Teamaware

TEAM AWARENESS ENHANCED WITH ARTIFICIAL INTELLIGENCE AND AUGMENTED REALITY

Deliverable D1.4

Legal, Ethical and Societal Issues Handbook

Teamaware

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Abstract:	Handbook to provide support to partners and decision-makers to take into consideration TeamAware 's legal, ethical, and societal dimensions.
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Document Revision History

Version	Date	Modifications Introduced	
		Modification Reason	**Modified by**
0.1	2021-08-21	Initial Version	ERI
0.2	2021-09-21	Final Draft	ERI
1.0	2021-10-30	Final version	ERI

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Terms and abbreviations

D	Deliverable
DMP	Data Management Plan
EC	European Commission
EU	European Union
GA	Grant Agreement
GDPR	General Data Protection Regulation
M	Month
WP	Work Package

Executive Summary

This document constitutes the first version of the Legal, Ethical and Societal Issues Handbook. This is a living document that will be updated during the project to document the steps taken to ensure ethics compliance during project activities. As most of the issues that can be covered at this point in TEAMAWARE (M5) have been addressed as part of the Ethics Requirements, this first iteration of the Handbook defines the Index and follow-up methodology of ethics issues and documentation during the project.

1   Legal, Ethical and Societal Issues Handbook

TEAMAWARE is an EU funded project within the H2020 framework, addressing the topic SU-DRS02-2018-2019-2020: Team Awareness Enhanced with Artificial Intelligence and Augmented Reality.

During the Ethics Check of the project, ethics experts highlighted several of the issues that had already been identified during the proposal phase, which led the consortium to appoint a partner devoted specific to the coverage and follow-up of ethics issues, Eticas. As part of the foreseen ethics follow-up, the following Activities were scheduled:

Table 1 List of Scheduled Activities

Deliverable Number	Deliverable Title	WP number	Lead beneficiary	Type	Dissemination level	Due Date
D1.3	Data Management Plan v1	WP1	ERI	Report	Confidential	M3
D1.4	Legal, Ethical and Societal Issues Handbook v1	WP1	ERI	Report	Confidential	M5
D2.5	Legal and Ethical Principles and Guidelines	WP2	ERI	Report	Confidential	M9
D1.7	Legal, Ethical and Societal Issues Handbook v2	WP1	ERI	Report	Confidential	M30
D1.8	Data Management Plan v2	WP1	ERI	Report	Confidential	M30

Additionally, during the ethics check the following Requirements were established:

Table 2 List of Requirements

Deliverable Number	Deliverable Title	WP number	Lead beneficiary	Type	Dissemination level	Due Date

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D15.8	GEN - Requirement No. 10	WP15	ERI	Report	Confidential	M1
D15.1	H - Requirement No. 1	WP15	ERI	Report	Confidential	M4
D15.3	POPD - Requirement No. 3	WP15	ERI	Report	Confidential	M5
D15.4	NEC - Requirement No. 5	WP15	ERI	Report	Confidential	M5
D15.6	DU - Requirement No. 7	WP15	ERI	Report	Confidential	M5
D15.2	H - Requirement No. 2	WP15	ERI	Report	Confidential	M6
D15.9	GEN - Requirement No. 11	WP15	ERI	Report	Confidential	
D15.7	M - Requirement No. 8	WP15	ERI	Report	Confidential	M9
D15.5	EPQ - Requirement No. 6	WP15	ERI	Report	Confidential	M12
D15.10	GEN - Requirement No. 12	WP15	ERI	Report	Confidential	M21
D15.11	GEN - Requirement No. 13	WP15	ERI	Report	Confidential	M36

This document constitutes the first version of the Legal, Ethical and Societal Issues Handbook. This is a living document that will be updated during the project to document the steps taken to ensure ethics compliance during project activities. As most of the issues that can be covered at this point in TEAMAWARE (M5) have been addressed as part of the Ethics Requirements, this first iteration of the Handbook defines the Index and follow-up methodology of ethics issues and documentation during the project.

1.1   Analysis of ethics issues per WP

1.1.1   WP1

WP1 is the coordination WP, responsible for the organisational measures to secure partner data. These have been described in D1.3 and are being monitored.

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1.1.2   WP2

WP2 started in M1 and will end in M12. WP2 was of ethics concern as it mentioned interviews, surveys and focus groups. However, these have only and will only be organised with project partners and project end-users. Specifically, a virtual meeting was organised on 8 September 2021 with partners and end-users. Participants were only engaged in their professional capacity, and therefore the legal basis for processing was fulfilment of contract (the Grant Agreement).

For internal project activities, consent is not warranted as partners are linked by a contract and relationships of employment.

The meeting was recorded in the Microsoft Teams tool of the host partner, TREE, and only available to participants for 7 weeks. The recording was deleted from the system on October 28th.

1.1.3   WP3

WP3 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.4   WP4

WP4 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.5   WP5

WP5 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.6   WP6

WP6 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.7   WP7

WP7 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.8   WP8

WP8 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.9   WP9

WP9 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.10 WP10

WP10 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.11 W11

WP11 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.12 WP12

WP12 will only start in M7. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.13 WP13

WP13 will only start in M16. A preliminary ethics meeting with WP leaders has been scheduled for November 5th to begin to address the ethics issues and establish a follow-up methodology.

1.1.14 WP14

WP4 started in M1. The dissemination and web plan V1, delivered in M3, are currently being assessed for ethics issues.

1.1.15 Definition of roles and responsibilities

- ☐ Updated institutional DPO list
  For the initial version, see D15.3
- ☐ Identification of DPOs for each activity involving personal data collection (eg. interviews, focus groups, validation activities)
  To be updated after M7

1.2 Activities with humans

1.2.1 Recruitment

- ■ General guidelines for recruitment
  See D15.1
- ■ Updated Recruitment Policies
  To be updated after M7

1.2.2 Consent procedures for volunteers and employees

- ■ General guidelines for consent
  See D15.1
- ■ Specific guidelines for consent
  - o For interviews
  - o For questionnaires
  - o For validation activities
  - o For participation in experiments
  To be defined after M7

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■ Updated consent procedures used
To be updated after the relevant activities commence

1.2.3 Information sheet and consent forms

■ Templates

See D15.1

■ Updated samples of forms used per activity
To be updated after the relevant activities commence

1.2.4 Incidental findings

■ Identification of incidental findings risks

■ Drafting of an incidental findings policy

■ Tracking of the implementation of incidental findings policy

1.3 Personal data collection and handling

1.3.1 DPO appointments

■ Initial list and tracking of changes

For the initial list, see D15.3

1.3.2 Identification of activities where personal data is collected

To be defined after M7

1.3.3 Identification of activities where personal data is processed

To be defined after M7

1.3.4 Guidelines for personal data collection (not from human participants)

To be defined after M7

■ Identification and classification of data sources

■ Validation of authorisations to access data

1.3.5 Guidelines for personal data anonymisation

For general guidelines, see D15.3

■ Relevant methods for TEAMAWARE

■ Special categories of data in TEAMAWARE

■ Identification of anonymisation possibilities/requirements

- Tracking of anonymisation methods used

1.3.6   Privacy by Design guidelines

- PbD overview and relevance for TEAMAWARE
- Identification of PbD possibilities
- Tracking of PbD measures implemented

1.3.7   Security of processing

- Cybersecurity guidelines: access
- Gathering of data access policies from partners

1.3.8   Need for a DPIA

For initial DPIA opinion, see D15.3

- Continued assessment of whether a DPIA for specific activities is needed, and specifically in relation to WP8

1.4   Third countries

For an initial assessment, see D15.4

1.4.1   Identification of data flows to and from Turkey

1.4.2   Tracking of data flows during the project

1.5   Environment, Health & Safety

These issues will also be addressed in D15.5, to be submitted in M12. An initial assessment will be performed in M7.

1.5.1   Identification of Health & Safety risks in TEAMAWARE

1.5.2   Guidelines for the use of data-gathering technologies on employees

1.5.3   Gathering of Health & Safety policies from the relevant partners conducting experiments

1.5.4   Health & Safety policy for conducting experiments with drones and wearables for chemical detection in TEAMAWARE

1.6   Dual use

1.6.1   Collection of dual use declarations from partners

See D15.6

1.6.2   Report on the changes introduced by Regulation 2021/821

1.6.3 Updated dual use declarations

1.7 Misuse

Misuse issues will also be addressed in D15.7, to be submitted in M9. An initial assessment will be performed in M7.

1.7.1 Identification of misuse risks

1.7.2 Validation of misuse risks with partners

1.7.3 Description of mitigation measures

1.7.4 Tracking of mitigation measures implemented in TEAMAWARE

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