## Training Outline

## Ethical and legal considerations in Research Data Management (RDM)

### Note

This outline is under development and will be tested (and possibly moderated) by the CESSDA Training Working Group in 2018.

If you have questions or feedback from your own testing, please do not hesitate to contact us via training[at]cessda.eu.

### License



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Skeleton for a “content-specific” 1-day workshop

Use or adapt this outline to offer your own workshop discussing ethical and legal considerations in Research Data Management.

**Level**: For beginners, in-depth workshop on ethical and legal considerations in research data management

**Time frame**: 1–day workshop (ca 6 hours, e.g. 09:00 - 15:00)

**Target group**: Researchers/PhD candidates

**Recommended no. of participants**: up to 30 participants

## Learning goals

* Know basic concepts related to ethics when sharing, publishing and archiving, when using personal data (including sensitive data).
* Know basic concepts related to copyright and ownership of research data.
* Have a basic knowledge of the legal regulations (i.e. the General Data Protection Regulation (GDPR))
* Know how to influence your ability to re-use and share research data with personal information in it and in particular the importance of
	+ informed consent
	+ data anonymisation
	+ access control

Tip: The structure of this workshop is to start with a lecture about the different issues followed by two sessions of exercises for the participants. To make the workshop even more interactive, you could consider inviting experts that have dealt with one of the ethical or legal issues that you want to discuss. They could cover some aspects of your lecture or be involved in the discussions during the exercises.

You may also consider having shorter lectures on each of the four suggested topics below followed by assignments related to that topic, i.e.:

20 min. lecture on consent; 30 min. practical assignments + discussion; 10 min. break;

20 min. lecture on anonymisation; 30 min. practical assignments + discussion; 10 min. break; etc.

## Reading for the participants in advance

### Optional (depending on their level of previous knowledge)

Chapter 1 of the CESSDA training Expert Tour Guide as a general introduction (this is 1-2 hours of reading)

[<https://www.cessda.eu/DMGuide> > 1.- Plan]

### Recommended reading for the participants in advance:

From Chapter 5 of the CESSDA training Expert Tour Guide for specific information, read the first three parts:

Ethics and data protection:

[<https://www.cessda.eu/DMGuide> > 5.- Protect > Ethics-and-data-protection]

Ethical review process:

[<https://www.cessda.eu/DMGuide> > 5.- Protect > Ethical-review-process]

Processing personal data:

[<https://www.cessda.eu/DMGuide> > 5.- Protect > Processing-personal-data]

If relevant for your workshop, provide links to:

* institutional guidelines regarding their policy and instructions on how to manage personal and sensitive data; guidelines on ownership/IPR.
* national/international guidelines

## Programme

### Programme overview

09:00-09:30: Welcome and introduction

09:30-11:30: Personal data and copyright: Basic concepts (2 x 45 minutes)

11:30-11:45: Questions and discussion

11:45-12:30: Lunch

12:30-13:15: First Assignment block

13:15-13:30: Break

13:30-14:15 Second Assignment block

14:15-14:30: Break

14:30-15:00: Wrap-up and conclusion (30 minutes)

### Welcome and introduction

State the learning goals:

* Know basic concepts related to research using (sensitive) personal data
* Know basic concepts related to copyright and ownership of research data.
* Have a basic knowledge of the legal regulations (i.e. the General Data Protection Regulation (GDPR))
* Know how to influence your ability to re-use and share research data with personal information in it and in particular the importance of
	+ informed consent
	+ data anonymisation
	+ access control

You might want to do an introductory round (name, background, what they want to learn)

Joint discussion (unless the introductory round made this redundant): What are topics that you especially find difficult?

### Personal data and copyright: Basic concepts (2 x 45 minutes)

[tip: you can use illustrations from the online module for this part]

Introduce ethical and legal considerations (including the ethical review process, see:

[<https://www.cessda.eu/DMGuide> > 5.- Protect]

Cover these topics that will come back in the assignments:

* (sensitive) personal data: [https://www.cessda.eu/DMGuide > 5.- Protect > Ethics-and-data-protection]
* Informed consent: [https://www.cessda.eu/DMGuide > 5.- Protect > Informed-consent]
* Anonymisation: [https://www.cessda.eu/DMGuide > 5.- Protect > Anonymisation]
* Copyrights and licenses: [https://www.cessda.eu/DMGuide > 5.- Protect > Copyright]

### First Assignment block (30-45 minutes) (see Appendix 1 for exercise suggestions)

Choose a set of assignments on one or multiple of the four topics

* (Sensitive) personal data
* Informed Consent
* Anonymisation
* Copyrights and licenses

Let them work on their own for 15-25 minutes, then discussion.

### Second Assignment block (30-45 minutes) (see Appendix 1 for exercise suggestions)

Chose a set of assignments on one or multiple topics

* (Sensitive) personal data
* Informed Consent
* Anonymisation
* Copyrights and licenses

Let them work on their own for 15-25 minutes, then discussion.

### Conclusion

* Sum up key points, do the participants now feel they learnt what we expected according to the learning goals set?
* Q&A
* Activity: Ask the participants to write down the three most important things they learned that they will put into practice.
* Hand out the CESSDA course certificate (or do so by email afterwards)

### Evaluation

Ask participants to fill in a short evaluation form (CESSDA training aims to provide suggestions for evaluation forms in the TTT package).

## Appendix 1

Here you can find some suggestions for the assignment blocks mentioned above:

### Personal Data

**Exercise 1**: A ph.d. will collect interview data that will contain personal information. She wants to make sure that she can share these data with new project partners in follow-up studies after her current ph.d. project. What are her options to make sure she can share her data?

Answer: Informed consent or anonymisation.

**Exercise 2:** A researcher’s informants have not given their consent to the interviews being shared outside the researcher’s current project. Can the researcher nevertheless archive the data (e.g. in a national archive for research data)?

Answer: Unless the respondents' consent forms explicitly state/express that the data will be deleted at project completion, anonymised interview data can be archived.

(question and answer adapted from NSD’s FAQ section: http://www.nsd.uib.no/arkivering/en/005\_faq.html)

### Anonymisation (60 min)

**Exercise 1**: (10 minutes): Work individually to anonymise a dataset. You can use the example from the Module ch. 5: [https://www.cessda.eu/DMGuide > 5.- Protect > Anonymisation] ; see the bottom section entitled “A practice in anonymising qualitative data”.

**Exercise 2:** (5 minutes): Discuss with each other which types of identifiable information were found.

**Exercise 3:** (15 minutes): Work in groups of 3-4 people to compare how you anonymised the same dataset. Are there differences in how you did it? What would happen if you all worked as assistants in the same project, with different ways of anonymising datasets?

Sketch a common guideline for anonymising a dataset such as the one you just anonymised in exercise 1.

**Exercise 4:** Re-Identification (qualitative data) (by GESIS Data Archive) (45 minutes). See

* TTT\_EX\_GESIS\_Re-IDQual for the exercise
* TTT\_EX\_GESIS\_Re-IDQual\_Ans for sample solutions

**Exercise 5**: Re-Identification (quantitative data) (by GESIS Data Archive) (30 minutes). See

* TTT\_EX\_GESIS\_Re-IDQuant for the exercise
* TTT\_EX\_GESIS\_Re-IDQuant\_Data for the data
* TTT\_EX\_GESIS\_Re-IDQuant\_Ans for sample solutions

**Exercise 6**: De-identification of quantitative data (by UK Data Service) (10 minutes). See

* TTT\_EX\_UKDS\_De-IDQuant for the exercise
* TTT\_EX\_UKDS\_De-IDQuant\_Ans for sample solutions

**Exercise 7**: De-identification of qualitative data (by UK Data Service) (10 minutes). See

* TTT\_EX\_UKDS\_De-IDQual for the exercise
* TTT\_EX\_UKDS\_De-IDQual\_Ans for sample solutions

### Informed Consent

**Exercise 1:** Consider the examples of consent forms in the online module (10 minutes)

[<https://www.cessda.eu/DMGuide> > 5.- Protect > Informed-consent]

Try to adapt one of these templates for your own purposes.

**Exercise 2:** Consent for data sharing and reuse (by the UK Data Service) (15 minutes). See

* TTT\_EX\_UKDS\_Consent for the exercise

### Copyright and Licenses

Use the case studies of the CESSDA module (30 minutes),

**Exercise 1**: Create small groups (ca 4 people per group) and provide each group with one of the scenarios taken from the online module: (see the bottom of

[<https://www.cessda.eu/DMGuide> > 5.- Protect > Copyright]

Part 1 (10 minutes): Work in groups to propose solutions to the case study/studies.

Part 2 (20 minutes): Share and discuss the solutions and problems you identified.

**Exercise 2:** Licenses and Data Re-Use (by GESIS Data Archive) (45 minutes).

See

* TTT\_EX\_GESIS\_Licenses for the exercise
* TTT\_EX\_GESIS\_Licenses\_Ans for sample solutions

**Exercise 3:** Data access and licensing (by the UK Data Service) (15 minutes).

See

* TTT\_EX\_UKDS\_Access for the exercise
* TTT\_EX\_UKDS\_Access\_Ans for the answers