

## D1.7

# Guidelines for Societal Acceptance and Ethical considerations – Second Release

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**Abstract**

This document offers an update to the ethical and privacy principles and procedures applied by the EMOTIVE project based on our second year of activities.

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<sup>1</sup> YORK	0.5
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## LIST OF ABBREVIATIONS

AHEC: Arts and Humanities Ethics Committee, University of York

GDPR: General Data Protection Regulation

UGLA: University of Glasgow

VSE: EMOTIVE's Visual Scenario Editor

YORK: University of York



## 1 Executive summary

The purpose of this deliverable is to offer an update to D1.6 wherein we describe the ethics requirements and the data protection procedures that will be applied by EMOTIVE throughout its different stages and contexts of research. These include: 1) end-users' onsite experiences; 2) end-users' online experiences; 3) end users' authoring experiences; and 4) user-centred design workshops (with cultural heritage and creative industries professionals) and evaluation of the tools and aforementioned experiences (with end-users). End-users include both visitors of cultural sites (i.e. consumers of experiences) and authors.

Most procedures for data management and informed consent linked to the evaluation of experiences and design workshops are similar in their general principles, and only minor details are adapted to each specific case (e.g. researcher/institution involved, environment, type of evaluation strategy, etc.). Between November 2017 and October 2018, these procedures have been successfully implemented at the following events:

- Evaluation of user attention and engagement through an EEG device while interacting with multimedia content at ATHENA (November 9-10, 2017).
- Design workshops, alpha and beta testing, and formative and summative evaluations of Hunterian Onsite Experience (*Ebutius's Dilemma*) with Glasgow MSc Museum Studies Students (November 2017), general Hunterian museum visitors (January 2018), primary school teachers at Continuing Professional Development event (February 2018), general Hunterian museum visitors and student placements (May 2018), Glasgow's Langside Primary School and Edinburgh's Mary Erskine Secondary School (June 2018), museum professionals and early career researchers participating in the Universeum pre-conference Object Journeys workshop held at the Hunterian Museum (June 2018), Muse Guides, Visiting Scholar to Information Studies and general Hunterian museum visitors (October 2018).
- Formative evaluations of the EMOTIVE digital schoolkit with the Young Archaeologists' Clubs of York, Sheffield and Leeds (July 14, September 8, and September 15, 2018).
- Prototyping session and first formative evaluation of the Visitor-Led Tours Experience for York Minster (June 4 and August 10, 2018).
- Formative evaluation of Hunterian Virtual Museum (*Ebutius's Dilemma* online experience) in Athens and Glasgow (August 2018).
- First end-user evaluation of VSE authoring tool in Glasgow (September 21-22, 2018).
- Onsite formative evaluation at Çatalhöyük (Turkey) of the Turkish version of the Çatalhöyük Collaborative Experience (September 24-28, 2018).

Additionally, we take account of the management of user data collected during EMOTIVE experiences, which requires the automatic acquisition and/or the manual introduction of the user's personal data, both for personalization and/or for the successful development of the activity. These data management and protection procedures are described in D1.6.

As well, our goals and methodology, general policies and procedures are described in detail in D1.6. Therefore, the present deliverable is focused *only* on changes to our approach necessitated in the past year of activities, owing primarily to work with young people through the Young Archaeologists' Clubs, and to the introduction of the General Data Protection Regulation (GDPR). We offer here:

- Details on changes to our information and consent forms in relation to GDPR.
- Details on the creation of an image release form to secure consent for image circulation from minors involved in EMOTIVE Project activities.



The document will be revised and updated with new information on the ethics procedures and the templates of the informed consent forms and information sheet, as well as copies of ethics approvals when required, as the project progresses. A final release will be produced in M36.



## 2 GDPR Compliance

The introduction of the General Data Protection Regulation in 2018 required modifications to EMOTIVE's information and consent procedures in order to attend to the GDPR's definitions, consent rules, and concerns for privacy by design and default, pseudonymisation, data minimisation and recordkeeping. After consultation with both UGLA and YORK, EMOTIVE's Ethics Manager was led by the guidance provided by YORK's Arts and Humanities Ethics Committee to rewrite our information sheet (ANNEX 1) and consent forms (ANNEX 2 and 3) to make them GDPR-compliant. This documentation now employs language specified by the YORK Ethics Committee, and has subsequently been approved by the institution for use across EMOTIVE's use cases. Specifically, the project information sheet contains the aims of the research; the institutions involved; the usefulness of visitors' participation and/or observation; a statement of the confidential and scientific use of data; a statement that participation is voluntary and can be interrupted at any time; a clarification about the lack of compensation (economic or of any other sort); a statement about the exclusive use of the information within and for the project; a statement about the processing of data as it relates to GDPR; a statement about the right to withdraw and rights to the data; and an explanation about whom to contact and the procedures to undertake in case of incident or just to obtain more information about the project. The sheet also provides contact details for the relevant institutional Ethics Board or Data Protection Officer under whose auspices the project researchers are working.

To date, EMOTIVE has primarily collected its quantitative and qualitative evaluation data through the following streams:

1. Observations of participants' interactions with EMOTIVE's cultural sites and digital experiences, recorded variously by hand, by audio recording, by video recording, by photography, and/or by screen capture and click-tracking.
2. Semi-structured interviews with participants.
3. Questionnaires delivered by hand or online.
4. Focus groups conducted in person or online.
5. Comment cards delivered by hand or online.
6. Data logging of use of the digital experiences.

In all cases, approval from the relevant institutional Ethics Committees was sought beforehand, and email or written confirmation from those committees was returned (e.g., see ANNEX 4) prior to instigating data collection. The GDPR-compliant information sheets and consent forms, and in some cases image releases (see Section 3 below), were circulated to participants and signed. The originals of these signed documents are securely stored at their respective institutions.



### **3 Image Release**

EMOTIVE's policy for audio-visual recording of minors has varied depending on the use case. Our two main experiences involving minors – the onsite Hunterian and the EMOTIVE Digital Schoolkit – have both been tested with groups whose parents/guardians had previously signed image release forms with their institutional providers (e.g., schools in the case of the Hunterian; Young Archaeologist Clubs in the case of the Schoolkit).

However, YORK's Arts and Humanities Ethics Committee (AHEC) further advised EMOTIVE's Ethics Manager to create a project-specific image release form to cover potential problems or unforeseen circumstances. Accordingly, an image release form based on the models employed by both YORK and UGLA was created for our purposes (see ANNEX 5). The form explains the purpose of image capture for the project, asks parents/guardians to explicitly agree 'yes' or 'no' to the sharing of imagery of the minors under their care, and list names of all who agree. The form was approved by YORK's AHEC prior to instigating data collection. The originals of these signed documents are now securely stored at YORK.

## **4 Deliverable confidentiality**

During the second year of the project, and as the research work has been progressing, we identified that two of our public deliverables should be changed to confidential as publications relevant to their content are pending. These deliverables, namely D5.5 “Conceptual Framework and Guide - Second Release” and D3.3 “User Requirements & Scenarios - final”, involve innovative research on the field, therefore the EMOTIVE partners will proceed with publishing the produced outputs in prestigious conferences and journals, that go through the peer review process. The peer review process in our field requires strict anonymity, so the manuscripts cannot be available online during review. Also, during peer review, the manuscript is revised and improved; for scientific reasons it is best that only the final approved version be available on the internet. As soon as the final versions of the publications become available, they will be posted on the EMOTIVE website.

# ANNEX 1: EMOTIVE GDPR-COMPLIANT INFORMATION SHEET TEMPLATE

Information Sheet: [REDACTED] experience at [REDACTED]

## What are the aims of the EMOTIVE Project?

EMOTIVE aims to create digital experiences that are useful to cultural and creative professionals and visitors to cultural sites.

For visitors, EMOTIVE will offer dramatic, emotional stories that can be experienced while at a cultural site or remotely. Wherever visitors are, they can follow storylines, look for clues and explore environments alone or with family and friends.

For heritage professionals, the EMOTIVE application will provide a powerful storytelling engine and a set of rich digital media tools that can be used to create detailed characters and narratives featuring archaeological sites or collections of artefacts.

Your participation in this project will enable EMOTIVE to develop the most appropriate and meaningful digital collaborative experiences of cultural sites for different types of users at sites around the world.

## Who is doing the research?

I am [REDACTED] on EMOTIVE, an international project composed of teams from 8 organisations spread across 6 European countries (Greece, England, Scotland, France, Italy and Ireland). The teams are based at the [University of Athens](#) (ATHENA Research Centre), [University of York](#), [University of Glasgow](#), [EXUS](#), [INRIA](#) (French Institute for Research in Computer Science and Automation), CNR (National Research Council of Italy), [DIGINEXT](#), and [NOHO](#). Each excels in their respective fields, including academic scholarship and research, industry, and cultural/visitor experience.

## How will I be asked to provide data?

You will be asked to participate in one or more of the following activities aimed at collecting quantitative and qualitative evaluation data:

- (1) observations of your interactions with EMOTIVE's cultural sites and digital experiences
- (2) analysis of related material produced by you during these interactions
- (3) interviews and focus groups that we conduct with you in person or online

[REDACTED] (\* add as necessary)

Data from these activities may be recorded by members of the EMOTIVE team on paper (by hand), online (by digital data entry), by audio recording, by video recording, by photography, and/or by screen capture and click tracking. Your permission for this will be sought before data collection begins through the signing of a consent form or completion of a digital user agreement. Your participation is voluntary and no compensation – economic or of any other sort – will be provided.



## **Will my participation be confidential?**

You will have the opportunity to remain anonymous if you participate in EMOTIVE. Your preferred form of identification can be specified on EMOTIVE's Project Consent Form. When involved in online data collection, you will be informed each time the system collects personal information. At no time will you be asked to enter your real name or any other identifying information, unless you explicitly give your consent.

Anonymity will be maintained through the use of a confidential identification number and pseudonym which will be assigned to you personally. Non-anonymous data will not be made available outside of the project team to any individual unless you explicitly give your consent.

## **What will happen to my data?**

The data will be recorded and, if necessary, transcribed for use in EMOTIVE's research. It will be accessible to the EMOTIVE team only, and will not be shared in raw form with third parties. However processed data (data that have been analysed) may be included in EMOTIVE's project outputs, including its website, other forms of media, publicity, reports, conferences, and publications.

Data collection will be done in compliance with article 8 in the Charter of Fundamental Rights of the European Union. In addition to the EU charter, the collection of data will be done in compliance with the data protection acts, legislation, and directives of our EMOTIVE team institutions. You have the right to access your data at any time by contacting any member of the EMOTIVE team, including its Ethics Manager (see contact details below). The University is committed to the principle of data protection by design and default and will collect the minimum amount of data necessary for the project.

Data will be securely stored at the EMOTIVE team's home institutions, and will be retained in the long term for use in future research and publicity. Physical data, such as videos, questionnaires and transcriptions, will be stored in locked cabinets in locked rooms at each institution. Copies of the data will also be stored electronically on both password-protected hard drives and a password-protected online storage account.

Data may be transferred internationally, as the University's cloud storage solution is provided by Google. This means that data can be located at any of Google's globally spread data centres. The University has data protection complaint arrangements in place with this provider. For further information see, <https://www.york.ac.uk/it-services/google/policy/privacy/>.

EMOTIVE will hold copyright over any publications, presentations, productions, videos, photographs, recordings, and other forms of media and publicity produced as a result of this project. Data will be retained in line with legal requirements or where there is a business need. Retention timeframes will be determined in line with the University's Records Retention Schedule.

## **On what basis are my data being processed?**

Under the General Data Protection Regulation (GDPR), the University has to identify a legal basis for processing personal data and, where appropriate, an additional condition for processing special category data. In line with our charter which states that we advance learning and knowledge by teaching and research, the University processes personal data for research purposes under Article 6 (1) (e) of the GDPR: *Processing is necessary for the performance of a task carried out in the public interest.*

Special category data is processed under Article 9 (2) (j): *Processing is necessary for archiving purposes in the public interest, or scientific and historical research purposes or statistical purposes.*

Research will only be undertaken where ethical approval has been obtained, where there is a clear public interest and where appropriate safeguards have been put in place to protect data. In line with ethical expectations and in order to comply with common law duty of confidentiality, we will seek your consent to participate where appropriate. This consent will not, however, be our legal basis for processing your data under the GDPR.

## **Can I withdraw from the project?**

Your participation is optional. You may choose to withdraw from EMOTIVE at any point without consequence by contacting any member of the EMOTIVE team, even after your data have been collected. Should you wish to withdraw, all references to your data can be removed at your request and the data destroyed.

## **What are my rights in relation to my data & how can I report a complaint?**

Under the GDPR, you have a general right of access to your data, a right to rectification, erasure, restriction, objection or portability, and a right to withdrawal. Please note, not all rights apply where data is processed purely for research purposes. For further information see, <https://www.york.ac.uk/records-management/generaldataprotectionregulation/individualrights/>.

If you are unhappy with the way in which your personal data have been handled, you have a right to complain to the Information Commissioner's Office. For information on reporting a concern to the Information Commissioner's Office, see [www.ico.org.uk/concerns](http://www.ico.org.uk/concerns).

## **Who should I contact if I have questions?**

Should you have any questions or concerns about the research or your contribution to it, please do not hesitate to contact me, [REDACTED] at [REDACTED] or EMOTIVE's Ethics Manager, Dr Sara Perry, at [sara.perry@york.ac.uk](mailto:sara.perry@york.ac.uk) or at the Department of [REDACTED]. If you have questions or concerns that cannot be answered by me, please contact the University's Acting Data Protection Officer at [REDACTED].

This research has been approved by the [Arts & Humanities Ethics Committee of the University of York].

## ANNEX 2: EMOTIVE GDPR-COMPILANT CONSENT FORM TEMPLATE (ADULT)

Consent Form: [REDACTED] experience at [REDACTED]

PARTICIPANT NAME:

PARTICIPANT EMAIL ADDRESS:

PARTICIPANT SIGNATURE:

DATE:

Please read and tick the boxes below to indicate your agreement:

- I have read and understood the project Information Sheet and have had the opportunity to ask questions about the research.
- I agree to take part in EMOTIVE and for data collected by EMOTIVE team members and/or produced by me during EMOTIVE activities (hereafter called my data) to be used to inform the project's findings and publicity.
- I understand my participation is voluntary and I may withdraw at any time without consequence.
- I understand my data will be retained in secure storage for use in future academic research and publicity.

I give consent for my data (including photos, video or other visual records) to be used in research, presentations, publications and other media and publicity arising from EMOTIVE, both print and online, under the following conditions of anonymity (**mark ONLY ONE as appropriate**):

- I agree to be identified as follows \_\_\_\_\_ when my data are circulated. I understand that I might be recognisable in photo, video and other visual and audio records.
- I agree for my data to be used under condition of anonymity. I understand that my identity will be altered/obscured in photo, video and other visual and audio records.
- I ask to be consulted further before my data are used.

EMOTIVE RESEARCHER NAME:

EMOTIVE RESEARCHER SIGNATURE:

If you have any questions or concerns, please contact contact [REDACTED], or EMOTIVE's Ethics Manager, Dr Sara Perry, at [sara.perry@york.ac.uk](mailto:sara.perry@york.ac.uk) or the Department of Archaeology, University of York, King's Manor, York, UK, YO17EP.



EMOTIVE

## **ANNEX 3: EMOTIVE GDPR-COMPLIANT CONSENT FORM TEMPLATE (MINOR)**

### **Consent Form for Parent/Guardian of Minor(s)**

PARENT/GUARDIAN NAME: \_\_\_\_\_

PARENT/GUARDIAN EMAIL ADDRESS: \_\_\_\_\_

PARENT/GUARDIAN SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

Please read and tick the boxes below to indicate your agreement:

- I have explained the project Information Sheet to the below-named participants and acknowledge that they understand the research and have had the opportunity to ask questions about it.
- I give permission for the below-named participants to take part in EMOTIVE and for data collected by EMOTIVE team members and/or produced by the participants during EMOTIVE activities (hereafter called the below-named participants' data) to be used anonymously to inform the project's findings and publicity. The collected data may include notes recorded by members of the EMOTIVE team by hand, by digital data entry, and/or by audio recording. Visual media, including photography and video, may be collected of materials produced by participants, but will only be taken of participants themselves if specified on the attached image release form.
- The below-named participants understand that their participation in EMOTIVE is voluntary and they may withdraw at any time without consequence.
- I give consent for the below-named participants' data to be used in research, presentations, publications and other media and publicity arising from EMOTIVE under condition of anonymity.
- I understand that the below-named participants' data will be retained in secure storage for use in future academic research and publicity.

PARTICIPANT NAMES:

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EMOTIVE RESEARCHER NAME: \_\_\_\_\_

EMOTIVE RESEARCHER SIGNATURE: \_\_\_\_\_

If you have any questions or concerns, please contact [\\_\\_\\_\\_\\_](#) or EMOTIVE's Ethics Manager, Dr Sara Perry at [sara.perry@york.ac.uk](mailto:sara.perry@york.ac.uk) or the Department of Archaeology, University of York, King's Manor, York, UK, YO17EP.

## **ANNEX 4: EXAMPLE OF ETHICS APPROVAL FROM YORK'S ARTS AND HUMANITIES ETHICS COMMITTEE**

For research on the EMOTIVE Digital Schoolkit by YORK MSc student in Summer 2018.

5/21/2018

University of York Mail - Ethics Approval Form



[REDACTED]

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### **Ethics Approval Form**

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21 May 2018 at 08:17

Dear [REDACTED]

Thank you for your application to the ethics committee. Your application has been approved. Happy researching!

Cheers,

[REDACTED]

[Quoted text hidden]

## ANNEX 5: EMOTIVE IMAGE RELEASE FORM

### Image Release Form for Parent/Guardian of Minor(s)

PARENT/GUARDIAN NAME: \_\_\_\_\_

PARENT/GUARDIAN EMAIL ADDRESS: \_\_\_\_\_

PARENT/GUARDIAN SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

The EMOTIVE Project takes photographs, video and other visual records for the purposes of research, public presentations, publications and other media and publicity. These images may appear in our printed publications, online, or both. We may also send them to the news media. We require your permission to do this for you and the minors under your care.

**Please read the information below, and check yes or no, then list the names of those whose images we may use (including yourself and any minors under your care).**

I agree to the use of my image(s), and those of the below-identified minors under my care, in research, presentations, publicity or promotional literature produced by the EMOTIVE Project, including leaflets, posters, newsletters and other display material, on EMOTIVE's website and other social media sites, including Facebook, Twitter, Instagram and YouTube, and in any publicity material about EMOTIVE sent to the news media. I understand that websites and other online media can be seen throughout the world, and not just in the United Kingdom, where UK law applies.

**No**, I do not agree.

**Yes**, I agree.

The following participants (parents, guardians and minors) **agree** to the image release terms outlined above:

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EMOTIVE RESEARCHER NAME: \_\_\_\_\_

EMOTIVE RESEARCHER SIGNATURE: \_\_\_\_\_

If you have any questions or concerns, please contact [REDACTED] or EMOTIVE's Ethics Manager, Dr Sara Perry at [sara.perry@york.ac.uk](mailto:sara.perry@york.ac.uk) or the Department of Archaeology, University of York, King's Manor, York, UK, YO17EP.