ video-recordings;
- ☐ Facebook entries;
- ☐ other (e.g. Web histories, TV viewing history) _____

I also agree to the data above being used for later analysis by the researchers above only. To preserve anonymity, I understand that all written work referring to this data will use pseudonyms for me unless written permission is later obtained. I also understand that direct access the identity of participants is restricted to named researchers above only.

I acknowledge that:

a) I have been informed that I am free to withdraw from the project at any time without explanation or prejudice and to withdraw data previously supplied.
b) Participation in this project is voluntary.

Signature: _____ Date: _____
(Participant)

Annex C SCIENTIFIC RULES OF CONDUCT

Rules of Conduct on Safeguarding Good Scientific Practice and Handling Scientific Misconduct

These Rules are based on the Recommendations of the Commission on Professional Self-Regulation in Science of the German Research Foundation (DFG). These Rules shall be followed by all researchers involved in the FI-CONTENT 2 project who have submitted to these rules by contractual reference.

C.1 Safeguarding Good Scientific Practice

§ 1 (1) Researchers are obliged to

- work lege artis,

- document their results,

- consistently question their own findings,

- practise strict honesty with regard to the contributions of partners,

- avoid scientific misconduct and take precautionary measures against it, and

- observe the following Rules.

(2) Every head of a working group shall act as an exemplary academic role model. Students, young scientists and scholars shall be cautioned by experienced scientists to conduct their work honestly and responsibly. Sensitivity with regard to potential scientific misconduct shall thereby be conveyed.

§ 2 The heads of working groups shall bear responsibility for the appropriate organizational structure of their groups. Such a structure shall ensure that the duties of direction, supervision, conflict resolution, and quality assurance are clearly allocated and effectively fulfilled.

§ 3 Researchers heading a working group shall be responsible for the adequate supervision of its graduates, doctoral students and students. To that end, a primary mentor must be made available to each group member.

§ 4 The coordinator responsible for a research project shall ensure that primary data serving as the basis for publications are securely stored in a durable form for ten years in the institution of their origin.

C.2 Scientific misconduct

§ 5 It is considered scientific misconduct to intentionally or by gross negligence make false statements in the course of scientific work, infringe on another person's intellectual property, or in other manner sabotage another person's research. Scientific misconduct specifically includes:

1. false statements, such as
    a) fabrication of data,
    b) falsification of data (e.g. by selection of specific results and rejection of undesired results without disclosure of such selection; by manipulation of a representation or illustration),
    c) misrepresentations in a job application or an application for public funding (including misrepresentations about previous publications and studies conducted),

2. infringement of intellectual property with regard to another person's work protected under copyright, significant scientific findings, hypotheses, teachings and scientific approaches, such as
   a) unlawful use involving assumption/pretension of authorship (plagiarism),
   b) exploitation of scientific approaches and ideas, especially in the when acting as peer reviewer or referee (theft of ideas),
   c) unwarranted assumption/pretension of scientific authorship or co-authorship,
   d) falsification of the content,
   e) unauthorised publication or making available to third parties before an authorised publication of a work, scientific findings, a hypothesis, teaching or scientific approach,
3. use of (co-)authorship of another person without his or her consent,
4. severe impairment of scientific work (including damaging, destruction or manipulation of experimental set-ups, apparatus, documents, hardware, software, chemicals, or other items used by another person in his or her scientific work),
5. deletion of primary data, if such deletion is in violation of laws and regulations, including disciplinary regulations regarding generally accepted principles of scientific work, or in violation of contractual obligations.

§ 6 Contributory liability for scientific misconduct may result from

- participation in another person's scientific misconduct,
- knowledge about falsifications by another person,
- co-authorship or co-publishing of falsified publications involving a gross negligent violation of oversight.

C.3 Proceedings in case of suspected scientific misconduct

§ 7 The FI-CONTENT 2 project coordinator and the external ethical advisers of the FI-CONTENT 2 project will jointly investigate any founded suspicions of scientific misconduct. If such investigation results in strong suspicions of scientific misconduct, the project coordinator will initiate proceedings in accordance with § 8.

§ 8 (1) The FI-CONTENT 2 project coordinator shall select a panel of three from the peers involved in the FI-CONTENT 2 project. The panel shall adopt suitable procedural rules that include provisions for fair hearing and due process and evaluate all evidence to support the suspicion of scientific misconduct.

(2) The panel shall rule by majority vote on the accusation of scientific misconduct and determine the consequences in accordance with § 9, if scientific misconduct is determined.

C.4 Consequences of scientific misconduct

§ 9 The panel may determine, based on the severity of the scientific misconduct, any or all of the following consequences:

- the researcher and/or the project partner employing the researcher is temporary or permanently excluded from certain studies, certain types of studies, or all studies at the experimentation site, at which the scientific misconduct took place, or at all experimentation sites,
- the name of the researcher, the name of the project partner employing the researcher, and the evidence supporting the determination of the scientific misconduct is included in the next review presented to the EU commission by the external ethical advisers, which may lead to with withdrawal or denial of funding by the EU commission.

Annex D APPOINTMENT OF AN EXTERNAL DATA PROTECTION OFFICER

The FI-CONTENT 2 project partners who wish to appoint a data protection officer of the experimentation site owner, may use the following sample agreement for such an appointment. This appointment is modeled with respect to applicable German law. For jurisdictions outside of Germany, legal requirements for the appointment of a data protection officer may differ.
This model agreement should be regarded only as a proposal and parties planning to enter into such an agreement are free to negotiate its terms, such as remuneration, liability, termination, etc.

D.1 Model agreement for the appointment of an external data protection officer

AGREEMENT FOR THE PROVISION OF SERVICES OF AN EXTERNAL DATA PROTECTION OFFICER

between

[COMPANY NAME, ADRESS OF PROJECT PARTNER]

- hereinafter “Project Partner” -

and

[COMPANY NAME, ADRESS OF SITE OWNER]

- hereinafter “Site Owner” -

- jointly referred to as the “Parties” -

The Parties participate in the FI-CONTENT 2 project, an EU funded research project under the Framework Programme 7, whereas the Project Partner will conduct research in form of one or more studies involving human participants at an experimentation site located in […] and owned and operated by the Site Owner.

Having carefully considered the ethical requirements and especially the need for the protection of personal data of the human participants involved, the parties enter into the following Agreement:

§ 1 Scope

(1) The Site Owner owns and operates most or the entire technical infrastructure at the experimentation site used for research conducted by the Project Partner. The site owner has appointed a data protection officer for its business as a whole. The site owner’s data protection officer also has a detailed knowledge of the research conducted in the FI-CONTENT 2 project, including any aspects of processing of personal data.

(2) The Site Owner offers to allow the Project Partner to appoint the Site Owner’s data protection officer as external data protection officer of the Project Partner. This offer is limited to the scope and the duration of research conducted in the FI-CONTENT 2 project at the experimentation site owned by Site Owner and does not include any offer to appoint the Site Owner’s data protection officer for the Project Partner’s business as a whole.

(3) The Project Partner accepts the Site Owner’s offer and appoints the Site Owner’s a data protection officer as his external data protection officer for the scope and duration of the research conducted in the FI-CONTENT 2 project at the experimentation site owned by the Site Owner. The letter of appointment is attached to this agreement as a schedule 1 and is signed separately by the Project Partner and the data protection officer.

§ 2 Organisational structure and responsibilities of data protection officer

(1) The data protection officer is directly subordinate to the Project Partner's executive management (e.g. CEO, board of directors) in all matters concerning data protection and privacy.

(2) Within the scope of his duties, the data protection officer is free to use his specialised knowledge in the area of data protection. The data protection officer is bound neither by instructions of the site owner nor instructions of the project partner.

(3) The data protection officer advises the Project Partner's executive management in matters concerning data protection and privacy with is the scope of the research conducted in the FI-CONTENT 2 project. However, compliance with applicable data protection and privacy laws, including implementation of adequate security measures to protect personal data, remains sole responsibility of the Project Partners executive management, insofar as research conducted in the FI-CONTENT 2 project is concerned.

(4) The data protection officer is obligated to secrecy concerning the identity of data subjects and concerning circumstances enabling data subjects to be identified, unless data protection officer is released from this obligation by the data subject.

(5) The data protection officer is a further obligated to secrecy, including towards the Site Owner and all other Project Partners, concerning data collection and processing by the Project Partner, if the Project Partner has expressly marked any aspects of data collection and data processing, including any methods of collection and processing employed, as confidential. This obligation to secrecy does not apply, if under applicable national legislation the data protection officer is allowed or obligated to consult with the competent government authority. If the data protection officer is allowed or obligated to consult with competent government authority, he shall also be allowed to consult with the site owner and his obligation to secrecy shall not apply towards the site owner.

(6) Regardless of the aforementioned obligation to secrecy, conflicts of interest may arise for the data protection officer from obtaining knowledge of data collection and processing methods and tools used by the Site Owner and at least one Project Partner. In such cases, the data protection officer will first discuss possible conflicts of interest and their implications with each involved party separately and recommend appropriate steps to avoid or minimise necessary violations of secrecy.

§ 3 Remuneration

As remuneration for the services provided by the Site Owner's data protection officer, the Project Partner agrees to pay […]

§ 4 Liability

(1) Liability is unlimited for any degree of responsibility, including ordinary negligence, in respect to life, personal injury and health.

(2) Liability is unlimited in all cases of damage claims based on whatever legal grounds involving wilful intent or gross negligence of the liable party.

(3) Liability is unlimited for any degree of responsibility, including ordinary negligence, in respect to mandatory liability according to applicable statutory provisions, such as the Product Liability Code.

(4) Liability is limited to the extent of damage that is foreseeable and would typically occur, in all cases based on a breach of material contractual obligations (obligations, which constitute a conditio sine qua non and on the fulfilment of which the customer regularly relies and may rely) by the liable party, its employees or agents, involving only ordinary negligence.

(5) Liability is excluded in all other cases involving only ordinary negligence by the liable party, its employees or agents. In the case of the Site Owner, this includes the data protection officer.

§ 5 Term and Termination

(1) This Agreement becomes effective upon signing by the parties. The term of this agreement is limited by the duration of the FI-CONTENT 2 project. This agreement ends automatically at the end of the last study or other research conducted by the Project Partner at the Site Owner's experimentation site within the context of the FI-CONTENT 2 project.

(2) This agreement may be ordinarily terminated by the Project Partner at the end of each month with 3 months prior notice.

(3) The Parties' right to termination for cause, as afforded by applicable law, shall remain unaffected.

(4) Termination shall be made by written notice to the other Party.

(5) Upon giving or receiving notice of termination, the Project Partner shall recall the appointment of the data protection officer, whereas the effective date of recall shall not be later than the effective date of the termination.

§ 6 Miscellaneous

(1) This Agreement is complete and supersedes any understandings made in respect of the subject matter of this Agreement. There are no written and/or verbal side understandings.

(2) The substantive laws of [the Federal Republic of Germany/…] apply, exclusive of the [German/…] conflict of law principles and, in particular, exclusive of the provisions of the UN Convention on Contracts for the International Sale of Goods (CISG).

(3) Court of Venue shall be […].

(4) Should one or more provisions of this Agreement be or become invalid or unenforceable, this shall not affect the validity of the remaining provisions.

(5) This Agreement shall be executed in two original copies, one for each Party.

[SIGNATURES]

D.2 Schedule 1: Letter of Appointment

[PROJECT PARTNER LETTER HEAD]

[DATE]

Dear Mr/Mrs [NAME OF DATA PROTECTION OFFICER],

we hereby appoint you as data protection officer with regard to our research conducted in the FI-CONTENT 2 project at the experimentation site located at […], effective [immediately/DATE].

In performance of your duties as data protection officer you are directly subordinated and report only to our executive management. [Within our executive management, board members [NAMES] are mainly responsible in all matters involving data protection and privacy.]

In performance of your duties as data protection officer you are free to use your specialised knowledge and not bound by instructions of our executive management. You will be supported by our executive management in performance of your duties.

It shall be your duty as data protection officer to work towards our company's compliance with applicable data protection and privacy laws. To this end, applicable data protection and privacy laws may afford you the right to contact the competent government authority for the supervision of data protection and privacy

compliance. In cases such right is afforded by applicable law, you may also consult with the Site Owner of the experimentation site.

Your duties as a data protection officer include:

- advising our executive management concerning all aspects of collection and processing of personal data, including implementation of technical and organisational measures to ensure compliance with applicable data protection and privacy regulations,
- monitoring of all use of data processing software and other tools to ensure compliance with applicable data protection and privacy regulations,
- coordination of all data collection and processing with the experimentation Site Owner as far as the Site Owners assistance or contribution is required is for the collection or processing of data,
- education and instruction of our employees involved in the collection and processing of personal data,
- creation and adaptation of guidelines for collection and processing of personal data,
- managing all questions and other input by data subjects, and
- performing other duties imposed on a data protection officer by applicable data protection and privacy law.

Your duties shall be limited to the extent necessary to conduct research within the FI-CONTENT 2 project at the aforementioned experimentation site. Your duties shall not extend to our business as a whole.

You are bound to secrecy under applicable data protection regulations concerning the identity and all personal data of data subjects. You are further bound to secrecy towards the Site Owner and all other Project Partners, concerning our data collection and processing, if we expressly marked any aspects of data collection and data processing, including any methods of collection and processing employed, as confidential. This obligation to secrecy towards the Site Owner does not apply, if under applicable national legislation you are allowed or obligated to consult with the competent government authority.

You may find that conflicts of interest may arise for you by obtaining knowledge of data collection and processing methods and tools used by the Site Owner, other Project Partners, and us. In such cases, you will first discuss possible conflicts of interest and their implications with each involved party separately and recommend appropriate steps to avoid or minimise necessary violations of secrecy.

Kind regards,

[SIGNATURE PROJECT PARTNER]

I herewith accept this appointment as data protection officer.

[DATE] / [SIGNATURE OF DATA PROTECTION OFFICER

[end of document]