Data protection information

This data protection information applies to the web application of the *Goethe University Data Repository* (in short: GUDe) at https://gude.uni-frankfurt.de and to the personal and non-personal data collected and processed therein.

1. Name and contact details of the controller

Responsible for the processing of personal data within the framework of GUDe is:

Johann Wolfgang Goethe-Universität Frankfurt am Main
Theodor-W.-Adorno-Platz 1
60323 Frankfurt am Main
Telefon: +49-69-798-0 | Fax: +49-69-798-18383
Internet: www.uni-frankfurt.de

Name and address of the data protection officer

Gerhard Leuck
Fachbereich Informatik und Mathematik
Rechnerbetriebsgruppe Informatik (RBI)
Raum 014b
Robert-Mayer-Straße 11 - 15
60325 Frankfurt am Main
Internet: https://www.uni-frankfurt.de/47859992/datenschutzbeauftragte
E-Mail: dsb@uni-frankfurt.de

2. Scope of data processing and legal basis

As a matter of principle, we collect and use personal data of our users only to the extent that this is necessary for the provision of a functional website and our content and services in GUDe.

The processing of data by the Johann Wolfgang Goethe-University Frankfurt (Goethe-University) is based on the data protection regulations, in particular the General Data Protection Regulation (in short: DSGVO), the Federal Data Protection Act (in short: BDSG) and the Hessian Data Protection and Freedom of Information Act (in short: HDSIG) in their respective applicable versions. In addition, the processing is based on the statutory task of cultivation and developing the sciences and arts (Section 3 (1) HHG) and maintaining the historical heritage (Section 6 (2) No. 1 HHG).

When processing personal data that is necessary for the performance of a contract to which you as the data subject are a party, Art. 6 (1) lit. b DSGVO serves as the legal basis. This also applies to processing operations that are necessary for the implementation of pre-contractual measures.

Insofar as the processing of personal data is necessary for the fulfilment of a legal obligation to which we are subject as a university, Art. 6 (1) lit. c DSGVO serves as the legal basis.

If the processing is necessary to protect a legitimate interest of our university or a third party and if the interests, fundamental rights and freedoms of the data subject do not outweigh the first-mentioned interest, Art. 6 (1) lit. f DSGVO serves as the legal basis for the processing.

3. Processing of the data

The purpose of the institutional repository of Goethe University is the long-term and reliable storage and - if desired - publication of research data of members and staff of Goethe University as well as of cooperating scientists in the sense of the legal task of the cultivation and development of the sciences and arts (§ 3 para. 1 HHG) and the maintenance of the historical heritage (§ 6 para. 2 no. 1 HHG). The storage of research data containing personal or sensitive data is prohibited in GUDe.

In the following, research data with the accompanying metadata are referred to as **digital objects**, and public datasets without research data are referred to as **datasets** (for example, for projects, institutions, and individuals). If both digital objects and data sets are meant, the term **submissions** is used.

3.1 Personal data

According to Article 4 GDPR, "personal data" means any information relating to an identified or identifiable natural person [...]; an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. In GUDe, the personal data described as follows are collected, stored and/or processed.

3.2 Data for the technical delivery of the website

In order for the web application to deliver the web page to the user's computer or web browser, temporary processing of the full IP address by the web server and the downstream web applications is necessary for technical reasons.

3.3 Non-authenticated use of the web application

For non-authenticated users, the web application generally does not collect and process any personal data beyond the temporary processing of the full IP address.

3.4 Authenticated use of the web application using personal accounts

Depending on the usage scenario (governed by the terms of use) and the institutional affiliation of the users, different identity providers are available for the authenticated use of the web

application, currently the HRZ of Goethe University, the federated login via the DFN-Verein via Shibboleth (hereinafter referred to as Shibboleth) or the non-profit organization ORCID. Depending on the identity provider, the following personal data is usually collected and processed during registration according to GUDe:

- Name of the user
- the selected identity provider (if applicable the name of the home organization)
- e-mail address stored with the identity provider
- Internal identifiers: UID or ORCID-iD
- user name and/or user ID
- Password and/or session cookies (tokens)
- Belongings to roles, groups, collections and digital objects and data sets in GUDe

Local accounts are set up - usually for a limited time - to carry out administrative and internal activities. Here, only the e-mail address, user name and/or user ID, and a password and/or session cookies (tokens) of the users are recorded.

The identity providers offered set their own rules for the collection, processing and transmission of personal data or are based on the express consent of the users. Among others, these are:

- For members and staff of Goethe University, these include HHG, HImV, Tariff Law, Civil Service Law, Personnel Law and DSGVO.
- For authentication via Shibboleth, the legal provisions of the respective home organization apply.
- For registration via ORCID, consent to the data protection regulations of the ORCID non-profit organization is a prerequisite.

The following time limits apply to the automatic deletion of accounts in GUDe based on the identity provider used in each case:

- for HRZ accounts: three months after leaving Goethe University
- for Shibboleth users: after one year of inactivity

Accounts created via ORCID are not automatically deleted. In addition, users of the other two identity providers can voluntarily transfer already claimed reading rights for digital objects to a new account based on an ORCID-iD before their accounts are automatically deleted. This allows permanent access to their own digital objects and serves good scientific practice.

Accounts (based on all identity providers) can be deleted at the request of the user (contact form of GUDe) - taking into account the publication agreement and the terms of use. The access to unpublished digital objects, which were assigned to this account, ceases with it.

On a voluntary basis, users can subscribe to a list of newly submitted digital objects in form of an email subscription (daily, weekly or monthly). This function can be deactivated at any time.

3.5 Publication data

After the initial registration, a linkable data record on the person (personal dataset) is also created in GUDe from the personal data transmitted for authentication. This consists solely of:

- First and last name

and can be provided on a voluntary basis with:

- Unique author identifiers (e.g. ORCID-iD, GND).
- Links to records of institutions and projects

by the user him/herself. This personal data set can be completely deleted and also (re-)created by the user. After deactivation of the account, this personal data set can also be later deleted upon request via the contact form of GUDe. However, the absence of a personal data set impairs the usability of GUDe by reducing the findability and interconnectivity of submissions.

In submissions created and published by users, the following personal data is typically stored, processed and, if applicable, published:

- First and last name, title, and roles (e.g., author, editor).
- Unique author identifiers (e.g. ORCID-iD, GND)
- Information on organizational affiliation and official contact details (e.g. university, faculty, institute)

These data serve to clearly prove and acknowledge authorship and scientific achievement, as well as to make the submissions citable and easier to find. Users ensure that their own data and the data of any persons involved may be published worldwide.

Upon publication of the submissions, the University transfers and provides this personal data to third parties through interfaces as follows:

- to the German National Library within the scope of reporting obligations for the purpose of archiving and proof in the German National Bibliography
- to the registration agency DataCite for the unique assignment of permanent identifiers for publications (DOI)
- to scientific and general search engines such as Google, Google Scholar, BASE, etc.
- to third parties and crawlers worldwide, via standardized interfaces such as OAI (Open Archives Initiative)

Publication, and thus distribution and worldwide accessibility, will only take place with the consent of the publication agreement and the terms of use.

On a voluntary basis, GUDe also offers the possibility to synchronize the metadata of the submitted digital objects, in which the user is involved in any role, with their own ORCID profile. In the course of the corresponding authorization, personalized tokens (access & refresh)

and permissions (granted scope) are exchanged between GUDe and the ORCID website. This opens up the possibility for the user to present their submissions in GUDe also on the pages of ORCID in the form of a personal bibliography.

3.6 Contact form

If you send us inquiries via the contact form, your data from the inquiry form including the contact data you provided there will be stored by us for the purpose of processing the inquiry and in case of follow-up questions. We do not pass on this data without your consent.

The processing of this data is based on Art. 6 (1) lit. b DSGVO, if your request is related to the performance of a contract or is necessary for the implementation of pre-contractual measures. In all other cases, the processing is based on our legitimate interest in the effective processing of requests addressed to us (Art. 6 (1) (f) DSGVO).

The data you enter in the contact form will remain with us until you request its deletion or the purpose for storing the data no longer applies (e.g. after processing your request has been completed). Mandatory legal provisions - in particular retention periods - remain unaffected.

3.7 Cookies

The website and application of GUDe uses cookies. A so-called cookie is a text fragment that the website places on the requestor's computer via the web browser and whose content is transmitted to the website again each time the web browser accesses it.

Temporary cookies are set for purposes that are purely limited to the functionality of the web application and do not allow the user to be identified across applications.

In particular, this includes the following purposes:

Authentication of the current web session of the user towards the web application (token)

- Authentication of the current web session of the user's central identity provider towards the web application.
- Storage for application-specific settings, e.g., language selected by the user, session runtime, etc.

These purposes also constitute the legitimate interest of Goethe University in processing the personal data pursuant to Art. 6 (1) lit. f DSGVO.

The user data collected through technically necessary cookies are not used to create user profiles.

Cookies are stored on the user's computer and transmitted from it to the GUDe website. Therefore, you as a user also have full control over the use of cookies. The storage of cookies can be disabled in the web browser used. In this case, no cookies will be stored. As a result, however, no personal functions of the website can be executed (see above).

3.8 Logged data in the web server

When you access the website, the following personal data is stored in the form of access logs of the web server:

- IP address
- Access date/time
- access method
- access success
- accessed resource
- transferred data volume
- Web browser name

In the access logs created by the web server, the IP address of the users is usually processed anonymously and stored for a period of 14 full days. This data is used solely for the purpose of improving GUDe and monitoring the correct functioning of the service and error tracking. In order to resolve technical incidents, the above-mentioned data may be kept for a longer period of time. They will then be deleted immediately after the fault has been resolved.

In order to fend off an ongoing or imminent intentional attack on the website and to preserve evidence, Goethe University reserves the right to temporarily deactivate the anonymization of the IP address in the log files.

3.9 Logged data in the web application

When you access the website, the following data is **permanently** stored in the form of access logs of the web application after authentication for the purpose of scientific traceability and reusability:

- Login
- User name
- IP address
- Actions performed (e.g., submitting, editing, sharing, or publishing Digital Objects and non-research datasets)
- Access rights to areas, collections and individual digital objects

GUDe is divided into different communities and collections based on a simplified organizational structure of Goethe University. Users can store digital objects in these areas with different read and write permissions. Upon submission, the user is shown the current settings for write and read permissions (groups and, if applicable, individual users) for the selected collection.

3.10 Logged data for statistical evaluation

For the presentation of general usage statistics and the optimization of internal processes, GUDe collects the following non-personal data - without assignment to specific users - **permanently** in aggregated form:

- The number of views and downloads (also of parts) of submissions
- Terms in the various search dialogues
- Workflow statistics (e.g., number of review processes, number of accepted and rejected submissions, etc.)
- IP address location (obtained from local database)

3.11 No automated decision making

A processing of your personal data for the purpose of automated decision making (including profiling) pursuant to Art. 22 (1) DSGVO does not take place.

The collection of this data is based on Art. 6 para. 1 lit. f DSGVO. Goethe-University as the operator of the repository has a legitimate interest in the technically error-free presentation and usability as well as the optimization of the web application - for this purpose, the data mentioned in the section Processing of data must be collected.

4. Storage duration

Unless a more specific storage period has been specified within this data protection information, your personal data will remain in GUDe until the purpose for the data processing no longer applies. If you assert a legitimate request for deletion or revoke consent for data processing, your data will be deleted unless Goethe-Universtiy has other legally permissible reasons for storing your personal data (e.g. retention periods under tax law); in the latter case, deletion will take place after these reasons cease to apply.

5. Location of processing and storage

The web application of GUDe and the data processed in the web application are processed and stored by ourselves in Frankfurt a.M. in the state of Hesse in the Federal Republic of Germany.

6. Data security

Unfortunately, the transmission of information over the Internet is never 100% secure, so we cannot guarantee the security of data transmitted over the Internet to our website.

However, we secure our website by technical and organizational measures against loss, destruction, access, modification or distribution of your data by unauthorized persons.

In particular, your personal data is transmitted encrypted when you access this website. We use the SSL/TLS (Secure Sockets Layer/Transport Layer Security) coding system for this. Our security measures are continuously improved in line with technological developments.

7. Links to websites of other providers

The websites of GUDe may contain references ("links") to websites of other providers. Goethe-University has no influence on the data processing procedures and the possibilities of exercising rights on the linked website. However, to the extent that we place external links on our website, we have checked them to the best of our knowledge and belief at the time they were provided. The respective provider or operator of the sites is always responsible for the content of the linked sites. For details, please contact the provider of the relevant website (including the data protection statement available there). If we become aware of any legal violations, we will remove such links immediately.

8. Sharing your data

The data stored when you access the website will generally not be shared with third parties, unless it is specifically intended to be shared. Please note that we may be obliged by law or by a court decision to disclose it, or that this may be necessary for legal or criminal prosecution in the event of an attack on the website.

9. Your rights

As a user of the website, you have various rights in accordance with the DSGVO and the HDSIG with regard to your stored personal data:

- Right of access (Article 15),
- Right to correction (Article 16),
- Right to deletion (Article 17),
- Right to restriction of processing (Article 18),
- Right to data portability, in a common, structured and machine-readable form (Article 20),
- Right to withdraw your consent and object to processing (Article 21).

To assert your rights, you can contact us via the GUDe contact form or the Goethe University data protection officer.

Insofar as data processing is based on your consent, you have the right to revoke your consent in whole or in part at any time without giving reasons. You can declare this revocation informally to Goethe-University. The legitimacy of the previous processing of your personal data remains unaffected by your revocation.

If you believe that Goethe University has not complied with data protection regulations when processing your data, you can file a complaint with the Goethe University's official data protection officer or with the supervisory authority for public bodies processing data in the state of Hesse to have it reviewed.

Contact address of the supervisory authority of the Goethe-University Frankfurt am Main:

Hessischer Beauftragter für Datenschutz und Informationsfreiheit
Postfach 3163
65021 Wiesbaden
Telefon: +49-611-1408-0 | Fax: +49-611-1408-611
Internet: https://datenschutz.hessen.de/über-uns/kontakt

10. Amendment of this data protection information

Due to the further development of GUDe, the implementation of new technologies or other occasions, changes to the content of this data protection information may become necessary. You will always find the current version on this website.

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