HumanE AI:

Toward AI Systems that Augment and Empower Humans by Understanding Us, our Society and the World Around Us

Grant Agreement Number: 761758
Project Acronym: HumanE AI

Project Dates: 2019-03-01 to 2020-04-30
Project Duration: 14 months

D7.5 Open Research Data Pilot

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Date: May 26, 2020
Approved by: Paul Lukowicz
Type: Report
Status: Final
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Dissemination Level	
PU	Public

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DOCUMENT INFO

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DOCUMENT HISTORY

Revision		
Date	**Lead Author(s)**	**Comments**
09.01.2020	GK	Initial draft
09.01.2020	GK	Formatting
14.01.2020	GK	Adding email data
19.01.2020	GK	Adding website data
19.01.2020	GK	Final formatting for D7.1 (first version)
21.05.2020	GK	Editing and updating for D7.5, removing email lists and adding data protection texts of DFKI and K4A.

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EXECUTIVE SUMMARY

The original D7.1 „Data Management Plan" was defined inadvertently, not knowing or expecting D7.5 automatically generated. The current document is D7.1 resubmitted as D7.5.

The HumanE AI CSA project did not collect, use, maintain or generate any data apart from those detailed below. From this point on, all text is that of D7.1.

This is the Data Management Plan of the Humane AI CSA (HumanE AI: Toward AI Systems that Augment and Empower Humans by Understanding Us, our Society and the World Around Us).

INTRODUCTION

This document summarizes our dealing with data. It is a compulsory deliverable if an open data model is selected, as we did. However, since this is a CSA, originally conceived as a "preparator action" for a later proposal, we are not dealing with data in the same way as in a RIA or any scientific research project.

In particular, we are not collecting (and keeping or processing) sensitive personal data beyond the obvious mailing lists and other lists summarizing partners of the proposal. Their personal data are not collected beyond what is necessary to run the project seamlessly.

Similarly, the project website contains videos made with the project partners: they are typically civil servants whose basic data (name, affiliation, email address) are public. In the event this is not the case, the website management partner (the K4A Foundation in the UK) got hold of a written consent of the participants to use their video with data.

MAILING LISTS

We have established and maintain 2 different mailing lists: one for the researchers in the project, and another for the administrators (typically, but not exclusively, the EU project officers and the administrative offices of the participating institutions). The reason for this separation is to minimize unnecessary cross-communication between the different topics and to save researchers from administrative discussions, whereas to save administrators from the research discussions. (A combined sending to both lists is possible and have also been applied in the project.)

The respective mailing lists are hai-r@dfki.de and (somewhat misleadingly, because it is for the admins only) hai-all@dfki.de.

WEBSITE VIDEOS AND TEXTS

The project website https://www.humane-ai.eu contains videos in 2 forms: as "News" items (available at the root home page) or as a "Blog", available in a searchable archive form at https://www.humane-ai.eu/blog/. It is these videos that contain personal information about participants: their names and affiliation (gender can be deduced from the videos). The website also brings texts that mention participants by name and affiliation. Gender can be inferred from first names.

Partners and other participants have provided full consent to the above use of their personal data. Beyond this point no data is used.

The Humane AI Web site contains the following information:

The HAI Web platform

The HumanE AI Project makes a web platform (HAI Web) available to users who wish to save and manage digital resources and links in their personal account.

Usage of HAI Web

Visit and usage HAI Web is not only possible for registered users, but anonymous. The processed data will not be transmitted to any third parties or otherwise disclosed, except on the basis of concrete lawful obligations. While using our web site the data transmission in the Internet is being protected by a generally accepted secure encryption procedure and hence cannot easily be eavesdropped or tampered.

Anonymous usage

In case of an anonymous usage, personal data are only collected to the technically necessary extent.

Access data

Access data collected outside of HAI Web

On every access to HAI Web, some usage, transmission and connection data will be collected, temporarily stored in a log file and regularly deleted after 90 days.

On every access/retrieval the following data can be stored:
- o   IP address
- o   transmitted user agent information (in particular type/version of web browser, operating system etc.)
- o   transmitted referrer information (URL of the referring page)
- o   date and time of the access/retrieval
- o   transmitted access method/function
- o   transmitted input values (search terms etc.)
- o   retrieved page resp. file
- o   transmitted amount of data
- o   status of processing the access/retrieval

The processing of the access data is lawful because it is necessary for the purposes of the legitimate interests pursued by DFKI and HumanE AI project. The legitimate interests pursued by DFKI are the adaptation and optimization of HAI Web and the investigation, detection and prosecution of illegal activities in connection with the usage of HAI Web.

The stored data records can be statistically evaluated in order to adapt and optimize our web site to the needs of our visitors. Any techniques that offer the possibility to retrace the access

characteristics of users (tracking) based on access data collected outside of HAI Web will not be applied. The creation of user profiles and automated decision-making based on it is precluded.

The stored data records are not attributable to specific persons. They are generally not being combined with other data sources. However, the stored data can be analyzed and combined with other data sources, if we become aware of concrete indications of any illegal usage.

Access data collected by HAI Web
No access data is collected by the HAI Web.

Cookies

We may use so-called cookies in HAI Web. Cookies are small files that are being stored by your web browser. The cookies used in HAI Web do not harm your computer and do not contain any malicious software. They offer a user-friendly and effective usage of HAI Web. We do not use cookies for marketing purposes.

We may transmit so-called session cookies to your web browser. They are valid only for the duration of your visit of HAI Web and they do not have any meaning outside of HAI Web. The session cookies are needed in order to identify your session with a unique number during your visit and to transmit our contents in your preferred language. At the end of your visit the session cookies will be automatically deleted upon termination of your web browser.

We may also transmit permanent cookies to your web browser with a validity period of at most 365 days. We are exclusively using these cookies in order to respect your session information for the next access of HAI Web by means of a unique session identifier and in case of a logged in user with the selected user nickname, a unique user identifier, and a marker of the user status (administrator or standard user).

You can adjust your web browser such that you will be informed on setting cookies and allow cookies on an individual basis resp. exclude the acceptance of cookies for specific cases or generally. You also can adjust the automatic deletion of cookies upon termination of your web browser. Upon deactivation of cookies the functionality of our web site can be limited. In any case, our information offering is available to its full extent.

Social Media

Except of the GDPR-compliant embedding of YouTube videos we do not embed social media plug-ins. When you are visiting HAI no data are transmitted to social media services. Profiling by any third parties hence is precluded.

Correspondence

You have the option to contact us by e-mail. We will use your e-mail address and other personal contact data only for the correspondence with you. Due to lawful obligation every e-mail correspondence will be archived. Subject to our legitimate interests your e-mail address and other personal contact data can be stored in our contact data base. In this case you will receive a corresponding information on the processing of your contact data.

Access and Intervention

Besides the information in this data protection policy, you have the right of access to your personal data. To ensure fair data processing, you have the following rights:

- o The right to rectification and completion of your personal data
- o The right to erasure of your personal data
- o The right to restriction of the processing of your personal data
- o The right to object to the processing of your personal data on grounds related to your particular situation

To exercise these rights, please contact our data protection officer.

Right to lodge a complaint
You have the right to lodge a complaint with a supervisory authority if you consider that the processing of your personal data infringes statutory data protection regulations.

GDPR COMPLIANCE

We did not use, produce, maintain or process personal or research data beyond that is mentioned above. (A fact not clear at application time when the Open Data model was selected.)

However, the little data use as above happened within the frameworks of the all-European GDPR rules. More specifically we comply with the following:

Provide clear information about your data processing and legal justification in your privacy policy.	We have clearly informed the participants.
Encrypt, pseudonymize, or anonymize personal data wherever possible.	This was not possible in either the email lists or the website.
Create an internal security policy for your team members, and build awareness about data protection.	Not applicable in this project.
Have a process in place to notify the authorities and your data subjects in the event of a data breach.	DFKI has a GDPR commissioner (data protection officer) and should any adversity occur he is to be readily contacted.
Sign a data processing agreement between your organization and any third parties that process personal data on your behalf.	No third parties in this project.
If your organization is outside the EU, appoint a representative within one of the EU member states.	DFKI (GER) handles the mailing list whereas K4A (UK) is responsible for the website. At the time of the project, and at the website maintenance times, both were EU countries.
It's easy for your customers to request and receive all the information you have about them.	Yes, but partners or their employees did not exercise it yet.
It's easy for your customers to correct or update inaccurate or incomplete information.	Yes, but partners or their employees did not exercise it yet.
It's easy for your customers to request to have their personal data deleted.	Yes, but partners or their employees did not exercise it yet.
It's easy for your customers to ask you to stop processing their data.	Yes, but partners or their employees did not exercise it yet.
It's easy for your customers to receive a copy of their personal data in a format that	Yes, but partners or their employees did not exercise it yet.

can be easily transferred to another company.	
It's easy for your customers to object to you processing their data.	Yes, but partners or their employees did not exercise it yet.
If you make decisions about people based on automated processes, you have a procedure to protect their rights.	We do not make any decisions about people.

Besides, DFKI (https://www.dfki.de/en/web/data-protection/) brings the following information:

Data Protection Notice
The German Research Center for Artificial Intelligence (Deutsches Forschungszentrum für Künstliche Intelligenz -- DFKI) and its staff are committed to goal- and risk-oriented information privacy and the fundamental right to the protection of personal data.

Controller
Deutsches Forschungszentrum für Künstliche Intelligenz (DFKI)
Phone: +49 (0)631 / 205 75-0, E-Mail: info@dfki.de

DFKI Data protection officer
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The quoted page goes on after this point to detail data protection policies adopted by DFKI and all its units as well as projects including the current project.