

## PILOT PROJECT ON RESEARCH ACCESS TO CSI COLLECTED UNDER COUNCIL REGULATION 2533/98

### CRITERIA FOR DESIGNATING ELIGIBLE RESEARCHERS

The European Central Bank (ECB) may grant access to the iMIR and iBSI datasets (hereinafter the 'research datasets') in the context of a pilot project only to persons affiliated with scientific research bodies. This is to ensure that access to the research datasets is in line with [Article 8.1c of Council Regulation 2533/98](#). Commercial use of the research datasets is strictly prohibited.

These conditions are published on the ECB's website to inform researchers of the applicable conditions and procedures for applying for access to the research dataset. The ECB will try to minimise delays in handling applications to the extent possible.

#### **1. Affiliated researchers and eligible scientific research bodies**

An affiliated researcher is a natural person who is a staff member or affiliated with a scientific research body. For the purpose of this pilot project an eligible scientific research body is an entity which is recognized by Eurostat as a research entity based on [Article 4 of Commission Regulation 557/2013](#), excluding commercial companies. Scientific research bodies may apply for recognition as research entity with Eurostat to participate in this pilot project. If the affiliated researcher is not in fact carrying out the research at the institution they are affiliated with, they will not be eligible to apply for data access.

As a general rule, persons who are currently performing a commercial activity for banks or financial service providers (in particular insurers or investment companies), a commercial activity pertaining to financial topics on behalf of other companies, a commercial self-employed financial activity, or are due to start such an activity during the term of the research project, cannot be eligible researchers. This also includes consulting services and the preparation of expert opinions. If such an activity is being performed, the ECB has the right, after weighing up existing or potential conflicts of interest, to withdraw access to confidential data, thus ending the involvement of the researcher in the research project.

The performance of a function in an official body (e.g. supervisory board) or employment with a bank or a financial service provider, or the appointment to start such a function/employment during the term of the

research project, leads to the ECB immediately terminating access to its confidential data and the involvement of the researcher in the research project for good cause.

## **2. Conditions for access to the research dataset (safeguards)**

The ECB may grant access to the datasets to researchers affiliated with scientific research bodies who have submitted an application for access to the ECB, as set out below. In joint research projects with several researchers working on the same project, each researcher should send an individual application specifying which joint research project their request relates to.

- a. The applicant must provide the ECB with the following information:
  - i. their name, phone number and address, together with proof of their identity, and information supporting that they are eligible to submit an application requesting access to the research dataset (e.g. their affiliation with an entity as described in paragraph 1, above),
  - ii. their resume or curriculum vitae,
  - iii. a research plan relating to the research project in view of which access to the datasets is requested,
  - iv. where applicable, the legal name(s) and address(es) of the organisation(s) (either public or private) that fund the research project, partially or entirely.
- b. A research plan must concisely:
  - i. describe the subject of the research,
  - ii. establish the necessity of data access, the relevance and the adequacy of the data, having regard to the researcher's project,
- c. The applicant must provide details on how and when the research results will be made available to the scientific community and which other uses cases for the results are considered,
- d. All researchers involved in the research project must acknowledge and sign the data usage terms and conditions and the confidentiality obligations (template in Annex 2);
- e. The applicant must confirm with their signature the accuracy and correctness of the information provided in the application.

### **3. Criteria used to assess requests to access the research dataset**

The ECB will assess applications according to the criteria outlined below:

#### ***Mandatory criterion n°1***

All mandatory fields are filled in (notably name, phone number, address, research plan, use of results, resume or curriculum vitae, and identification document attached, forms signed).

Coherence in the information provided is verified (such as, but not limited to: the identification provided matches the name, the institution of affiliation exists, the curriculum vitae matches the name and the institution).

#### ***Mandatory criterion n°2***

The confidential statistical information of the iMIR and iBSI can only be used for research purposes. Different elements of the application form are used to verify this.

The research plan, in conjunction with the background of the researcher (resume or curriculum vitae) and the intended dissemination of results, should offer sufficient elements to conclude that the purpose of the data request is to carry out research. There is no assessment in any way on the quality of the (intended) research, but only an assessment that the intended use is indeed research. The funding (if relevant to the intended research described) and the intention to publish are additional elements that may be used in case of doubts and if relevant in the context. The research purpose will be verified using all elements in conjunction. In case of doubt, the ECB will ask the researcher for further information and/or clarification.

#### ***Procedure in case one of the mandatory criteria is not met***

Should at least one of the mandatory criteria not be met, the ECB will contact the researcher and request clarification and/or correction of the relevant criteria. This might include, but not be limited to:

- Correcting some piece of information (e.g. information in application and curriculum vitae do not match);
- Verifying elements of the curriculum vitae (e.g. the activity of the institution or the link between the applicant and the institution);
- Requesting additional information on the intended research plan.