

ASTAIR Requirement No.1

HUMANS

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Abstract

ASTAIR project hereby acknowledges that ethics is given the highest priority in EU funded research and that activities carried out under Horizon Europe must comply with ethical principles and relevant national, EU and international legislation, such as the Charter of Fundamental Rights of the European union and the European Convention on Human Rights.

ASTAIR project hereby also acknowledges that pursuant to the Grant Agreement the beneficiaries must carry out the action in compliance with:

- Ethical principles (including the highest standards of research integrity as set out, for instance, in the European Code of Conduct for Research Integrity and including, in particular, avoiding fabrication, falsification, plagiarism or another research misconduct),
- Applicable international, EU and national law.

ASTAIR plans to organize web surveys, interviews, workshop events and validation activities.

Authoring & approval

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¹ Representatives of all the beneficiaries involved in the project

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ASTAIR

AUTO-STEER TAXI AT AIRPORT

ASTAIR

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1 Introduction

ASTAIR goal is to design a seamless partnership between Human and Artificial Intelligence (AI) to manage and perform engine-off and conventional taxiing operations on all the airport surfaces (including aircraft and towing vehicles steering from the gates to the runways at major European airports). Increasing the level of automation overlooking all ground movements will help increase the general predictability of airport turnaround operations and cope with the additional complexity induced by engine-off taxiing techniques.

This document describes the procedures and criteria that will be used to identify/recruit research participants. It contains the informed consent procedures that will be implemented for the participation of humans, the definition of the informed consent/assent forms templates and information sheets.

1.1 Applicable Reference material

Unless otherwise stated, the execution of the project **will be fully compliant** with the latest version of the SESAR 3 Project Handbook 01.00 (April 2022) available in STELLAR Program Library.

- [1] ASTAIR Grant Agreement Description of Action - GA-101114684-ASTAIR
- [2] Ethics and data protection: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-and-data-protection_he_en.pdf

2 Ethics Requirements

The ethical standards and guidelines of Horizon Europe will be rigorously applied, regardless of the country in which the research is carried out. All participants institutions are required to comply with the “Regulation (EU) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (General Data Protection Regulation)”, and with any updates on standards or requirements it might receive during the lifetime of the project.

The EC’s requirements are stipulated in GA Article 14 - Ethics.

The ethics requirements that have been identified for ASTAIR are related to Humans (this document) and personal data (Protection of Personal Data (POPD) document).

“Personal data” refers to any information, private or professional, which relates to an identified or identifiable natural person (for the full definition, see Chapter 2(a) of Regulation (EU) 2016/679 of 27 April 2016).

Collected personal data will include the name of participants, contact and details, and the organisations they are affiliated to, and will be kept confidential unless otherwise agreed upon by the participant.

The data will be stored in accordance with EU protection directives.

2.1 Procedures and criteria that will be used to identify/recruit research participants

ASTAIR project foresees:

- Web questionnaire and interviews to airport ground operations actors,
- Workshops involving Advisory Board participants and other identified stakeholders,
- Validation activities involving end users and other identified stakeholders.

Identified/Recruited personnel will be healthy adults (no vulnerable adults) and allocated on a voluntary basis.

Participants will be identified and allocated in a timely manner. To ensure that participants are aware of the purpose of the questionnaire/workshop/validation exercise and their rights, they will be given an information sheet and inform consent form to sign prior to the activity.

The original copies of the signed and dated participant agreement form will be sent to the project lead beneficiary, ENAC, for its secured storage. The participant will receive a copy, and they will also be made available to the SESAR JU upon request. Concerning web interaction, i.e. with no physical contact with the participant, a digital version of the accepted consent form will be collected and stored.

2.2 Data Protection Information Sheets and Consent Forms

This addresses the Information sheet ex Art. 13 of the European General Data Protection Regulation n. 2016/679 and consent form.

2.2.1 Workshops

2.2.1.1 Information Sheet

Project title: ASTAIR

Aim of the research project:

ASTAIR goal is to design a seamless partnership between Human and Artificial Intelligence (AI) to manage and perform engine-off and conventional taxiing operations on all the airport surfaces (including aircraft and towing vehicles steering from the gates to the runways at major European airports). Increasing the level of automation overlooking all ground movements will help increase the general predictability of airport turnaround operations and cope with the additional complexity induced by engine-off taxiing techniques.

You are being invited to take part in a research study forming part of the ASTAIR project. ASTAIR Consortium would like to process your personal data in order to carry out its research activities. Before you decide to give your consent to the processing of your personal data, it is important that you receive and understand all the relevant information about the processing of your personal data, in a transparent, intelligible, clear form. Please, take time to read the following information carefully. If there is anything that is not clear, or you would like more information, please get in touch with the research team (contact details are provided at the end of this information sheet). After having read and understood the following information, please feel free to give your express consent to the processing of your personal data.

In accordance with Article 13 of the European General Data Protection Regulation n. 2016/679 (GDPR), ASTAIR is committed to provide you with any information about the lawful processing of your personal data, in full respect of the principle of transparency.

With reference to the WORKSHOP you are about to attend, we inform you that:

1. The Data Controller is, [legal, name, address, VAT]. You shall contact the Data Controller at the following email address: _____.

2. You shall also contact the Data Protection Officer (DPO) at the following email address: _____.

3. The purposes of the processing of your personal data are:

- registration to the workshop (common personal data)
- carrying out the workshop activities (common and special categories of personal data)
- analysis of data collected (common and special categories of personal data)
- dissemination (common and special categories of personal data)

4. The data controller will process personal data provided by you. The provision of your personal data is necessary for your participation to the activities of the workshop. Your refusal to provide data will not allow you to participate in the workshop.

The workshop may be video recorded, and photos may be taken for dissemination and communication purposes.

Your data may also be processed following your request to be included in the newsletter service.

Your personal data will be collected and handled in paper or digital format.

5. Your personal data will be only processed on the basis of explicit consent, given specifically for each of the above-mentioned purposes. You have the right to withdraw consent at any time, without affecting the lawfulness of former processing.

6. Your personal data could be transmitted to [List of recipients]. If necessary, these subjects will be appointed as personal data processors. The controller will not disclose your data under any circumstances.

7. Your personal data will be processed by authorised and duly instructed subjects, able to ensure the safe and lawful processing of your personal data. These persons authorised to process personal data will also be bound by full confidentiality.

8. The processing of your personal data is based on the principles of correctness, lawfulness, transparency and minimization. The controller does not apply any fully automated decision-making process of your personal data.

9. The personal data provided will only be stored for the time needed to fulfil the purposes they are collected and processed for. Your common personal data will be stored until.....

Audio/Screen recordings, and information about yourself will be treated as confidential by Controller. These recordings will be stored until.....

In the event that you decide to give your consent to be included in the newsletter, your data will be kept until you decide to unsubscribe.

10. As a data subject, you have the right to request from the controller access to and rectification or erasure of personal data or restriction of processing your personal data as well as the right to data portability; where the processing is based on consent, you have the right to withdraw your consent at any time, without affecting the lawfulness of processing based on consent before its withdrawal; you also have the right to lodge a complaint with a supervisory authority

2.2.1.2 Informed Consent Form

I, _____,

- declare that I have carefully read the above information sheet, that I have fully understood and accepted its content on ____/____/____

Signature of the Data subject _____

- give my explicit consent to the processing of my personal data, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- give my explicit consent to the processing of my personal data according to the above information sheet _____ on ____/____/____

Signature of the Data subject _____

- give my explicit consent so that short extracts of a video or photographs, in which what I say or what I do cannot be precisely determined and that cannot in any way damage my reputation, may be used by the Controller for dissemination and illustrative purposes of the research results, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- request to be included in the newsletter service and to this end I attach my email address and give my consent to the processing of my personal data for this purpose, according to the above information sheet.

Email _____ on ____/____/____

Signature of the Data subject _____

One copy of this document is given to you, the other is kept in the record.

2.2.2 Interviews

2.2.2.1 Information Sheet

Project title: ASTAIR

Aim of the research project:

ASTAIR goal is to design a seamless partnership between Human and Artificial Intelligence (AI) to manage and perform engine-off and conventional taxiing operations on all the airport surfaces (including aircraft and towing vehicles steering from the gates to the runways at major European airports). Increasing the level of automation overlooking all ground movements will help increase the general predictability of airport turnaround operations and cope with the additional complexity induced by engine-off taxiing techniques.

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research team (contact details are provided at the end of this information sheet). After having read and understood the following information, please feel free to give your express consent to the processing of your personal data.

In accordance with Article 13 of the European General Data Protection Regulation n. 2016/679 (GDPR), ASTAIR is committed to provide you with any information about the lawful processing of your personal data, in full respect of the principle of transparency.

With reference to the INTERVIEW you are about to attend, we inform you that:

1. The Data Controller is, [legal, name, address, VAT]. You shall contact the Data Controller at the following email address: _____.

2. You shall also contact the Data Protection Officer (DPO) at the following email address: _____.

3. The purposes of the processing of your personal data are:

- registration to the interview (common personal data)
- carrying out the interview activities (common personal data)
- analysis of data collected (common personal data)
- dissemination (common personal data)

4. The controller will process personal data provided by you. The provision of your personal data is necessary for your participation to the activities of the workshop. Your refusal to provide data will not allow you to participate in the workshop.

In answering the interview, you will also be asked to provide personal opinions, experiences, comments, and feedback on the feasibility and expected impact on engine-off taxiing operations selected by the consortium, and on various topics related to the environmental and climate impact of the ASTAIR operational concepts.

The interviews will be audio recorded. You will receive a summary transcript of the interview.

Your personal data will be collected and handled in paper or digital format.

5. Your personal data will be only processed on the basis of explicit consent, given specifically for each of the above-mentioned purposes. You have the right to withdraw consent at any time, without affecting the lawfulness of former processing.

6. Your personal data could be transmitted to [List of recipients]. If necessary, these subjects will be appointed as personal data processors. The controller will not disclose your data under any circumstances.

7. Your personal data will be processed by authorised and duly instructed subjects, able to ensure the safe and lawful processing of your personal data. These persons authorised to process personal data will also be bound by full confidentiality.

8. The processing of your personal data is based on the principles of correctness, lawfulness, transparency and minimization.

The controller does not apply any fully automated decision-making process of your personal data.

9. The personal data provided will only be stored for the time needed to fulfil the purposes they are collected and processed for.

Your common personal data will be stored until.....

Audio/Screen recordings, and information about yourself will be treated as confidential by Controller. These recordings will be stored until.....

10. As a data subject, you have the right to request from the controller access to and rectification or erasure of personal data or restriction of processing your personal data as well as the right to data portability; where the processing is based on consent, you have the right to withdraw your consent at any time, without affecting the lawfulness of processing based on consent before its withdrawal; you also have the right to lodge a complaint with a supervisory authority.

2.2.2.2 Informed Consent Form

I, _____,

- declare that I have carefully read the above information sheet, that I have fully understood and accepted its content on ____/____/____

Signature of the Data subject _____

- give my explicit consent to the processing of my personal data, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- give my explicit consent to the processing of my personal data, also belonging to the so-called special categories of personal data, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- give my explicit consent so that short extracts of a video or photographs, in which what I say or what I do cannot be precisely determined and that cannot in any way damage my reputation, may be used by the Controller for dissemination and illustrative purposes of the research results, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- request to be included in the newsletter service and to this end I attach my email address and give my consent to the processing of my personal data for this purpose, according to the above information sheet.

Email _____ on ____/____/____

Signature of the Data subject _____

One copy of this document is given to you, the other is kept in the record.

2.2.3 Surveys

2.2.3.1 Information Sheet

Project title: ASTAIR

Aim of the research project:

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In accordance with Article 13 of the European General Data Protection Regulation n. 2016/679 (GDPR), ASTAIR is committed to provide you with any information about the lawful processing of your personal data, in full respect of the principle of transparency.

With reference to the QUESTIONNAIRE you are about to attend, we inform you that:

1. The Data Controller is, [legal, name, address, VAT]. You shall contact the Data Controller at the following email address: _____.

2. You shall also contact the Data Protection Officer (DPO) at the following email address: _____.

3. The purposes of the processing of your personal data are:

- registration to the questionnaire (common personal data)
- carrying out the questionnaire activities (common and special categories of personal data)
- analysis of data collected (common and special categories of personal data)
- dissemination (common and special categories of personal data)

4. The controller will process personal data provided by you. The provision of your personal data is necessary for your participation to the activities of the questionnaire. Your refusal to provide data will not allow you to participate in the questionnaire.

The topics of the questionnaires will include the development of engine-off taxiing operation and the feasibility and expected impact on the Aviation operations of selected improvements proposed by the consortium.

Questionnaires will typically circulate in digital form and will be collected by email or through dedicated platforms. You will receive a summary transcript of the questionnaire.

Your data may also be processed following your request to be included in the newsletter service.

Your personal data will be collected and handled in paper or digital format.

5. Your personal data will be only processed on the basis of explicit consent, given specifically for each of the above-mentioned purposes. You have the right to withdraw consent at any time, without affecting the lawfulness of former processing.

6. Your personal data could be transmitted to [List of recipients]. If necessary, these subjects will be appointed as personal data processors. The controller will not disclose your data under any circumstances.

7. Your personal data will be processed by authorised and duly instructed subjects, able to ensure the safe and lawful processing of your personal data. These persons authorised to process personal data will also be bound by full confidentiality.

8. The processing of your personal data is based on the principles of correctness, lawfulness, transparency and minimization. The controller does not apply any fully automated decision-making process of your personal data.

9. The personal data provided will only be stored for the time needed to fulfil the purposes they are collected and processed for.

Your common personal data will be stored until.....

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2.2.3.2 Informed Consent Form

I, _____,

- declare that I have carefully read the above information sheet, that I have fully understood and accepted its content on ____/____/____

Signature of the Data subject _____

- give my explicit consent to the processing of my personal data, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- give my explicit consent to the processing of my personal data, also belonging to the so-called special categories of personal data, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- give my explicit consent so that short extracts of a video or photographs, in which what I say or what I do cannot be precisely determined and that cannot in any way damage my reputation, may be used by the Controller for dissemination and illustrative purposes of the research results, according to the above information sheet on ____/____/____

Signature of the Data subject _____

- request to be included in the newsletter service and to this end I attach my email address and give my consent to the processing of my personal data for this purpose, according to the above information sheet.

Email _____ on ____/____/____

Signature of the Data subject _____

One copy of this document is given to you, the other is kept in the record.