

# Eurosystem Household Finance and Consumption Survey

## Research dataset request form

## Instructions

Please, save the form in Acrobat Reader or equivalent, fill in the blanks below with the required information and send it (**unsigned, unscanned**) by email to [hfcs.access@ecb.europa.eu](mailto:hfcs.access@ecb.europa.eu), together with your curriculum vitae in English. Fields marked with \* are compulsory. The application will be reviewed, and you will be informed of the *pre-acceptance* of your application or not.

**Only once this pre-acceptance is obtained**, you should print the document, sign the application form, the privacy statement and the confidentiality agreement included therein, and submit the signed and scanned forms along with a copy of an official identification document, requested in section 7 below, to [hfcs.access@ecb.europa.eu](mailto:hfcs.access@ecb.europa.eu) for the final approval to be granted.

In case of a joint research proposal, only one application form, filled in by the principal investigator (lead researcher) in the project, needs to be completed in full. All other researchers need to submit an application form with sections 1, 2.2, 5 and 8 filled in, and referring in section 2.1 to the title of the joint proposal. All researchers have to submit the confidentiality declaration (both unsigned and signed in electronic format by email), the signed privacy statement and the documents requested under section 7.

Bachelor and Master students shall fill out the forms with their professor as principal investigator.



# 1 Identification

## 1.1 Personal details

First name\*

Last name\*

Address (no P.O. box allowed)\*

City\*

Postal code\*

Country\*

Email\*

Mobile phone\*

Fax

Lead researcher in the project:

## 1.2 Professional affiliation

Job title\*

Name of the institution\*

Department

Address\*

City\*

Postal code\*

Country\*

Website\*

## 2 Research plans

### 2.1 Description of the planned research project

Please describe the subject of the proposed research, the purpose of the research, the possible methodology, and why the data are relevant and needed for the research subject. As guidance, 100 to 200 words are expected.

#### 2.1.1 Research project title:\*

If you are not the lead researcher in a joint project, you can skip to section 2.2 below.

#### 2.1.2 Research project description:\*

### 2.2 Joint project – co-authors

If this is a joint project with other researchers, please indicate the names and professional affiliation of the co-authors who will require access to the micro-data. **All these co-authors will need to fill in this form, as indicated in the instructions.** The lead researcher in the project should be listed first.

## 3 Use of research results

### 3.1 Availability of results

Do you have the intention to make the research results available to the scientific community through the usual channels (publications, conferences, working papers, discussion papers, websites)?\*

Yes                      No

Please provide details below\*

### 3.2 Use for internal reports

Will the research results or a part of them be used for purely internal reports or purposes?\*

Yes                      No                      Not sure

If "Yes" or "Not sure", please provide details below:

### 3.3 Other uses of the research results

Please describe other intended uses of the research results (e.g. consultancy contracts or other non-scientific types of use and/or publication)

## 4 Identification of the research funding sources

### 4.1 Funding of the research project

If your research project is partly or entirely funded by one or several organisations (either public or private), please indicate in the space below the name of each organisation.

NOTE: If there is more than one organisation funding the research project, please provide the information listed in this point related to the additional organisations as a separate annex.

Name of the funding organization\*

Country\*

Project name or identification number\*

URL

Please provide details below:

## 5 Security of data storage

Please note that any information to which you are granted access is confidential. How do you protect confidential information from unauthorised access?\*

Tick all boxes that apply; at least one of the security measures in each of the three groups below is required. Your reply may affect the success of the application. Provided you are granted an access to any relevant data, the below security safeguards are deemed to be binding upon you.

### 5.1 Logical file security\*

Confidential information is stored on internal drives protected by password access

Confidential information is stored on network drives protected by personal access privileges

Researchers access confidential information on intranet networks which are protected by access privileges

### 5.2 Physical security\*

Confidential information printed on paper is stored in locked drawers when unattended

Confidential information stored on external storage devices, such as CD-ROMs or external drives, is kept under lock and key inside the research department/unit

### 5.3 Premises security\*

Access to the premises where the research takes place is restricted to authorised personnel only

Research department/unit premises are locked when unattended

### 5.4 Other security measures

Other, please provide details below:

## 6 Terms and conditions for the usage of the data

The following is a summary of the confidentiality declaration that you must sign before accessing the data (see below).

- The data may not be used for any purpose other than for the scientific purposes mentioned in this research proposal; commercial use is strictly prohibited.
- The use of the data is under your full and exclusive responsibility.
- You must respect the confidentiality of the data and ensure an adequately high level of protection. Signing a confidentiality declaration provided by the European Central Bank (ECB) is required.
- You may not duplicate, transfer, disclose, publish or otherwise reveal to any third party the data, absent the explicit authorisation of the ECB.
- You must mention the source of the data in any publication, including especially tables and charts that you may compile based on the data: 'Eurosystem Household Finance and Consumption Survey'. In addition, an acknowledgment has to be included in the following form: 'This paper uses data from the Eurosystem Household Finance and Consumption Survey.'
- You must send a copy of your research work based on the data to the ECB by e-mail to [hfcs.access@ecb.europa.eu](mailto:hfcs.access@ecb.europa.eu).
- You must destroy the data immediately either (a) after the research purpose defined in the application has been met, or (b) the ultimate time limit of five years has been met, unless you have re-applied for access to the data and the ECB has granted new access, whichever of the options (a) or (b) is earlier. In case of successful re-application the obligation to destroy the data under options (a) or (b) applies once again.



## 7 Additional required documentation

Please

1. acknowledge and sign the confidentiality declaration attached to this request form (saved as: *access\_form\_leadresearchersurname\_researchersurname\_signed.pdf*);
2. provide a photocopy of your government-issued photo identification document (saved as: *ID\_surname.pdf*);
3. provide a Resume or Curriculum Vitae in English (in PDF or simple text format saved as: *CV\_surname.pdf*).

## 8 Correctness of the information, good faith and authorisation

I hereby certify that the information contained in this application is complete, accurate and correct and that I will report any future change immediately to the ECB. I acknowledge that the ECB is entitled to check at any moment the accuracy of the information given in this form and should my authorisation for it be required, I hereby grant it to the ECB. I acknowledge that the ECB may request additional information from me and that the filing of this request does not automatically entitle me to receive access to the research dataset.

If applicable, if you have filled paragraph 1.2 of this application, tick the following:

I hereby certify that I am a staff member of, or am affiliated with (i.e. conducting scientific work under the auspices of) the organisation/institute specified under paragraph 1.2 of this application.

Place .....

Date ...../...../.....

Signature:

## 8.1 Privacy Statement for the access to the research dataset of the Eurosystem Household Finance and Consumption Survey

### 1. Applicable Data Protection Framework

The European Central Bank (ECB) processes your personal data in line with EU Data Protection law<sup>1</sup>.

### 2. Controller

The ECB is the controller and the Statistics Development and Co-ordination Division within the Directorate General Statistics is responsible for processing your personal data.

### 3. Categories of data processed

The following data are collected and further processed by the ECB:

- Your personal details and professional affiliation;
- A photocopy of your government-issued photo identification document;
- Your curriculum vitae;
- Information regarding your research plans;
- Identification of your research funding sources;
- The names and professional affiliation of your co-authors (if you participate in joint project with other researchers); and
- Any other personal data you provided in this request form.

### 4. Purpose of processing your personal data

Your personal data are collected and further processed for the purposes of granting access to the research dataset of the Household Finance and Consumption Survey (HFCS) as well as any further monitoring of such access.

### 5. Legal basis of processing your personal data

Your personal data are collected and further processed on the basis of Articles 5.1 (a) and (b) of Regulation (EU) 2018/1725 in conjunction with Article 5 Statute of the European System of Central Banks and of the European Central Bank, as well as the relevant provisions of the Manual of Procedures for the Conduct of the Household Finance and Consumption Survey as adopted by the Governing Council of the ECB.

### 6. Recipients

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<sup>1</sup> Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002, OJ L 295, 21.11.2018, p. 39–98.

Your personal data are disclosed to the following recipients:

- Limited number of dedicated ECB staff of the Statistics Development and Co-ordination Division within the Directorate General Statistics;
- Other dedicated ECB staff members providing opinions and advice, such as for example Legal Services;
- External experts and contractors working on behalf of the ECB in the context of HFCS such as for example external legal counsels;

The list of accepted requests (names, institutions, and title of research project) will be shared with the members of the Household Finance and Consumption Network.

- With regard to data requests from researchers working in commercial institutions and where additional approval of the relevant National Central Banks and/or National Statistical Institutions is required, your personal data may also be shared with them.

## 7. Data Retention

Your personal data are stored for a maximum period of two years following the closure of your research project (including any extensions) and deleted thereafter.

## 8. Your Rights

You have the right to access your personal data and correct any data that is inaccurate or incomplete. You have also (with some limitations) the rights to delete your personal data, to restrict or object to the processing of your personal data in line with Regulation (EU) 2018/1725.

You can exercise your rights by contacting the Statistics Development and Co-ordination Division at the Directorate General Statistics at [hfcs.access@ecb.europa.eu](mailto:hfcs.access@ecb.europa.eu).

For all queries relating to personal data, please contact the ECB's Data Protection Officer at [dpo@ecb.europa.eu](mailto:dpo@ecb.europa.eu).

## 9. Recourse

If you consider that your rights under Regulation (EU) 2018/1725 have been infringed as a result of the processing of your personal data, you have the right to lodge a complaint with the European Data Protection Supervisor at any time.

## 10. Changes to this Privacy Statement

This Privacy Statement may be changed to take into account new legal developments.

I confirm that I have read and understood the entire Privacy Statement.

Name of the researcher .....

Signature of the researcher .....

## 9 Confidentiality commitment

Mr / Ms

(the 'Researcher')

herewith declares in relation to a request for access to the Eurosystem Household Finance and Consumption Survey (HFCS) 'research dataset' (hereinafter the 'data') and any subsequent use of the information contained in the data supplied by the European Central Bank (ECB) that he/she undertakes to abide by the following obligations:

1. The Researcher requesting access to the data acknowledges that the data, including any copy or parts thereof containing information which is based on data collected from households and/or individual-level information derived from the data are confidential and proprietary to the ECB (and/or to the entities which provide data to the ECB). Notwithstanding the fact that, due to its sensitive nature, the data has been anonymised, they may not be used by any unauthorised persons (whereby an unauthorised person means any third party other than those to whom the ECB has explicitly authorised the Researcher to grant access to the anonymised data).

The Researcher agrees to treat the data with the confidentiality safeguards, details of which are included in section 5 of the application and not to divulge the data to any unauthorised persons.

The Researcher agrees not to use the data for any purpose other than for the scientific purposes mentioned in the research proposal submitted in the access request attached to this confidentiality commitment (the 'application') nor in support of measures or decisions concerning any particular individual, household, economic entity or other undertaking.

The Researcher agrees not to disclose or otherwise employ the data for commercial purposes.

The Researcher agrees not to duplicate, transfer, disclose, publish or otherwise reveal the data to any third party in the absence of express authorization by the ECB.

The Researcher shall refrain from any attempt to de-anonymise the data and shall not combine the data with other databases containing information on individual households or persons with that aim in mind.

2. The Researcher shall mention the source of the data in any publication including, in particular, tables and charts compiled on the basis of the data. The data source shall be cited as: 'Eurosystem Household Finance and Consumption Survey'. In addition, an acknowledgement must be included in the following form: 'This paper uses data from the Eurosystem Household Finance and Consumption Survey. The results published and the related observations and analysis may not correspond to results or analysis of the data producers.'

The Researcher shall send a copy of their research work based on the data to the ECB by e-mail to: [hfcs.access@ecb.europa.eu](mailto:hfcs.access@ecb.europa.eu).

3. The Researcher shall implement appropriate technical, organisational and administrative measures (details of which are included in the application) to prevent:
  - (a) any accidental disclosure of the data to any third party, any accidental access to the data by any third party, and any accidental loss or alteration of the data, and

(b) any unlawful disclosure of the data to any third party, any unlawful access to the data by any third party, and all other unlawful forms of processing.

4. The Researcher understands that any contravention of the abovementioned obligations:

(a) may be reported by the ECB to the competent authorities,

(b) may be subject to prosecution under the applicable law and result in civil and/or criminal liability, and

(c) will result in an obligation to destroy the data.

5. The Researcher assumes full and exclusive responsibility for the use of the data.

6. The Researcher shall dispose of the data in accordance with the methods set out in paragraph 7 as soon as one of the following conditions is satisfied, whichever is the earliest, (i) the research purpose defined in the application has been achieved, (ii) the maximum time limit of five years has expired, except where the Researcher has re-applied for access to the data and the ECB has granted such, or (iii) upon the occurrence of an accidental or unlawful disclosure of the data as set out in paragraph 3. In the case of a successful re-application to use the data, the obligation to dispose of such on satisfaction of any of the conditions (i) to (iii) above shall apply accordingly.

7. The Researcher shall dispose of any paper form of the data only in a manner appropriate for confidential waste (disposal in specific confidential waste containers of the organisation to which the Researcher is affiliated as referred to in the application, or by means of confidential waste shredders), any electronic form of the data by permanent, non-retrievable deletion and any other form of the data (such as on CD-ROM) by returning them to the ECB.

8. This confidentiality commitment shall terminate when the data in their entirety have been disposed of by the researcher in accordance with the methods set out in paragraph 7 above. A change in circumstances such as a change of research department or unit or termination of the affiliation relationship referred to in the application shall not constitute a valid cause for termination of this commitment. Notwithstanding any termination of this commitment, the obligation to keep confidential all information obtained in the course of using the data shall remain valid also after that date.

If the Researcher discloses the data or has not taken appropriate measures to restrict access to the data, for each breach for which the Researcher is responsible, the ECB may impose a penalty on the Researcher to an amount not exceeding EUR 10 000. Within that limit, the ECB shall determine the amount payable using its equitable discretion taking into account the seriousness of the breach and the damage caused to the ECB. Imposition of this penalty does not prevent the ECB from claiming further damages or taking other legal measures. The Researcher hereby agrees to discharge any penalty within three weeks of the date on which it was imposed.

9. Should the ECB and the Researcher be unable to reach agreement on any dispute arising out of this declaration of confidentiality, the matter in dispute shall be referred to the jurisdiction of the competent court in Frankfurt am Main.

10. This declaration shall be governed by and interpreted according to German law.

Agreed

Place and Date

Signature