

## ANNEX IV

### CRITERIA AND PROCEDURE FOR DESIGNATING ELIGIBLE RESEARCHERS

The European Central Bank (ECB) may grant access to the research dataset in accordance with Article 15, point (a)(ii), only to persons fulfilling the conditions listed in section 2, which aim to ensure that access to information reported to the ECB pursuant to this Guideline is permitted for scientific research purposes only. Commercial use of the research dataset is strictly prohibited.

These conditions are published on the ECB's website to inform researchers of the applicable conditions and procedures for applying for access to the research dataset. The ECB makes efforts to minimise delays in handling applications to the extent possible.

The ECB ensures that only safe data submission channels are used and determines the proper medium to be used.

#### 1. Affiliated researcher

An affiliated researcher is a natural person who is a staff member of, or is associated with, any of the following entities:

- (a) universities and other higher education organisations,
- (b) organisations or institutions conducting scientific research, excluding commercial companies,
- (c) bodies whose researchers may access confidential data for scientific purposes under Commission Decision 2004/452/EC<sup>1</sup>.

#### 2. Conditions for access to the research dataset

The ECB may grant access to the research dataset to affiliated researchers who have submitted an application for access to the ECB, as set out in this Annex. In joint research projects with several researchers working on the same project, each researcher must send an individual application specifying which joint research project their request relates to. The application for access to the research dataset must satisfy the following conditions.

- (a) The applicant must provide the ECB with the following information:
  - (i) their name, phone number and address, together with proof of their identity, and information in support of their eligibility to submit an application requesting access to the research dataset (i.e. their affiliation with an entity as referred to in paragraph 1 ;
  - (ii) their resume or curriculum vitae; and

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<sup>1</sup> Commission Decision 2004/452/EC of 29 April 2004 laying down a list of bodies whose researchers may access confidential data for scientific purposes (OJ L 156, 30.4.2004, p. 1).

- (iii) where applicable, the legal names and addresses of the commercial organisations (either public or private) that fund the research project, in part or in full, and information as to whether the research results are intended to have any commercial application.
- (b) A research plan must concisely:
  - (i) describe the subject of the research; and
  - (ii) establish the necessity of the data transfer, and the relevance and the adequacy of the data, having regard to the affiliated researcher's project.
- (c) The applicant must provide details on the security of data storage (by ticking applicable options), in terms of:
  - (i) logical file security;
  - (ii) the security of physical documents;
  - (iii) the security of the premises where the research will take place.
- (d) The applicant must specify in the application whether:
  - (i) the research results will be made freely and quickly available to the scientific community and how this will take place;
  - (ii) part of the research dataset will be used for purely internal reports or other purposes, in which case the provision of access to the research dataset may be more restrictive.
- (e) All researchers involved in the research project must acknowledge and sign data usage terms and conditions and confidentiality obligations provided to them by the ECB.
- (f) The applicant must confirm with their signature the accuracy and correctness of the information provided in the application.

### **3. Criteria used to assess requests to access the research dataset**

The ECB assesses applications according to the criteria outlined below.

#### ***Mandatory criterion 1***

All mandatory fields are filled in (name, phone number, address, intended research plan, use of results, curriculum vitae, and identification document attached, forms signed).

The information provided is verified (e.g. the identification document matches the researcher's name, the scientific research body to which the researcher is affiliated exists, the curriculum vitae matches the name of the researcher and the scientific research body).

#### ***Mandatory criterion 2***

The researcher has selected at least one item from each of the three groups of security measures (namely, logical file security, security of physical documents, and premises security).

***Mandatory criterion 3***

The data of the Household Finance and Consumption Survey may only be used for research purposes. Different elements of the application form are used to verify this.

The intended research plan, in conjunction with the background of the researcher (curriculum vitae) and the intended dissemination of results, must demonstrate that the purpose of the data request is to carry out research. There is no assessment of the quality of the intended research, only an assessment that the intended use is research. The funding (if relevant to the intended research) and the intention to publish may also be taken into account. If the research purpose is uncertain, the ECB will ask the researcher for further information and/or clarification.

***Procedure if the mandatory criteria are not met***

If the mandatory criteria are not met, the ECB contacts the researcher to request clarification and/or correction. For example, the researcher may be requested to:

- correct some information (e.g. information in the application form and curriculum vitae do not match);
- substantiate elements of the curriculum vitae (e.g. the activity of the scientific research body or the link between the applicant and the scientific research body);
- provide additional information on the intended research plan.

If the clarification and/or correction is inadequate, the request will be rejected.