

Data Protection Notice (updated March 2021)

This data protection notice solely concerns the data processing taking place as part of research activities in the ROXANNE project. The privacy statement regarding processing of personal data taking place for operation of this website can be found [here](#).

1. Overview

ROXANNE Project Overview - We (the ROXANNE Consortium) process personal data to research, develop, and validate speech, text, video, and network analysis technologies. The aim of the project is to develop tools that can support law enforcement agencies (LEAs) in their daily work to combat organised crime.

Responsible Research - The ROXANNE project seeks to comply with the tenets of Responsible Research and Innovation and with national and European research ethics requirements in a manner that has been developed in strict compliance with the relevant ethical and legal guidelines, provisions, procedures, and protocols that have been identified by the European Commission and project partners working on ethical and legal compliance. We put particular emphasis on privacy-awareness and legal compliance of the research and development.

Regulatory Model - The ROXANNE Consortium has followed a regulatory model with internal and external controls. Within the project, partners leading on ethical, legal, and societal issues analyse the project and implement recommendations to enhance the work of technical and LEA partners from ethics- and privacy-by-design perspectives. All partners work closely with their own Data Protection Officers (DPOs) or legal teams, and, where necessary, national Data Protection Authorities to comply with the data protection requirements. The ROXANNE project is overseen by both an Internal and External Ethics Board who provide advice to partners. Further, the European Commission sets requirements for the project to meet in order to evidence that it is complying with ethical and legal standards that are applicable to research.

General Data Protection Regulation (GDPR) - The ROXANNE project will only collect personal data insofar as it is necessary to collect it for the completion of research, validation, dissemination, and exploitation of the project results. The ROXANNE project is a **research project** and to this end, Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, known as the 'General Data Protection Regulation', hereafter 'GDPR', is the primary basis for the data processing for technology, university, SME and LEA partners.

The GDPR protects the rights of persons whose personal data is processed, called data subjects' rights. These are set out below in Section 11 below.

There is no expectation that any partner will process any personal data within their law enforcement mandate, and so no personal data is expected to be processed under the Law Enforcement Directive (EU) 2016/680.

Contact Details - The contact details of the project coordinator and the project ethics adviser are included in Section 12 below. If your personal data is being processed by the ROXANNE project, you can use these details to exercise your rights as data-subjects.

2. Consortium and Controllershship

The ROXANNE project consists of 24 partners including technical, academic, ethics, legal and LEAs from 15 different countries. There is a broad spectrum of activities within the project. These activities include: research and development on the technological ways to meet the requirements of the LEA end users; research on the ethical, legal, and societal implications of the project itself; research on the relevant ethical, legal, and societal issues for the potential future use of the technologies that are developed, and; communicating and disseminating information about the work of the project. In determining purposes and means of the processing of personal data, the project was informed by all areas of partner expertise. In most cases, partners act as individual data controllers for processing their work in individual tasks. However, partners do collaborate across tasks and where they jointly determine the means and purposes for processing personal data, they are joint data controllers.

The specific tasks involved in the research are defined in a Grant Agreement between the European Union and the partners. To achieve in practice the technical or other objective of individual ROXANNE tasks, each task leader must further specify the remit and means of data processing. Typically, the data controller undertakes data processing activities. Each partner is responsible on an individual basis for adhering to data protection rules for the data processing activities carried out. This responsibility is exercised with an expectation of support from other project partners.

3. Purposes of Processing

The ROXANNE Consortium processes personal data in order to effectively participate in a scientific research project which aims to develop and integrate a range of high-tech approaches, including speech, text, video, and network analysis. The intention is to improve current technologies so that they could then be taken forward for exploitation after the project and provided to LEAs to reduce the time spent on analysing raw data in organised crime investigations.

With this overarching purpose in mind, we process personal data to:

- a) develop, train, test and evaluate software models as part of this research activity;
- b) research the ethical, legal, and societal implications of the project and technologies;
- c) organise and administer the project, including its events and field tests, and;
- d) disseminate and communicate the outputs from the project.

The ROXANNE project is strictly a research project and processes data for the above purposes only. The ROXANNE consortium has no intention to monitor any person, or to take decisions against them. Further, there is no processing of data by technical partners on behalf of LEA partners for law enforcement purposes.

4. Personal Data and Data Minimisation

Personal data is that which concerns an individual and can be used to identify them. Where actions in ROXANNE process personal data, ROXANNE engages in data minimisation. Data minimisation in ROXANNE will ensure that data is:

- Adequate – Meaning it is sufficient to fulfil the stated purpose.
- Relevant – Meaning the processing has a rational link to the purpose.
- Limited – Meaning that only the necessary data to fulfil the stated purpose is processed.

Partners will follow good governance ensuring that they will only process personal data that is adequate, relevant, and limited to what is needed for their task.

Towards this requirement, the ROXANNE project prefers to process anonymous (non-personal) data. Where this is not possible, partners process pseudonymised personal data. Pseudonymous data, if linked with additional information, has the potential to identify individuals. However, re-identification of pseudonymised data-subject provides no scientific benefit to the project, is not a project aim, and it is, therefore, consortium policy not to attempt re-identification of pseudonymised data-subjects.

Where pre-existing data need for implementing project tasks has been unavailable, partners have developed 'fabricated data' where partners created a scenario like a real criminal investigation and recorded all personal data themselves. For this activity, all participants were volunteers who consented to their personal data being collected and processed by the project and the use of human participants was approved by the ethics review board of one of the ROXANNE project's university partners.

Only where necessary do partners process personal data.

5. Categories of Personal Data Processed in the Project

The ROXANNE project processes the following types of data for the following purposes:

- Recordings of speech to train and test algorithms for speech analysis tools that recognise characteristics of speakers;
- Text data to train and test algorithms for text analysis tools that recognise information in text, and to analyse the written responses to surveys and questionnaires;
- Metadata to train and test algorithms for network analysis that highlights links between members of social networks (much of this type of data processed in the project is anonymous);
- Contact details of persons in the project contact lists to organise and administer the project and project meetings, and to disseminate project outputs.

The project is engaged in analysis of video and images for object detection, and this activity does not involve personal data. The ROXANNE project is not engaged in researching tools for facial recognition or facial analytics.

6. Transparency Regarding the Processing of Personal Data

This data protection notice is intended to meet the requirements of Article 14 GDPR concerning information to be provided to the data subject, especially in cases where personal data has not been obtained from the data subject. Informing data subjects directly of the information listed below would in many cases have a disproportionate effect on the scientific research purpose objective, take disproportionate efforts, or would be impossible, pursuant to Article 14(5)(b).

The ROXANNE project processes the following datasets where data-subjects have not been directly informed due to the expectation that this would take disproportionate efforts, or would be impossible:

- [CSI Corpus from the University of Edinburgh](#)
- [Speaker Recognition Evaluation Test Set from the US National Institute of Science and Technology](#)
- [Call My Net Corpus from the US National Institute of Science and Technology](#)
- [CoNLL-2003](#)
- [OntoNotes](#)

- [ACE 2005 Multilingual Training Corpus](#)
- [Estonian Named Entity Recognition Dataset](#)
- Some entries in the ROXANNE contact list

Please note that only data relevant to the context of the project activities will be processed and analysed. The aim of processing the above datasets is to research data-analysis tools for LEAs, and to organise events about and disseminate information about these activities.

7. Recipients or Categories of Recipients of the Personal Data

Personal data may be shared between research partners/institutions involved in the project, strictly for the purposes of the project, provided appropriate contracts are in place. Personal data processed for research purposes is not shared with third parties outside the project unless there is a legal obligation to do so, or there is a discovery of incidental findings that related to illegal activity (this is in accordance with [European Commission policy](#)).

8. International Data Transfers

Several members of the ROXANNE consortium are located outside of the EU.

- Fondation de L'Institut de Reserche IDIAP, the project coordinator, is based in Switzerland. [The EU has made an adequacy decision with respect to Switzerland](#). The processing of personal data in Switzerland is currently regulated under the Swiss Federal Data Protection Act 1992; this is to be replaced by the Swiss Federal Data Protection Act 2021 which is expected to come into force later this year. The 2021 Act increases the protection of personal data and updates Swiss regulations to have greater equivalence to the GDPR.
- The Israel National Police are an LEA partners based in Israel. [The EU has made an adequacy decision with respect to Israel](#). The processing of personal data in Israel is regulated under Protection of Privacy Law, 5741-1981 and Protection of Privacy Regulations (Data Security) 5777-2017.
- Trilateral Research and Police Service Northern Ireland (LEA) are based in the UK. At the moment, the UK is not treated as a third country for the purposes of data transfers to/from the EU, due to provisions in the Trade and Cooperation Agreement agreed between the UK and EU. This situation will last for six months from 1st January 2021 (unless there is an objection, in which case it will last for four months), or until an adequacy decision is reached. The partners are monitoring this situation and will implement Standard Contractual Clauses in case no adequacy decision is reached. In any case, the UK implemented the GDPR in its national law under the Data Protection Act 2018. Since Brexit, it has also copied the GDPR into UK law as the 'UK GDPR'.
- INTERPOL is an international organisation, and so not subject to EU law. Data processing by INTERPOL is subject to the INTEPROL Rules of Data Processing, which provides data protection standards like the EU's GDPR.

9. Lawful Basis for Processing Personal Data

The legal basis for the processing of personal data required for research, validation, dissemination, and exploitation activities in ROXANNE varies depending on the form of personal data and the nature of the data controller and processor. This is the case across both the GDPR *and* relevant national law. Although ROXANNE is a research project involving LEAs, and is related to LEA activities, there is no processing of personal data on the basis of national law which implements Directive (EU) 2016/680, the 'Law Enforcement Directive'. The Directive is intended to regulate the processing of personal data for law enforcement activities. As a research project, LEA partners in ROXANNE are not engaging in research as a law enforcement activity.

The following table presents the legal basis relied on by partners processing the different categories of personal data described in Section 5 above. Note that partners who are located outside of the EU are obligated to act as if bound by EU law under the ROXANNE Grant Agreement, and so an equivalent legal basis has been provided for them under EU law in addition to the own national law (or organisational requirements for INTERPOL).

| Data type | Partner | Legal basis |
|-------------|--|--|
| Speech data | Fondation de L'Institut de Reserche IDIAP (CH) | Arts.5(1)(b) and 6(4), GDPR; Arts.4 and 13 Swiss Federal Data Protection act 1992. When in force, Arts.6 and 31 Swiss Federal Data Protection Act 2021 will apply. |
| | Brno University of Technology (CZ) | Arts.5(1)(b) and 6(4), GDPR; Section 16 of Act No. 110/2019 Coll. of the Czech Republic |
| | Hensoldt Analytics (AT) | Art.6(1)(f), GDPR; Art.9(2)(j), GDPR; Austrian Research Organisation Act (Forschungsorganisationsgesetz) |
| | Phonexia (CZ) | Art.6(1)(a), GDPR; Art.9(2)(a), GDPR. |
| | AIRBUS (FR) | Art.6(1)(a), GDPR; Art.9(2)(a), GDPR. |
| | Netherland Forensic Institute (NL); | Art.6(1)(a), GDPR; Art.9(2)(a), GDPR. |
| | Forensic Science Centre of Lithuania (LT) | Art. 6(1)(c),GDPR/Art 6(1)(e), GDPR; Art.9(2)(j), GDPR; Art.3(5) and 23, Law on the Forensic Examination of the Republic of Lithuania and Sub-paragraph 10.2.6 of the Regulations of FSCL, approved by the Minister of Justice of the Republic of Lithuania (Order No. 1R-312 of 21 August 2007) |
| Text data | Fondation de L'Institut de Reserche IDIAP (CH) | Arts.4 and 13 Swiss Federal Data Protection act 1992. When in force, Arts.6 and 31 Swiss Federal Data Protection Act 2021 will apply. |
| | Hensoldt Analytics (AT) | Art.6(1)(f), GDPR; Art.9(2)(j), GDPR; Austrian Research Organisation Act (Forschungsorganisationsgesetz) |
| | Saarland University (DE) | Arts.5(1)(b) and 6(4), GDPR; Art.9(2)(j), GDPR; § 22(2) Saarland Data Protection Act |
| | Netherland Forensic Institute (NL); | Art.6(1)(a), GDPR; Art.9(2)(a), GDPR. |
| | Trilateral Research (UK) | Art.6(1)(a), GDPR; Art.9(2)(a), GDPR. |
| | INTERPOL (an international organisation) | Art.6(1)(a), GDPR; Art.9(2)(a), GDPR; INTERPOL's Rules on the Processing Data, Chapters I and II. |
| | KEMEA (GR) | Art.6(1)(a), GDPR; Art.9(2)(a), GDPR. |
| Metadata | Fondation de L'Institut de Reserche IDIAP (CH) | Arts.4 and 13 Swiss Federal Data Protection act 1992. When in force, Arts.6 and 31 Swiss Federal Data Protection Act 2021 will apply. |

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| | Hensoldt Analytics (AT) | Art.6(1)(f), GDPR; Art.9(2)(j), GDPR; Austrian Research Organisation Act (Forschungsorganisationsgesetz) |
| Contact details | Capgemini (FR) | Art.6(1)(a), GDPR/Art.6(1)(f), GDPR. |
| | Trilateral Research (UK) | Art.6(1)(a), GDPR/Art.6(1)(f), GDPR. |
| | Fondation de L'Institut de Reserche IDIAP (CH) | Arts.5(1)(b) and 6(4), GDPR; Arts.4 and 13 Swiss Federal Data Protection act 1992. When in force, Arts.6 and 31 Swiss Federal Data Protection Act 2021 will apply. |

10. Storage and Retention

Personal data will not be stored longer than is necessary for the research purposes pursued by the ROXANNE project. Over the course of the project, data will be reviewed periodically, and the necessity of ongoing storage assessed. Data which is no longer necessary will be anonymised or deleted. The project is scheduled to end in December 2022. At this point, each partner will individually re-assess whether further storage is necessary and lawful. The maximum duration of data retention will be five years following the completion of the project in order to fulfil any reporting requirements to the European Commission.

11. Data Subjects' Rights and Limitations

If your personal data is processed by ROXANNE, you have the following rights, subject to restrictions laid down in law.

Subject access request (Article 15 GDPR)

You have the right to obtain confirmation as to whether or not ROXANNE is processing personal data concerning you, and, where that is the case, access to it. We will provide you with a copy of your personal data undergoing processing in a commonly used electronic form.

Right to rectification (Articles 16 and 18 GDPR)

You also have the right to obtain the rectification of any inaccurate personal data concerning you. If you have challenged the accuracy of your data and asked for rectification you have the right to request the restriction of processing while we are considering your rectification request.

Right to be forgotten (Article 17 GDPR)

In case you object to the processing of your data and there is no lawful basis to retain your data, we will comply with your request and erase your data.

Please note that your right to be forgotten might be limited, such as where the erasure is likely to seriously impair the achievement of the research purposes of the project.

Right to object (Articles 21 and 18 GDPR)

You can object to the processing of your data by ROXANNE. In order to do that, you must provide us with specific reasons based upon your particular situation. Please note that the right to object is not an absolute right. The project will consider your objection and determine how best to respond.

If the processing is carried out for the performance of a task in the public interest (Article 6(1)(e) GDPR) or for a legitimate interest (Article 6(1)(f) GDPR), we can continue with the processing if we can demonstrate compelling legitimate grounds for the processing, which override your interests, rights, and freedoms. If the processing is carried out for scientific research purposes (Article 9(2)(j) GDPR), we can continue with the processing if the processing is necessary for the performance of a task in the public interest.

If any of these are the case, we will explain our decision to you, otherwise your data will be excluded from processing. You have the right to request the restriction of processing while we are considering your objection.

Right to lodge a complaint with supervisory authority (Article 77 GDPR)

If you believe that your rights have been infringed, you can lodge a complaint with any supervisory authority, including the authority where you reside, work or where the infringement on your rights is suspected. This is without prejudice to any other administrative or judicial remedy you have.

11.1. Limitations on Data Subject's Rights

It is possible that national laws will exist which restrict the rights of the data subjects listed above. For example, national law, which is necessary and proportionate, may provide for such restrictions if they are intended to safeguard the prevention, investigation, detection, or prosecution of criminal offences pursuant to Article 23(1)(d) GDPR. National law can also derogate from some of the rights set out above in circumstances where the data is processed for scientific research purposes, pursuant to Article 89(2) GDPR.

The project consortium is not obliged to maintain, acquire, or process additional information in order to identify the data subject for the sole purpose of complying with the GDPR pursuant to Article 11(1). However, pursuant to Article 11 (2) GDPR, where data subjects provide additional information in order to exercise their rights, the ROXANNE consortium will handle the request in a manner compliant with technical and legal requirements. In this regard, the identity of the data subject, as well as their relation to the data referred to in the request has to be sufficiently verified.

Although data subjects' rights may be restricted under the conditions described, all requests to the abovementioned points of contact will be carefully assessed on a case-by-case basis and replied to.

12. Contact Details

To contact the project about personal data processing, you can get in touch with the Co-ordinating partner, which is the Fondation de L'Institut de Reserche IDIAP, or the partner leading work on data protection issues, which is Trilateral Research. The contact details for these partners are below.

Project coordinator:

Dr. Petr Motlicek: petr.motlicek@idiap.ch.

Ethics and legal adviser:

Dr. Joshua Hughes: joshua.hughes@trilateralresearch.com