



D9.5 Periodic ethical report 3

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Work Package 9: Ethics and Data Protection

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TRESSPASS
robust Risk based Screening and alert System for PASsengers and luggage
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Abstract

This deliverable is the last periodic ethical report of the TRESSPASS project and details the activities carried out to ensure ethical compliance in the last project period (Dec. 1st, 2020 – November 30, 2021). After an introduction (Section 1) and an overview of ethics aspects (Section 2), the deliverable focuses on the three TRESSPASS pilots, which were all conducted during the period covered by this deliverable. In the context of the pilots' discussion, special attention is paid to the following aspects:

- Research with humans, especially concerning informed consent procedures (Section 3);
- Protection of personal data, including the use of simulated and synthetic data during pilots (Section 4);

Additionally, minor issues regarding the involvement of third countries (Section 5) and safety measures in place during the pilots (Section 6) are dealt with.

A separate section is dedicated to a newly raised ethical issue, namely the potential need for export control of some of the TRESSPASS components (Section 7)

Finally, section 8 describes how the reviewers' suggestions from previous review meetings were addressed.

The annexes provide additional supporting material, including the agendas and minutes of the EAB meetings, the informed consent forms used during the pilots and the informative material provided to volunteers participating in the pilots.

Project Information

Project Name	robustT Risk basEd Screening and alert System for PASSengers and luggage
Project Acronym	TRESSPASS
Project Coordinator	National Center for Scientific Research "Demokritos", EL
Project Funded by	European Commission
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List of Acronyms and Abbreviations

ACRONYM	EXPLANATION
CM	Consortium Member
DFA	Data Fusion and Analytics
DMP	Data Management Plan
DMS	Distributed Messaging System
DoW	Description of Work
DPIA	Data Protection Impact Assessment
DPO	Data Protection Officer
DRAS	Dynamic Risk Assessment System
EAB	Ethical Advisory Board
EC	European Commission
EU	European Union
FP7	Seventh Framework Programme
GA	Grant Agreement
GDPR	General Data Protection Regulation
H2020	Horizon 2020
iBorderCtrl	Intelligent Portable Control System
INDECT	Intelligent information system supporting observation, searching and detection for security of citizens in urban environment
ISS	Interview Support System
MA	Motion Amplification
MMCAT	Multi modal communication analysis Tool
NDPA	National Data Protection Authority
RTBA	Real-Time Behavioral Analytics
R&D	Research and Development
SPA	Security personnel mobile apps
TSPA	Traveler trusted and security personnel mobile apps
TCA	Traveller Companion App
TCSS	Thermal counter spoofing sensor
TLTP	Travelers and luggage tracking sensor platform
TM	Technical Manager
TMA	Traveller Mobile Application
TRA	Traveller Registration Application

TRESSPASS	robust Risk basEd Screening and alert System for PASSengers and luggage
TRL	Technology Readiness Level
VTC	Video Tracking Component
WI	Web Intelligence

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1 INTRODUCTION

1.1 Background

D9.5 “Periodic ethical report 3” is part of TRESSPASS Task 9.1 “Research ethics and accompanying ethical research”. This task is part of WP9 “Ethics and data protection” and focuses specifically on ethical compliance during the research and testing activities of the TRESSPASS project.

The output of T9.1 “Research Ethics and accompanying ethical research” consist of the following deliverables:

D9.1 “Set-up ethical advisory board”: Establishment of an Ethical Advisory Board (M4)

D9.2 “Project baseline for research ethics”: Project baseline for research ethics (M9)

D9.3 “Periodic ethical report 1”: First periodic report (M13, resubmitted in M30 in order to attach the informed consent forms tailored for the specific pilots)

D9.4 “Periodic ethical report 2”: Second periodic report (the current deliverable)

D9.5 “Periodic ethical report 3”: Third periodic report (due M 41)

D9.5 “Periodic ethical report 3” is the last report on the activities carried out as part of T9.1 “Research Ethics and accompanying ethical research”, preceded by D9.3 “Periodic ethical report 1” and D9.4 “Periodic ethical report 2”. Together, these three deliverables provide a description of the whole research ethics activities of the TRESSPASS project. The first two deliverables of T9.1 “Research Ethics and accompanying ethical research” set out the preconditions for the ethical tasks, by reporting on the establishment of the project EAB (D9.1 “Set-up ethical advisory board”) and identifying the relevant ethical aspects to be considered during the project lifetime (D9.2 “Project baseline for research ethics”).

T9.1 “Research Ethics and accompanying ethical research” aims to facilitate ethics compliance and data protection during the TRESSPASS activities. The task does not focus on the possible ethical impact (including privacy infringement, misuse of data, discrimination, limitation of liberties etc.) which could emerge as a consequence of the implementation of the TRESSPASS technologies in a operational checkpoint. These issues are addressed in T9.2 “Identification of relevant ethical, legal and societal risks” - 9.4 “Ethical guidelines for decision makers”. Also the question of the legal feasibility and of the acceptance of the technologies is out of scope of this task but is addressed in WP1 “End-user requirements and needs” (especially in D1.4 “Analysis of the legal and regulatory framework”). Finally, public acceptance of the technologies developed in TRESSPASS is out of the scope of this task, but part of WP6 “Operational Methods and Acceptability”, with which WP9 “Ethics and Data Protection” cooperates closely.

1.2 Aim of this document

This deliverable aims to document the activities performed in the third period of the project in order to advise and support the other consortium members in meeting ethical standards and requirements, especially concerning:

- Research with humans;

- Use of personal data;
- Involvement of third countries;
- Safety during field tests;
- Misuse.

1.3 Input / Output to this document

The main input to this deliverable is provided by the technical WP2 “Risk based border crossing points”, WP3 “Sensors and information gathering”, WP4 “Data fusion and analysis” and WP5 “Dynamic Risk Assessment and Alert System” and by WP8 “Pilots” which focuses on the TRESSPASS pilots.

The activities described in this deliverable provided output across several WPs, with a special focus on WP8 “Pilots” for the realization of pilots and on WP3 “Sensors and information gathering” - 5 “Dynamic Risk Assessment and Alert System” on ethically sensitive aspects in the design of the TRESSPASS components.

2 OVERVIEW OF RESEARCH ETHICS IN TRESSPASS P3

During period 3, all three TRESSPASS pilots were carried out. As this was a critical milestone of the project, during this period Task 9.1 “Research Ethics and accompanying ethical research” concentrated on providing advice and support for pilots related activities.

The Air Pilot was preceded by a Recording Day which took place in November 2020 at Lelystad Airport in the Netherlands. The related ethics aspects have been reported in D9.4 “Periodic ethical report 2”. This preparatory part was followed by a test with Border Guards experimenting with the RBBM systems in April 2021. The components tested included Traveller Registration Application (TRA), Video Tracking Component (VTC)/ Real-Time Behavioural Analytics (RTBA), Web Intelligence (WI), Command and Control (C2), Security Personnel mobile Apps (SPA), Legacy Systems Interfaces (LSI), Dynamic Risk Assessment System (DRAS), Data Fusion and Analytics (DFA), Distributed Messaging System (DMS).

The Land Pilot took place at Terespol, a town located near the Polish Border to Belarus in May 2021. This pilot tested the following components: Traveller Registration Application (TRA), Web Intelligence (WI), Command and Control (C2), Security Personnel mobile Apps (SPA), ICTS Document Scanner/Module, Thermal counter spoofing sensor (TCSS), International alert system (IAS)/ TRESSPASS Light Client (TLC), Multi Modal Communication Analysis Tool (MMCAT), Legacy Systems Interfaces (LSI), Dynamic Risk Assessment System (DRAS), Data Fusion and Analytics (DFA) and Distributed Messaging System (DMS).¹

Finally, the sea Pilot was carried out at the Greek Piraeus Sea Port, one of the worldwide ports with the highest passenger traffic. During the sea pilot, almost all the TRESSPASS components were tested: Traveller Registration Application (TRA), Video Tracking Component (VTC) / Real-Time Behavioural Analytics (RTBA), Web Intelligence (WI), Command and Control (C2), Security Personnel mobile Apps (SPA), ICTS Document Scanner/Module, TRESSPASS Light Client (TLC), Travelers and luggage tracking sensor platform (TLTP), Traveller Companion App (TCA), Multi Modal Communication Analysis Tool (MMCAT), Legacy Systems Interfaces (LSI), Dynamic Risk Assessment System (DRAS), Data Fusion and Analytics (DFA) and, Distributed Messaging System (DMS).

In order to avoid misunderstandings regarding the distribution of responsibilities for data management during and after the pilots, all partners involved signed a Memorandum of Understanding modelled on the templates attached to D9.4 “Periodic ethical report 2” and tailored to each pilot.

Beyond pilots-related activities, a further aspect T9.1 “Research Ethics and accompanying ethical research” concentrated on in P3 was the issue of the potential need for export limitations regarding technologies developed in TRESSPASS. This aspect is detailed in section 7 below.

The involvement of the external EAB members was continued during P3 and also in this case the focus of meetings and discussion was on the pilots activities, with additional discussion points on export control aspects. Two regular meetings took place in this period: the first one in January 2021 and the second one in September 2021. Agenda and minutes of the EAB meetings are attached to this deliverable (Annexes A-D). Usually, the external members of the EAB contribute to the periodical reports with a separate statement attached to the deliverable. For the final project period and taking into account a preference stated by the external members of the EAB (see Minutes of EAB Meeting on 10-09-2021, Attachment D to

¹ Extensive details on the Land Pilot are provided in TRESSPASS D8.3 “Pilot2: Land Case-Poland”.

this deliverable), the external EAB members commented on D9.9 “Ethical guidelines for decision-makers” instead. It was considered that a contribution to this document could provide the opportunity to consider broader aspects of risk-based border management.

The following sections describe the activities performed in order to support technical consortium members and end-users to meet the ethical and data protection requirements during the implementation of the pilots and for dealing with potential export-ban issues. It provides insights on the solutions worked out and how these were implemented.

3 RESEARCH WITH HUMANS

As mentioned above, during period 3 critical activities involving human participants were carried out in TRESSPASS, namely all three planned pilots.

In the context of the pilots, the following ethically relevant aspects were paid special attention:

1. Informed consent;
2. Incidental findings;
3. Safety of participants.

The second and third aspects have been extensively discussed in the previous T9.1 “Research Ethics and accompanying ethical research” deliverables (especially D9.2 “Project baseline for research ethics” - D9.4 “Periodic ethical report 2”) and prepared during the first two project periods. In period 3, only support for minor integrations related to the ethics documentation, such as specifications on the safety procedures, were needed. The related documentation is not attached to this deliverable for confidentiality reasons, but it is archived and available for reviewers.

Regarding the first point, informed consent templates were prepared in period one and two. In P3, these templates have been furtherly adapted to the evolving pilot design and integrated with a sheet informing on the specific functionalities and components of the systems tested. The final versions are attached to this deliverable (Annexes F-I).

Moreover, in order to support end-users in the final steps of the pilots’ preparation, a checklist with common ethics pitfalls was prepared in collaboration with end-users and distributed in order to provide a basis for a quick last-minute check in order to avoid such pitfalls. These included participants mistakenly assuming that they have to provide their (or somebody else’s) real data instead of the fabricated identities created for the pilots, involuntary re-identification of anonymous participants, or personnel from the border guards mistakenly assume that their participation is not voluntary but part of their professional duties. This checklist is attached at the end of this deliverable as well (Annex E)

4 PROTECTION OF PERSONAL DATA

An overview of the TRESSPASS activities that potentially involve the use of personal data and a detailed description of the legal framework (mainly set out in the GDPR) is provided in D9.2 “Project baseline for research ethics” and D9.3 “Periodic ethical report 1”. This section focuses on the activities involving use of data in period 3 and especially during the pilots.

As far as possible, the collection and processing of personal data during these activities was avoided. Personal data such as name, date of birth and ID-card or passport number were collected as part of the registration and security procedures to access the test areas but were not used for testing the TRESSPASS components. **Instead, specific identities were fabricated for the pilots and provided to participants. Whenever possible, the data used to test the components referred to these fabricated identities and were not the real participants’ data.** The fabricated identities included data such as name, date of birth, gender, nationality, address, profession, passport data, social media accounts as well as information related to the trip such as destination, reason and financing of the travel. In collaboration with WP8 “Pilots”, a survey among technical Consortium Members (CMs) was preliminary carried out to understand the need for personal data and the possibility to substitute them with synthetic or fabricated data. For some specific technologies (Video Tracking Component (VTC), Thermal counter spoofing sensor (TCSS) and Multi Modal Communication Analysis Tool (MMCAT), the use of “real” data was considered to be technically necessary. In these cases, the collection and processing of data followed informed consent procedures. D9.4 “Periodic ethical report 2” provides more insight on the decisional process that led to opting for the selected solutions regarding the use of data.

The following table details the solution adopted for each TRESSPASS component tested during the pilots²:

Acronym	Provider	Kind of data	Strategy adopted during pilots
VTC	VV	Travellers’ Video Recordings	Real Data upon informed consent
MMCAT	VV/TNO	Traveler’s risk results	Real Data upon informed consent
RTBA	SCCH	Traveler’s movement trajectory	Real Data collected through VTC upon informed consent
TCSS	WAT	Traveler’s thermal emissions	Real Data upon informed consent
TLTP	NCSRD	Traveler’s Luggage Info	Mockup Data fabricated for the pilot
SPA	NCSRD	Risk Info/alerts for travelers	Mockup Data fabricated for the pilot

² D8.3 “Pilot2: Land Case-Poland” provides the details of the fabricated identities for each component tested during the Land Pilot.

TCA	NCSRD	Personal & Traveler doc. Id Info	Mockup Data fabricated for the pilot
TRA	ED	Personal data, Travel documents, travel Info	Mockup Data fabricated for the pilot
LSI	INFILI	Legacy Info for travelers	Mockup Data fabricated for the pilot
WI	SPH	Travelers' profile info & activities on the web and social media	Mockup Data and social media accounts fabricated for the pilot
DRAS	ED	Travelers' Risk score values	Not applicable
C2 (Front-end system)	NCSRD	Personal & Traveler doc. Id Info	Mockup Data fabricated for the pilot
TLC	ED	Personal & Traveler doc. Id Info + threats and alerts for travelers	Mockup Data fabricated for the pilot
Document Reader	ICTS	Traveler doc. Id Info	Mockup Data & Documents fabricated for the pilot

TABLE 1 USE OF DATA DURING PILOTS PER COMPONENT

5 THIRD COUNTRIES

No new issues related the export or import of data to or from third countries emerged in the third project period. Previously raised minor issues and how they were resolved in TRESSPASS are detailed in D9.2 “Project baseline for research ethics” - D9.4 “Periodic ethical report 2”.

6 SAFETY

Most of the safety issues potentially emerging during pilots have been resolved during Period 1 and 2 and have been reported in D9.2 “Project baseline for research ethics” - 9.4 “Periodic ethical report 2”. In Period 3, activities in this field consisted in updating parts of the previously presented documentations in order to provide more details on overall safety measures, as well as on COVID-19-related measures. The updated documentation is not attached to this deliverable for confidentiality reasons, but it is available for reviewers upon request.

7 EXPORT CONTROL

During TRESSPASS period 2, a new ethically relevant aspect emerged in connection with possible misuse of TRESSPASS components by illiberal regimes. These considerations are anchored in the new developments regarding EU export control for dual use technologies which have extended the definition of dual use technologies also to cyber-surveillance technologies.³

In period 3, extensive effort was put into identifying best practices on how to deal with export control and issues and, in parallel to that, into selecting the TRESSPASS technologies for which an export ban would be meaningful.

Regarding the first aspect, Technical Coordinator (TNO) pointed out at the internal procedures in their organisation requiring consultation with the national authorities responsible for export control issues (in the Netherlands, the custom authority) whenever a new security-related project is started in order to obtain clearance. This practice, however, is not put in place by all Consortium Members (CMs).

Regarding the second aspect, namely the identification of the relevant TRESSPASS technologies, a preliminary consensus was reached on the need for such authorization only for components reaching a Technology Readiness Level (TRL) 7 or higher at completion of TRESSPASS.

The proposal for a Regulation of the European Parliament and of the Council reforming the export regulations defines the kind of surveillance technologies within the scope of the proposed regulation and states that export is not authorized. These include cases where “... the exporter has been informed by the competent authority of the Member State in which the exporter is resident or established that the items in question are or may be intended, in their entirety or in part [...] for use in connection with a violation of human rights, democratic principles or freedom of speech as defined by the Charter of Fundamental Rights of the European Union, by using interception technologies and digital data transfer devices for monitoring mobile phones and text messages and targeted surveillance of Internet use (e.g., via Monitoring Centres and Lawful Interception Gateways)”.⁴

No TRESSPASS CM has received relevant communication by national competent Authorities. Nevertheless, it was considered whether the issue could be in principle relevant for any TRESSPASS component. After consultation with technical CMs and the TM, it was concluded that the only TRESSPASS potentially component falling under the definition provided in the regulation is the Web Intelligence (WI) component. Consultation with SPH as technical lead for WI followed in order to discuss the need for an export control ban on WI. As reported in D10.9 “Exploitation plan (Final)” due at M42, the TRL level of WI at the end of TRESSPASS will be 6, so that no consultation on export regulation was considered to be necessary. The

³ See Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL setting up a Union regime for the control of exports, transfer, brokering, technical assistance and transit of dual-use items (recast) {SWD(2016) 314 final} {SWD(2016) 315 final}, recital 5, 6, 21, available at https://trade.ec.europa.eu/doclib/docs/2016/september/tradoc_154976.pdf on which an agreement has been reached on November 9th, 2020: <https://trade.ec.europa.eu/doclib/press/index.cfm?id=2209>.

⁴ Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL setting up a Union regime for the control of exports, transfer, brokering, technical assistance and transit of dual-use items (recast) {SWD(2016) 314 final} {SWD(2016) 315 final}, p. 30 of Annex II.

decisional process leading to this decision was nevertheless relevant for consolidating awareness on the misuse potential of such technologies among CMs.

8 IMPLEMENTING REVIEWERS' SUGGESTIONS

This section explains how the suggestions of previous reviews have been implemented in period 3.

One of the comments contained in the TRESSPASS P1 Review Report concerning WP9 "Ethics and Data Protection" were still pending at the end of P2 and has been resolved in period 3:

- Comment nr. 15 required an analysis of the values trade-offs implied by behaviour analysis. A preliminary discussion has been provided in D9.7 "Framework for assessing direct ethical, legal and societal impact of risk based screening concepts" (submitted in February 2020), while an updated discussion is provided in D9.8 "Updated framework for assessing direct ethical, legal and societal impact of risk based screening concepts" (currently ready for submission).

The second review meeting contained the following comments related to WP9 "Ethic and Data Protection":

- "The surveillance technology developed during this research (specifically those components aiming for TRL7) and individual components may be considered Dual Use under EC Regulation 428/2009 and will require an export control license. Article 8 Regulation 428/2009 considers risks to human rights as a valid justification for the introduction of export control limitations. Clarification and consultation with the national export control authority is recommended."

This comment has been addressed and resolved in P3 as detailed in section 7 above.

- "It is recommended to take into consideration the recent guidelines issued by the High-Level Expert Group on Artificial Intelligence commissioned by the European Commission specifically related to the development of surveillance technologies in TRESSPASS and its real-world applications and possible misuse of the research".

This comment has been addressed in T9.3 "Framework for assessment of direct ethical, legal and societal impact" and especially in D9.8 "Updated framework for assessing direct ethical, legal and societal impact of risk based screening concepts" which adopted an assessment framework centered around the Guidelines issued by the High-Level Expert Group on Artificial Intelligence

Thus, all ethics-related comments of previous review meetings have been addressed.

9 CONCLUSION

Within TRESSPASS T9.1 a comprehensive ethics framework was developed in order to ensure that the research and demonstration activities are conducted in compliance with ethical principles and norms, including the requirements set by the EC as outcomes of the Ethics Review, the Ethics Check and Review Meetings.

The framework developed in T9.1 was fully implemented in the pilots: in order to minimize the ethical and data protection impact, whenever possible synthetic data were fabricated and used for the pilots' purposes. When it was necessary to rely on real data, these were collected from volunteers after informed consent. Extensive documentation was prepared for ensuring that data collection and protection responsibility are clearly defined, that the safety of participants is guaranteed during the tests and that a proper strategy to deal with incidental findings is in place. The Data Protection Officers, legal departments and Ethics Committee of the respective organisations were involved into the pilots planning.

Although implementation of the framework was successful, it took considerable effort from the side of end-users and the ethics team to prepare and plan the pilots in accordance to it. The necessary documentation was sometimes perceived as an excessive burden. Also the need to opt for alternative solutions to the use of real data from the public or re-use pre-existing data owned by end-users needed in some cases extensive explanations and negotiations in order to be accepted by end-users and technology developers, as it was perceived as a unnecessary limitation to the technical and operational possibilities. It was possible, however, at the end of such process to achieve a consensus on the more ethically compliant solutions. The process which led to this result had an additional positive effect, namely increasing awareness of end-users and technical partners regarding ethical aspects of technology development and deployment.

10 DOCUMENT VERIFICATION AND PLAGIARISM CHECK

This section provides information on document verification including how to complete a plagiarism check. A plagiarism check is mandatory before the submission of a document to the European Commission.

10.1 Verification and Quality Assurance

Before the document's submission to the European Commission, it will be up to the WP leader, Task Leader and the Coordinator to review internally and verify the quality of the content of the deliverable, with careful consideration of the document's dissemination level.

10.2 Plagiarism check and risk mitigation

The document's main author, with the assistance of the WP leader and the Coordinator, is responsible for performing a plagiarism check. Plagiarism is an important issue that can have serious consequences (up to termination of the project by the European Commission) if not addressed. The European Code of Conduct for Research Integrity (published by the European Science Foundation ESF and All European Academies, ALLEA) along with the H2020 reference documents state that no kind of plagiarism is tolerated.

The following kinds can immediately be identified:

- Uncredited verbatim copying of individual elements (sentences, paragraphs and illustrations) of great or small extent,
- Uncredited improper paraphrasing of pages or paragraphs,
- Credited verbatim copying of major/minor portions of text without clear delineation⁵
- Uncredited verbatim copying of one's own work is considered self-plagiarism.

The WP leader and Coordinator will assure quality of the document and verify that the relevant checks have been completed.

Please note that **although there exists a large number of free online tools for plagiarism checking, it is recommended that they be avoided for all security-sensitive deliverables.** Manual checking when necessary should be sufficient.

⁵ with proper credits and text delineated (for example by using quotes), it can be considered quoting and not plagiarism. Still, quoting should be used to a small extent, i.e. a few sentences not entire paragraphs. Delineation means that it must be immediately apparent in the text that it has been copied from another source, using quotes or a box surrounding the text and that it is differentiated by the deliverable text.

REFERENCES

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Microsoft 2021, Sorting a list alphabetically in MS Word, Available at: <https://support.office.com/en-us/article/Sort-a-list-alphabetically-1f938032-2158-4bf3-be0d-4536375055c6?ui=en-US&rs=en-US&ad=US>, November 2021.

TRESSPASS 2021, D8.3 Pilot2: Land Case-Poland, August 2021.

LIST OF FIGURES

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LIST OF TABLES

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ANNEX A: EAB MEETING 25-01-2021 AGENDA



EAB Meeting January 2021

25-01-2021 14:00-15:30 CET

Venue: DFNconf

Address:

<https://conf.dfn.de/webapp/conference/979133341?callType=audioonly>

Objective:

Discussion of the outcomes of the 2nd Review Meeting

Agenda

Program

Activity	Topic	Time
Introduction and Greetings		11:00-11:05
Presentation of feedback by PO and Experts	- General approach on ethics and DP in TRESSPASS; - Specific comments; - Possible common ethics feedback on new Schengen Agenda	11:05-11:20
Discussion	Any contributions and comments by external EAB members	11:20-11:45
Outlook on P3	Focus on pilots	11:45- 11:55
AOB and Conclusion		11:55 -12:00

ANNEX B: EAB MEETING 25-01-2021 MINUTES

Meeting Minutes



EAB Meeting January 2021
25-01-2021 14:00-15:30 CET

Venue: **DFNconf**

Address:

<https://conf.dfn.de/webapp/conference/979133341?callType=audioonly>

Meeting called by:	Elisa Orrù (ALU-FR)	Type of meeting:	Virtual meeting
WP/Task:	WP9 EAB Meeting		
Attendees:	Elisa Orrù (ALU-FR), Maria Grazia Porcedda (Trinity College Dublin), Marina Markellou (external ethics advisors).		

Effective Agenda

- 1) **Presentation of feedback by PO and Experts**
- 2) **Possible common ethics feedback on new Schengen Agenda**
- 3) **Outlook on P3 Focus on pilots**

Meeting

The meeting starts at 11:00 a.m. CET

1. Presentation of feedback by PO and Experts

A) Internal member presents relevant results of Second Review meeting
 Reviewers: Project PO, Ethics expert (new), External expert from Academia, External expert from Industry
 Guest: Repr. of DG Home

- General approach on ethics and DP in TRESSPASS:
 - Very positive appreciation of approach and achievements so far by experts and by PO.
 - Suggestion of alternative solutions (for instance to the use of pre-collected datasets) was praised
 - ⇒ Overall, the feedback was a clear validation of the path followed so far.
 - Also the feedback on the overall project progress was very positive.
- Specific comments by ethics expert:

- Acknowledgement of comprehensive approach, good framework, appropriate follow-up on feedback by Ethics Check.
- For the next Deliverables extensive focus on: risk of misuse in real-world scenario, dual use of surveillance technologies and possibility of export control clause; sensitivity of citizens' scoring, face recognition and algorithmic decision-making.
- Possibility to add a requirement that national control authority be consulted.
- Consider to introduce an ethics quality management to address issues of public concern (press)
- Next months are very important and sensitive: do no step back
- Other specific topics discussed
- Discussion about obstacles to implementation of risk-based concept: missing legal framework and acceptance were mentioned by end-users as prominent "obstacles"
- Relevance of results of ethics framework also beyond TRESSPASS

B) Reactions and comments by external EAB members:

- The issue of export control is very relevant, but new in the field of surveillance. It could be challenging to identify and get feedback by the national authorities.
- Preliminarily and until more detailed information is provided in the Review Meeting Report, the following documents and pages were identified as relevant:
<https://trade.ec.europa.eu/doclib/press/index.cfm?id=2209>
<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02009R0428-20191231>
<https://www.leru.org/files/Publications/LERU-Dual-Use-Note-July-2018.pdf>

2. Common ethics feedback on new Schengen Agenda as way to make a strong ethics and legal point?

Elisa sends a draft: respect for human rights, asylum, and ethics, and public acceptance related to TRESSPASS refolement avoid stigmatisation red teaming techs security by design. However, it can be challenging to find the specific contribution that the ethics framework in TRESSPASS can provide to the New Schengen Agenda.

3. Outlook on P3

- State of the 3 pilots
- Dutch: 1 phase completed; 2nd phase planned for February
- Polish: planned for May
- Greek: planned for June

The meeting ends at 12:20 a.m. CET

Action Points

Nr.	Description	Responsible	Deadline
-----	-------------	-------------	----------

- | | | | | |
|---|---|------------------|-----|----------------------------|
| 1 | Circulate a draft response to the Draft Schengen Agenda based on TRESSPASS Ethics framework | Elisa Orrù | | 30.01.2021 |
| 2 | Circulate the Second Review Meeting Report | Elisa Orrù | | As soon as it is available |
| 3 | Comment on these minutes | External members | EAB | 15.02.2021 |

Next Meeting(s): next regular meeting in 6 months in combination with the TRESSPASS General Assembly, additional meetings on specific questions to be agreed according to the needs.

ANNEX C: EAB MEETING 10-09-2021 AGENDA



EAB Meeting September 2021

10-09-2021 14:30-15:30 CET

Venue: DFNconf

Address:

<https://conf.dfn.de/webapp/conference/979133341?callType=audioonly>

Objective:

Review of the pilots and plan of the final months of the project

Agenda

Program

Activity	Topic	Time
Introduction and Greetings		14:30-14:35
Summary of ethics aspects of pilots	Approach used to informed consent, personal data etc.	14:35-14:45
Discussion	Any contributions and comments by external EAB members	14:45-15:00
Outlook September-November 2021	WP9 outlook	15:00- 15:10
AOB and Conclusion		15:10 -15:30

ANNEX D: EAB MEETING 10-09-2021 MINUTES



EAB Meeting September 2021

10-09-2021 14:30-15:30 CEST

Venue: BigBlueButton

Meeting called by:	Elisa Orrù (ALU-FR)	Type of meeting:	Virtual meeting
WP/Task:	WP9 EAB Meeting		
Attendees:	Elisa Orrù (ALU-FR), Maria Grazia Porcedda (Trinity College Dublin), Marina Markellou (external ethics advisors).		

Effective Agenda

- 4) Summary of ethics aspects of pilots
- 5) Outlook September-November 2021
- 6) Ethics communication aspects

Meeting

The meeting starts at 14:30 CEST

Activity	Topic	Time
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1. Summary of ethics aspects of pilots

- Brief summary of pilots: All three pilots were carried out successfully and, according to the ethics documentation and the communication exchange with the pilots' lead and participants, in compliance with the ethics standards set out in WP12 and following the recommendations of the EAB. Due to COVID-19 restriction, a physical participation of the WP9 staff to the pilots was not possible. Whenever possible, however, the WP9 lead participated to the remote sessions and post-pilot workshops with end-users.
- As soon as D8.5 is available, the internal member will circulate it to the two external members for reference.

2. Outlook September-November 2021 (final project's months)

- Deliverables to be completed:
 - D9.8 "Updated framework for assessing direct ethical, legal and societal impact of risk based screening concepts";
 - D9.9 "Ethical guidelines for decision makers";
 - D9.5 "Periodic ethical report 3".
- Contribution by external EAB members: A draft of D9.5 will be sent to the external EAB members in order to give them the possibility to comment on them. Their comments will be attached unabridged to the Deliverable as usual for all T9.1 deliverables. In addition to that, the external EAB members will also have the possibility to comment on the other two deliverables.

3. Ethics communication aspects:

- Press attention to the ethics aspects of TRESSPASS:
Recently, some members of the TRESSPASS consortium (Coordinator, Technical Manager, Ethics Leader) were interviewed by journalists of the Austrian Newspaper "DerStandard". The results of the talk are published in the following article:
„EU investiert Millionen in Forschung zu Drohnen und Lügendetektoren an den Grenzen“
<https://www.derstandard.at/story/2000127538715/eu-investiert-millionen-in-drohnen-und-luegendetektoren-an-den-grenzen>
20.06.2021
- Importance of publishing results of WP9 as independent publications: WP9 leader is drafting an article based on the work done in T9.1. Also the results of D9.9 and D9.8 can be presented as independent publications.

The meeting starts at 15:45 CEST

Action Points

Nr.	Description	Responsible	Deadline
1	Circulate D8.5 "Lessons learned" from Pilots among the EAB	Elisa Orrù	As soon as the final version is available
2	Circulate D9.8, D9.9 and D9.5 among the EAB	Elisa Orrù	As soon as advanced drafts are available
3	Present the results of WP9 as independent publications	Elisa Orrù	Within end of the project
4	Comment on these minutes	External EAB members	20.09.2021

Next Meeting(s): final EAB meeting in correspondence to the final TRESSPASS GA meeting.

ANNEX E: LIST OF MOST COMMON ETHICS PITFALLS FOR PILOTS



Document date: 18.03.2021

TRESSPASS consortium member: ALU-FR

Contact: elisa.orrù@css.uni-freiburg.de

Checklist for pilots

This document collects most common pitfalls that can occur during pilots and provides suggestions on how to avoid or mitigate them. It is based on previous experience and can be updated on the basis of new experiences during the TRESSPASS pilots.

Nr.	Background	Possible issue	Mitigation strategy
1	Participation of humans in the pilots must be based on informed and freely given consent.	Personnel recruited among Border Guard to participate voluntary in the pilots may understand their participation to be part of their professional duties.	Clearly state in the informed consent forms that participation is entirely voluntary and not part of their professional duties as Border Guards and that withdrawal is possible at any time without consequences.
2	There may be an interest in having anonymous surveys and interviews with Border Guards after the pilots in order to have a sincere feedback on the functionality of the system.	Anonymity can be invalidated by re-identification (by colleagues if the interview takes place face-to-face or by cross-checking information or by technical means if the survey is online).	If the interview/survey is stated to be anonymous, exclude the possibility of human or technical re-identification. If re-identification cannot be eliminated, then this must be communicated to participants and the interview/survey cannot be considered anonymous.
3	Informed consent forms must be understandable by the participants.	Informed consent forms are available only in English.	The IC forms must be translated into the local

			languages where the pilot takes place
	Participants to the pilots must know who are the contact persons for later inquiries/questions.	Only one copy of the IC forms is available and is retained by the pilots organisator.	Additional copies of the IC forms must be available to be kept by participants
4	In order to give informed consent, participants must have enough time in advance of the pilot to read the documentation, reflect on the information and decide whether to participate or not.	Only short time to read the IC forms in advance of the pilots.	Whenever possible, participants should receive the informed consent forms and the additional informative documentation in advance of the pilot, so that they have time to consider pros&cons of their participation in advance.
5	Fabricated identities (mock passport, mock social media account...) must be used by participants during the pilots.	Participants mistakenly assume that they have to provide their (or somebody else's) real data.	Clearly explain if and when real data must be provided (for instance, for checks at the entrance of the pilots sites) and when only the mock data must be used.

ANNEX F: INFORMED CONSENT FORMS FOR AIR PILOT – THE NETHERLANDS



Address:

TNO

Anna van Buerenplein 1

2595 DA Den Haag

The Netherlands

Date: 17 November, 2020

Email: angela.kwaijtaal@tno.nlwww.tresspass.eu

Partner: TNO
Action: Air pilot

Dear participant,

You have agreed to voluntarily take part into the *Pilot1: crossing the border at an airport* of the TRESSPASS project to be held at RNM work premises on the last week in February 2021. This letter is to inform you about the Air pilot.

Information

About TRESSPASS (robust Risk based Screening and alert System for Passengers and luggage)

The TRESSPASS project is a 42-month project funded by the European Union under the Horizon 2020 Programme (Grant Agreement no 787120).

TRESSPASS aims to develop a single cohesive risk-based border management concept and demonstrate it by pilot tests at an Airport (Netherlands), at the Polish Land Border at External EU crossing control point and at the Port of Piraeus (Greece). The project is led by the Greek National Centre for Scientific Research „Demokritos“ and involves a European Consortium of 22 partners.

In the current situation at main airport entry points to the EU from outside the EU, all passengers (pax) have to pass an immigration checkpoint, they have to make their passport available and answer any question the border guard poses them. The border guard does this based on information available to him/her at that point in time, such as prior departure airport, blacklists, country of origin, final destination, duration of stay, purpose of the visit and more. This is the so called ‘rule based’ approach.

The TRESSPASS system, which is still in development has as goal to make this process more efficient and more effective. The basic notion is that only a small fraction of pax who intend to enter the EU do not comply with the EU entry rules and require extra scrutiny by a human border guard interview, in order to ascertain the legitimacy of entry. The proposed TRESSPASS system makes use of prior knowledge about a passenger (pap) based on name, PNR (passenger name record which airlines make available), nationality, and some other known information. This is the so called ‘risk based’ approach.

Based on a host of factors the proposed TRESSPASS system generates risk indicators values per passenger and in this manner tags certain pap with a higher risk for illegal entry. Those individuals with a low risk appreciation could then enter the country without a scrutiny interview (or other checks) after having revealed their identity by means of making their passport available to an ID reader. Those pax that are tagged with a higher risk are asked, after revealing their identity, to be available for a scrutiny interview by a human border guard. The TRESSPASS approach would have at least two advantages. First, the flow of passengers through the immigration process would become more efficient for the passengers and the immigration officers. Second, the immigration officer will only be confronted with pax for whom a likelihood exists that their entry into the EU needs some extra attention.



This project is funded in the context of the European research project TRESSPASS
robust Risk based Screening and alert System for Passengers and luggage
Grant Agreement number: 787120 — TRESSPASS — H2020-SEC-2016-2017/H2020-SEC-2016-2017-2



In the TRESSPASS system, border guards confronted with potentially risky passengers as based on their risk scores collected through prior information and on their actual mobility behaviour at the airport in the arrival hall and will be supplied with a dashboard containing an overview of these relevant high scoring risk indicators. These can be used as query items for the to be interviewed passengers.

You can find more information on: <https://www.tresspass.eu/The-project>

About the Air pilot

The activity aims to achieve two goals:

1. To have an appreciation of the intended added value of the TRESSPASS dashboard to be used by border guards in so far that they are able to ask more precise and to the point questions with respect to the entry of the passenger into the EU.
2. Gain feedback on the proposed TRESSPASS methodology so that adjustments for a future pilot and evaluation can be made.

The research results will be used to:

- Do a qualitative analysis of TRESSPASS dashboard utility with respect to a query support system for potentially high risk arriving outside of EU passengers.
- Have a generic appreciation of the TRESSPASS methodology, as compared to the standard way of working of the border guard scrutiny in the current practice, in which the border guards are confronted f2f with all arriving passengers.

Based on the analysis of the chat data and appreciations, the design of the dashboard with respect to layout and content could be modified.

Your participation into the activity will take no more than 2 hours in total, 1 hour needed for an eLearning course explaining the ins and outs of the TRESSPASS dashboard, and 1 hour in helping us evaluate the utility thereof.

A more detailed description of the experimental setup is available upon request.

Procedures and safety

During the Air pilot, the following will take place:

Each individual participant, you, will be asked to be present at RNM work premises where a dedicated, for this pilot, room will be made available. The study will take place in the last week of February 2021.

Corona rules as posed by the Dutch government will be complied with to the fullest extent. This includes complying with the 1,5 meter physical distancing and hygienic precautions, of handwashing and the use of facemasks.

You will be asked:

1. Prior to the actual evaluation study of the TRESSPASS risk based initial scrutiny interview, you will receive this information pamphlet on the study and an informed consent form.
2. If in agreement, you will be asked to follow an online eLearning course, prior to the actual pilot study, which will explain the utility and details of the to be developed dashboard.
3. In the actual evaluation study, you as ANONYMOUS border guard will be asked to take place at a desk in a well ventilated room by a research assistant.
4. The desk will have two computer screens:
 - a. One with the TRESSPASS risk factors dashboard containing fabricated risk parameter values of a surrogate "risky" passenger.
 - b. Another screen with a running MSTEams application where the surrogate passenger is simulated. The responses of the surrogate passengers will be given by a team of 3 research assistants in text, making use of the chat functionality of MSTEams. In the same fashion you will be asked to pose your initial scrutiny interview questions by means of the chat.

- ask access to your personal data;
- request rectification of the personal data if they are not/no longer correct;
- request deletion of your personal data;
- ask for a restriction of processing;
- object to processing;
- implement data portability.

Moreover, you have the right to complain with a supervisory authority. For this activity the relevant authority/authorities is/are: [Autoriteit Persoonsgegevens, <https://autoriteitpersoonsgegevens.nl/>.]

Participation and withdrawal

Your participation in this activity is completely voluntary and you may withdraw at any time by informing the activity leader that you no longer wish to participate. No questions will be asked about your reasons, but you can provide them and complain if you wish so. There will be no negative consequences for you if you decide to withdraw from the activity. If you have any questions or concerns about the activity, please do not hesitate to turn to the contact person indicate below.

Contact person

Sincerely,

Name: Angela Kwaijtaal (angela.kwaijtaal@tno.nl)
Company: TNO, Position: Senior Project Manager

Naam: Remy van den Boom (remy.vandenboom@tno.nl)
Company: TNO, Position: Data Protection Officer

Consent

To be signed and dated by the participants *before* the activity starts

Hereby I declare that:

	Please mark as applying	
I am over 18 years old	Yes	No
I am healthy and can comply with the procedures described above	Yes	No
I understand that my participation is voluntary and that I am free to withdraw at any time without having to give a reason and without negative repercussions. No external pressure was exercised to me at any time in order to force my participation.	Yes	No
I have understood the description of the activities contained in this letter and my questions were answered in a satisfactory way.	Yes	No
I can keep the written information and receive a copy of my written declaration of consent.	Yes	No
I have been informed about privacy issues and how my personal data will be collected, processed, retained and protected. I have understood my rights regarding personal data access, redress and correction.	Yes	No
I have understood that the test does not involve in any way sensitive personal data.	Yes	No
I freely consent to the processing of my personal data for the purpose of the research activity and according to the procedures described in the information sheet.	Yes	No

ANNEX G: INFORMED CONSENT FORMS FOR LAND PILOT

- POLAND

Address:

Komenda Główna Straży Granicznej,
Al. Niepodległości 100, 02 – 514 Warszawa

Date: 12.11.2020

Email: bpr.kg@strazgraniczna.pl

www.tresspass.eu

Declaration of participation in the TRESSPASS project

funded by the European Union under Horizon 2020

Dear participant,

You have agreed to voluntarily take part into the land pilot of the TRESSPASS project to be held at the border crossing point in Terespol Land Border at External EU with Belarus (Poland) from 25/05/2021 to 28/05/2021. This letter is to inform you about the activities that will take place during the land pilot.

Information**About TRESSPASS (robust Risk basEd Screening and alert System for PASSengers and luggage)**

The TRESSPASS project is a 42-month project funded by the European Union under the Horizon 2020 Programme (Grant Agreement no 787120). TRESSPASS aims to develop a single cohesive risk-based border management concept and demonstrate it by pilot tests at the Schiphol Airport (Netherlands), at the border crossing point in Terespol Land Border at External EU with Belarus (Poland) and at the Port of Piraeus (Greece). The project is led by the Greek National Centre for Scientific Research „Demokritos” and involves a European Consortium of 22 partners. Further information is available on the project’s website at <https://www.tresspass.eu/>.

About the activity

The activity in which you participate aims to demonstrate and test the technologies developed in the project within the land border scenario.

The following technical components will be tested during the activities:

- Multi modal communication analysis Tool (MMCAT) -VV, TNO
- Thermal counter spoofing sensor (TCSS) -WAT
- Security personnel mobile apps (SPA) -NCSR
- Traveller registration application (TRA)-ED
- Legacy Systems Interfaces (LSI)-INF
- Web Intelligence (WI) -SPH
- Dynamic Risk Assessment System (DRAS) -ED
- Data Fusion and Analytics (DFA) -NCSR
- Distributed Messaging System (DMS) -NCSR
- Command and Control (C2) Center (C2+C2WA) -NCSR
- International alert system (IAS) -NCSR
- TRESSPASS Light Client (TLC) -ED

For a description of the functioning of each component, the legal bases for collecting the data and the data flow, please refer to the attached detailed technology description sheets (1 on 3 pages).

The research results will be used to demonstrate how joint use of web intelligence, behavioural analysis, information from third countries, and data from various dataset (Interpol, LEASs) may provide additional data for risk-based screening in detecting illegal activity, such as irregular migration (attempt to illegally cross the border), smuggling of goods (cigarette smuggling).

Your participation into the activity will take about four hours each day.

Procedures and safety

During the activity/workshop, you will/may be asked to

- presentation of a document confirming identity

The following safety measures will be in place

- All groups of participants shall be accompanied by the guide appointed by the Head of Polish Border Guard BCP at Terespol;
- A person participating in the pilot shall not move away from the group and assisting BG officer particularly towards the direction of control lines, where border traffic control is conducted;
- All safety instructions of assisting BG officer shall be followed and any unconventional situations, occurrences and injuries shall be reported;
- The attire of persons participating in the pilots shall be adjusted to the field conditions of the BCP and time of year;
- In case of need the participants can be obliged to wear visibility vests;
- Photographing or filming of BG premises, officers and equipment for border control can be only made after the consent of assisting BG officer.

Risks and benefits

There is no potential risk or benefit for participating.

Use of data

- Personal data is processed in order to ensure the protection of the facility and the safety of persons and property during the activity/workshop (CCTVs) according to Regulation (EU) 2016/679 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);
- Camera recordings are kept for a period not exceeding 3 months from the date of recording;
- The data will be not published on any medium;
- The data won't be transferred or sold to any third party
- No automated-decision-making, including profiling, takes place;
- The data will be not further processed for purposes different from the ones of the original collection.

Incidental findings

If there are incidental findings related to illegal activities (e.g., participant carrying an illegal weapon, drugs, serious breaches of safety rules or displaying aggression towards other participants), relevant law enforcement authorities will be informed.

Rights of the data subject

According to Art. 15 to 22 and 34 of the General Data Protection Regulation, you have the right to:

- ask access to your personal data;
- request rectification of the personal data if they are not/no longer correct;
- request deletion of your personal data;
- ask for a restriction of processing;
- object to processing;
- implement data portability.

Moreover, you have the right to complain with a supervisory authority. For this activity the relevant authority/authorities is/are: Personal Data Protection Office, ul. Stawki 2, 00-193 Warszawa, tel. +48 22 531 03 00

Working hours of the office: 8 a.m. – 4 p.m. e-mail: kancelaria@uodo.gov.pl, Infoline (in Polish): 606-950-000 Operates on weekdays from 10.00 – 14.00

Participation and withdrawal

Your participation in this activity is completely voluntary and you may withdraw at any time by informing the activity leader that you no longer wish to participate. If you feel uncomfortable at any stage of the procedures, you should immediately interrupt the activity and you can ask for deletion of the recorded material. No questions will be asked about your reasons, but you can provide them and complain if you wish so. There will be no negative consequences for you if you decide to withdraw from the activity. If you have any questions or concerns about the activity, please do not hesitate to turn to the contact person indicate below. PBG employees who are not directly involved in the TRESSPASS project participate to this pilot on a voluntary basis and not as part of their professional duties. A refusal to participate in the pilot will not imply any disadvantage from the professional point of view

Contact person

Sincerely,

Name: BG Lt. col Krzysztof Dziedzic

Company: Polish Border Guard,

Position: Director Information Protection Office of the General Headquarters of the Border Guard

Consent

To be signed and dated by the participants before the activity starts

Hereby I declare that:

	Please mark as applying	
I am over 18 years old	Yes	No
I am healthy and can comply with the procedures described above	Yes	No
I understand that my participation is voluntary and that I am free to withdraw at any time without having to give a reason and without negative repercussions. No external pressure was exercised to me at any time to force my participation.	Yes	No
I have understood the description of the activities contained in this letter and my questions were answered in a satisfactory way.	Yes	No
I can keep the written information and receive a copy of my written declaration of consent.	Yes	No
I have been informed about privacy issues and how my personal data will be collected, processed, retained, and protected, as well about all issues with regard to. I have understood my rights regarding personal data access, redress, and correction.	Yes	No
I have understood that the test involves the use of sensitive personal data and agree with the collection and processing of these categories of data	Yes	No
I freely consent to the processing of my personal data for the purpose of the research activity and according to the procedures described in the information sheet.	Yes	No
I agree to participate in the activity.	Yes	No

Name:

Date:

Signature:

Attachment

Description of components

1. **MMCAT.** The multimodal communication analysis tool (MMCAT) is an interview support system, providing technology for a security/authority officer ('Interviewer') conducting an interview. Its typical application is in interviews with travelers as part of the second line checks, if needed, with an elevated risk level.
2. **TCSS.** Thermal Counter Spoofing Sensor (TCSS) aims to detect attempts to falsify facial appearance. Its purpose is to detect attempts to steal an identity in the form of changes in the appearance of the face. Identity theft detection technology is used to determine if the face presented in front of the camera has not been changed by wearing a face mask or presenting a picture with the image of another person.
3. **SPA** (Security Personnel Application) is a mobile application, which will be used from border authority or security personnel within the BCPs to receive from C2 or report to C2 abnormal behavior of travelers or other risk related information and alerts. SPA produces risk report geo-referenced data (either using mobile devices' GPS sensor or proximity data from the interfacing with the beacons) which are forwarded to the C2 back-end component. Geo-Location data are optional in the report to be sent to the C2.
4. **TRA.** The Traveler Registration Application (TRA) enables traveler pre-registration with TRESSPASS system, initial risk level assessment by other TRESSPASS applications, and continuous interaction with BCP authorities. Using this simple-to-understand application, the travelers, following their consent, will be able to enter and update their personal information, enter travel related document information (such as VISA, passport) and travel information (tickets, hotel reservation, vehicles data etc.). All information collected during the pre-registration phase will be retrieved by the system to speed up the border control process. The TRA will provide the following functionalities to traveler:
 - a. Registration: Everyone will be able to register for use of the Traveler Registration Application.
 - b. Travel document information and personal information management: Registered users will be able to add, edit and delete travel document information and personal information.
 - c. Vehicle data management: Registered users will be able to add, edit and delete information about vehicle(s) used for trips.

- d. Trip Management: Registered users will be able to add, edit and delete information about planned trips, including means of travel and information about countries to be visited and border points to be used.
5. **LSI.** The LSI component aims at creating adaptors for accumulating and aggregating information from heterogeneous legacy information systems (legacy databases) such as VIS, SISII, TravelDoc and EES. The interoperability between TRESSPASS and these legacy systems aims at providing useful information and alerts from passenger profile checks, regarding the construction of risk indicators. LSI implements a list of simulated legacy information systems that are expected to be leveraged for the extraction of risk information. These simulated Legacy Information Systems were developed as Web Services, a standardized medium to propagate communication between the client and server applications by providing a common platform that allows multiple applications built on various programming languages to have the ability to communicate with each other
6. **WI** facilitates the utilization of open sources (Dark net, Clearnet, and social media) through data crawling, collection, and analysis to contribute to the calculation of risk indicators, applied only to those travelers that risk indicators have been identified in previous check stages without processing and permanent storage of their personal data, their online activities, and connections/contacts.

The goal of WI is to facilitate the utilization of open-source intelligence, gathered from social media (Facebook), Dark net and Clearnet sources, within the risk-based border management concept developed in TRESSPASS and assist the Border Authorities in implementing these risk-based concepts at appropriate Border Crossing Points (BCPs)
7. **DRAS** provides real-time risk assessment for each traveler based on continuously receiving traveler risk indicator data from Data Fusion Analytics (DFA) module, calculating traveler risk score per threat and overall risk score, using weight based formulas, and providing traveler risk profile to the border guards through the Command and Control front-end user interface.
8. **DFA** operates as a back-end process which continuously collects input via the DMS (Distributed Messaging System) provided by each data source and periodically infers potential risk indicators occurrences along with potential confidence value, timestamp and data sources involved.
9. **DMS** is used as a means of intercommunication between different components in TRESSPASS. Technical partners can create channels that they use to public information

and other partners can subscribe to the channels that they are interested in and receive the information published.

10. **C2** consists of two parts: the back end and the front-end web application which interacts with the border competent authorities and security personnel at a BCP.

The C2 back-end allows front-end components and sensors to connect and send information through DMS receiving also accumulated information in DMS coming from other TRESSPASS sub-systems which can be used for further analysis, presentation, and dissemination purposes.

The C2 front end web app will be used by the border authority and security personnel providing infrastructure maps management, front-end interface with other data sources and sensors, alerts visualization, location-based tracking of high-risk passengers and the risk assessment results for travelers.

11. **IAS** enables countries inside and outside of the TRESSPASS network to send alerts regarding traveler risk information. The component is controlled through C2 inside the TRESSPASS network whereas TLC is used to control IAS from countries outside the TRESSPASS network.
12. **TLC** provides the ability to third countries to report information about threats and alerts through the IAS module. Component will provide following functionalities:
 - a. Enter data about risky traveler through a UI and select which BCPs it should be shared
 - b. Receive and present data about risky traveler from other BCPs

Adres

Komenda Główna Straży Granicznej,
Al. Niepodległości 100, 02 – 514 Warszawa

Data: 15.05.2021 r.

email: bpr.kg@strazgraniczna.pl

www.tresspass.eu

Deklaracja uczestnictwa w projekcie TRESSPASS finansowanym ze środków Unii Europejskiej w ramach programu Horyzont 2020

Szanowna Pani/Szanowny Panie,

wyraża Pani/Pan dobrowolną zgodę na wzięcie udziału w badaniach pilotażowych projektu TRESSPASS, które odbędą się na przejściu granicznym w Terespolu na lądowej granicy zewnętrznej UE/Schengen Rzeczypospolitej Polskiej z Republiką Białoruś od 25/05/ 2021 do 28/05/2021. Poniżej znajdują się informacje o czynnościach, które będą miały miejsce podczas badań.

Ogólne informacje o projekcie

Projekt TRESSPASS (*robust Risk basEd Screening and alert System for PASSengers and luggage*) „Efektywny system kontroli osób i bagaży realizowany w oparciu o analizę ryzyka” jest finansowany przez Unię Europejską w ramach programu Horyzont 2020 (Umowa Grantowa nr 787120). Celem przedsięwzięcia jest wypracowanie praktycznych narzędzi oraz systemów pozwalających na optymalizację procesu kontroli granicznej na granicach zewnętrznych Unii Europejskiej. Realizacja założeń projektu przyczynić się ma do usprawnienia przepływu osób i towarów przy zastosowaniu odpowiedniego poziomu bezpieczeństwa oraz maksymalnych ułatwień dla osób przekraczających granice przy optymalnym wykorzystaniu zasobów osobowych służb kontrolnych. W skład Konsorcjum realizującego Projekt wchodzi 22 instytucje i służby graniczne z państw Unii Europejskiej oraz Szwajcarii. Zakładany czas realizacji Projektu to 42 miesiące. Strona internetowa projektu: <https://www.tresspass.eu/>.

Komponenty techniczne zastosowane w badaniach pilotażowych

Badania, w których bierze Pani/Pan udział, mają na celu zademonstrowanie i sprawdzenie działania przygotowanych komponentów technicznych w rzeczywistych warunkach odprawy granicznej na lądowym przejściu granicznym.

Podczas badań użyte zostaną niżej wymienione komponenty techniczne:

- Narzędzie do wspomaganie decyzji w trakcie przesłuchania (MMCAT) – opracowane przez VV i TNO
- Termowizyjny sensor spoofing (TCSS) - opracowany przez WAT
- Aplikacja mobilna personelu ochrony (SPA) – opracowana przez NCSRD
- Aplikacja wstępnej rejestracji podróżnego (TRA) – opracowana przez ED

- Moduł zapewniający integrację i interoperacyjność systemu TRESSPASS z zewnętrznymi źródłami danych i starszymi systemami (VIS, LIS, EES itp.) w celu sprawdzenia profili pasażerów (LSI) – opracowany przez INF
- Moduł generujący wskaźniki ryzyka, w oparciu o informacje o podróży znalezione w mediach społecznościowych (WI) – opracowany przez SPH
- Dynamiczny system oceny ryzyka (DRAS) – opracowany przez ED
- Moduł analizy i fuzji danych (DFA) - opracowany przez NCSRD
- System przesyłania i wymiany informacji (DMS) - opracowany przez NCSRD
- Centrum dowodzenia i kontroli (C2) - opracowany przez NCSRD
- Międzynarodowy system ostrzegania (IAS) - opracowany przez NCSRD
- Aplikacja TRESSPASS Klient, która powinna zapewnić państwom trzecim możliwość zgłaszania informacji o zagrożeniach i ostrzeżeń za pośrednictwem modułu IAS (TLC) - opracowany przez ED

Szczegółowy opis działania każdego komponentu, znajduje się w załączonym arkuszu (1 na 3 stronach).

Wyniki badań zostaną wykorzystane do wykazania, jak połączone komponenty (np. dane z mediów społecznościowych, analizy behawioralnej, informacji wyprzedzających, itp.) mogą dostarczyć dodatkowych informacji wspomagających wykrywanie przestępczości związanej z nieregularną migracją oraz przemytem towarów.

Przewidywany udział w badaniach zajmie około 4 godzin każdego dnia.

Procedury i bezpieczeństwo

Podczas badań / warsztatów będzie Pani/Pan / mogła/mógł zostać poproszony o:

- przedstawienie dokumentu potwierdzającego tożsamość.

Zostaną wprowadzone następujące środki bezpieczeństwa:

- Grupa porusza się z przewodnikiem wyznaczonym przez Komendanta PSG w Terespolu;
- Nie należy oddalać się od grupy i nadzorującego jej funkcjonariusza w szczególności w kierunku pasów kontrolnych, na których prowadzone są czynności graniczne;
- Należy wykonywać polecenia funkcjonariusza odpowiedzialnego za bezpieczeństwo grupy oraz informować go o wszelkich nietypowych zdarzeniach lub doznanych urazach;
- Ubiór powinien być dostosowany do warunków terenowych i atmosferycznych panujących na przejściu granicznym;
- W przypadku potrzeby uczestnicy mogą być zobowiązani do założenia kamizelek odblaskowych.
- Fotografowanie obiektów Straży Granicznej oraz urządzeń służących do prowadzenia odprawy granicznej lub ochrony granicy państwowej – tylko za zgodą funkcjonariusza odpowiedzialnego za oprowadzanie grupy po obiektach.

Ryzyko i korzyści

Uczestnictwo nie wiąże się z potencjalnym ryzykiem ani korzyścią.

Wykorzystanie danych osobowych

- Dane osobowe, zgodnie z Rozporządzeniem Parlamentu Europejskiego i Rady (UE) 2016/679 z dnia 27 kwietnia 2016 r. w sprawie ochrony osób fizycznych w związku z przetwarzaniem danych osobowych i w sprawie swobodnego przepływu takich danych oraz uchylenia dyrektywy 95/46/WE (ogólne rozporządzenie o ochronie danych), pochodzące z

zapisu kamer monitorujących obiekt Straży Granicznej są przetwarzane w celu zapewnienia ochrony obiektu oraz zapewnienia bezpieczeństwa osób i mienia podczas zajęć / warsztatów.

- Nagrania z kamer przechowywane są przez okres nieprzekraczający 3 miesięcy od dnia nagrania;
- Dane osobowe nie będą publikowane na żadnym nośniku;
- Dane osobowe nie są przekazywane do państw trzecich lub organizacji międzynarodowych;
- Państwa dane osobowe nie są przetwarzane w sposób zautomatyzowany i nie są one profilowane, a decyzje nie są podejmowane automatycznie;
- Dane osobowe nie będą dalej przetwarzane w celach innych niż te, które były pierwotnie zebrane.

Przypadkowe ustalenia

Jeżeli nastąpią przypadkowe ustalenia związane z działaniami niezgodnymi z prawem (np. uczestnik będzie posiadał nielegalną broń, narkotyki, poważnie naruszy zasady bezpieczeństwa lub przejawia agresję wobec innych uczestników), zostaną o tym poinformowane odpowiednie organy ścigania.

Prawa osób, której przetwarza się dane osobowe

Zgodnie z artykułami od 15 do 22 oraz 34 Ogólnego Rozporządzenia o Ochronie Danych masz prawo do:

- dostępu do swoich danych osobowych;
- żądania sprostowania swoich danych osobowych, jeśli nie są / przestały być poprawne;
- żądania usunięcia swoich danych osobowych („prawo do bycia zapomnianym”);
- poproszenia o ograniczenie przetwarzania swoich danych osobowych;
- wniesienia sprzeciwu wobec przetwarzania swoich danych osobowych;
- przeniesienia swoich danych osobowych.

W przypadku powzięcia informacji o niezgodnym z prawem przetwarzaniu w Straży Granicznej danych osobowych, przysługuje Państwu prawo wniesienia skargi do organu nadzorczego właściwego w sprawach ochrony danych osobowych do Prezesa Urzędu Ochrony Danych Osobowych, ul. Stawki 2, 00-193 Warszawa, tel. 22 531-03-00.

Godziny pracy urzędu: 8.00 – 16.00 e-mail: kancelaria@uodo.gov.pl, Infolinia (po polsku): 606-950-000 czynna w dni robocze 10.00 – 14.00

Udział i wycofanie się

Udział w badaniach pilotażowych jest całkowicie dobrowolny, może Pani/Pan wycofać się z niego w dowolnym momencie informując prowadzącego. Jeśli poczuje się Pani/Pan nieswojo na którymkolwiek etapie procedur, to może natychmiast przerwać czynności oraz poprosić o usunięcie nagranych materiałów. Nie będą zadawane żadne pytania dotyczące powodów, ale może je Pani/Pan podać i złożyć skargę. Jeśli zdecyduje się Pani/Pan wycofać z aktywności, nie spowoduje to żadnych negatywnych konsekwencji. Jeśli ma Pani/Pan jakiegokolwiek pytania lub wątpliwości dotyczące przeprowadzanego badania, proszę zwrócić się do osoby kontaktowej wskazanej poniżej. Pracownicy Straży Granicznej, którzy nie są bezpośrednio zaangażowani w projekt TRESSPASS uczestniczą w teście na zasadzie dobrowolności, a nie w ramach swoich obowiązków służbowych. Odmowa udziału w programie pilotażowym nie pociąga za sobą żadnych niekorzystnych skutków z zawodowego punktu widzenia.

Osoba do kontaktu

[REDACTED]

[REDACTED]

[REDACTED]

Oświadczam, że:

	Proszę zaznaczyć	
Jestem osobą pełnoletnią	Tak	Nie
Mój stan zdrowia jest dobry i potrafię postępować zgodnie z procedurami opisanymi w deklaracji	Tak	Nie
Deklaruję, że mój udział w badaniach jest dobrowolny i zrozumiałem, że mogę się z niego wycofać w dowolnym momencie bez konieczności podawania przyczyny i bez negatywnych konsekwencji. Nie wywierano na mnie żadnego nacisku, aby zmusić mnie do uczestnictwa w badaniach	Tak	Nie
Zrozumiałem opis zawartych w deklaracji działań i udzielono mi wystarczających wyjaśnień.	Tak	Nie
Zrozumiałem pisemne informacje i otrzymałem kopię mojej zgody.	Tak	Nie
Zostałem / am poinformowany / a o kwestiach związanych z prywatnością oraz o tym, jak moje dane osobowe będą gromadzone, przetwarzane, przechowywane i chronione, a także o wszystkich kwestiach z tym związanych. Zapoznałem się z przysługującymi mi prawami dotyczącymi dostępu do danych osobowych, dochodzenia roszczeń oraz możliwości ich sprostowania.	Tak	Nie
Zrozumiałem, że badania mogą objąć wrażliwe dane osobowe i zgadzam się na gromadzenie i przetwarzanie tych kategorii danych.	Tak	Nie
Wyrażam dobrowolną zgodę na przetwarzanie moich danych osobowych w celu prowadzenia działalności naukowej i zgodnie z procedurami opisanymi w deklaracji.	Tak	Nie
Wyrażam zgodę na udział w zajęciach.	Tak	Nie

Imię Nazwisko:

Data:

Podpis:

Załącznik

opis działania komponentów technicznych

1. **MMCAT** (*Multimodal Communication Analysis Tool*). Narzędzie do Analizy Komunikacji Multimodalnej to system wspomagający przesłuchania przeprowadzane przez funkcjonariusza Straży Granicznej. Jego typowe zastosowanie to przeprowadzanie wywiadów z podróżnymi w ramach kontroli na drugiej linii, w sytuacji gdy taka potrzeba zaistnieje.

2. **TCSS** (*Thermal Counter Spoofing Sensor*). Czujnik termiczny wykrywający próby fałszowania wyglądu twarzy. Jego celem jest wykrywanie prób kradzieży tożsamości w postaci zmian w wyglądzie twarzy. Czujnik ten służy do wykrycia, czy twarz prezentowana przed kamerą nie została zmieniona poprzez założenie maski lub przedstawienie zdjęcia z wizerunkiem innej osoby.

3. **SPA** (*Security Personel Application*). Aplikacja dla Personelu Ochrony to aplikacja mobilna, która będzie wykorzystywana przez Straż Graniczną na przejściach granicznych w celu otrzymywania od Centrum Kontroli lub zgłaszania do Centrum Kontroli nieprawidłowego zachowania podróżnych lub innych informacji i ostrzeżeń związanych z ryzykiem. SPA generuje raport ryzyka, który jest wysłany do Centrum Kontroli. Opcjonalnie raport może zawierać dane o lokalizacji geograficznej uzyskane za pomocą czujnika GPS urządzenia mobilnego lub danych o bliskości ze stacji radiowej.

4. **TRA** (*Traveler Registration Application*). Aplikacja Rejestracyjna Podróżnych umożliwia wstępną rejestrację podróżnego w systemie TRESSPASS, wstępną ocenę poziomu ryzyka przez inne aplikacje TRESSPASS oraz stałą interakcję z funkcjonariuszami na przejściu granicznym. Korzystając z tej prostej do zrozumienia aplikacji, podróżni, po wyrażeniu zgody, będą mogli wprowadzać i aktualizować swoje dane osobowe, informacje dotyczące dokumentów podróży (takich jak wiza, paszport) i informacje dotyczące podróży (bilety, rezerwacja hotelu, dane pojazdów itp.). Wszystkie informacje zebrane na etapie wstępnej rejestracji zostaną pobrane przez system w celu przyspieszenia procesu kontroli granicznej. TRA zapewni podróżnemu następujące funkcje:

- a. Rejestracja: Każdy będzie mógł zarejestrować się w celu korzystania z Aplikacji Rejestracyjnej Podróżnych.
- b. Zarządzanie informacjami o dokumentach podróży i danymi osobowymi: Zarejestrowani użytkownicy będą mogli dodawać, edytować i usuwać informacje o dokumentach podróży oraz dane osobowe.

c. Zarządzanie danymi pojazdu: Zarejestrowani użytkownicy będą mogli dodawać, edytować i usuwać informacje o pojazdach używanych do podróży.

d. Zarządzanie podróżami: Zarejestrowani użytkownicy będą mogli dodawać, edytować i usuwać informacje o planowanych podróżach, w tym o środkach podróżowania oraz informacje o krajach które chcą zwiedzić i punktach granicznych, które planują przekroczyć.

5. **LSI** (*Legacy Information System*). Komponent Starsze Systemy Informatyczne ma na celu stworzenie adapterów do gromadzenia i agregowania informacji z heterogenicznych starszych systemów informacyjnych (starszych baz danych), takich jak VIS, SISII, TravelDoc i EES. Interoperacyjność między TRESSPASS a tymi starszymi systemami ma na celu dostarczanie przydatnych informacji i ostrzeżeń na podstawie kontroli profilu pasażera w odniesieniu do konstrukcji wskaźników ryzyka. LSI wykorzystuje symulowane starsze systemy informacyjne, które mają być wykorzystywane do wydobywania informacji o ryzyku. Te symulowane starsze systemy informacyjne zostały opracowane jako usługi internetowe (strony Web), będące znormalizowanym medium do propagowania komunikacji między aplikacjami klienckimi i serwerowymi, zapewniając wspólną platformę, która umożliwia wielu aplikacjom opracowanych w różnych językach programowania możliwość komunikowania się ze sobą.

6. **WI** ułatwia korzystanie z otwartych źródeł (Dark net, Clearnet i media społecznościowe) poprzez przeszukiwanie, gromadzenie i analizę danych w celu obliczenia wskaźników ryzyka w stosunku do tych podróży, dla których wskaźniki ryzyka zostały zidentyfikowane podczas poprzednich etapów kontroli bez przetwarzania i przechowywania ich danych osobowych, ich działań online, powiązań i kontaktów.

Celem WI jest ułatwienie wykorzystania informacji wywiadowczych typu „open source”, zebranych z takich źródeł jak media społecznościowe np. Facebook, Dark net i Clearnet, w ramach koncepcji zarządzania granicami opartej na ryzyku opracowanej w projekcie TRESSPASS oraz pomoc Straży Granicznej we wdrażaniu tej koncepcji na odpowiednich przejściach granicznych.

7. **DRAS** zapewnia ocenę ryzyka dla każdego podróżnego w czasie rzeczywistym na podstawie ciągłego otrzymywania danych dotyczących wskaźników ryzyka podróżnego z modułu *Data Fusion Analytics* (DFA). Oblicza całosciowy poziom ryzyka podróżnego przy użyciu odpowiednich formuł opartych na wadze danego ryzyka. Przedstawia profil ryzyka podróżnego Straży Granicznej za pośrednictwem odpowiedniego interfejsu użytkownika.

8. **DFA** działa w tle i w sposób ciągły gromadzi dane wejściowe za pośrednictwem systemu **DMS** (*Distributed Messaging System*) dostarczane przez każde źródło danych i okresowo określa potencjalne wskaźniki ryzyka wraz z potencjalną wartością ufności, znacznikiem czasu i danymi źródłowymi.

9. **DMS** jest używany jako środek komunikacji wewnętrznej pomiędzy różnymi komponentami projektu TRESSPASS. Partnerzy techniczni mogą tworzyć kanały, których używają do udostępniania informacji, a inni partnerzy mogą subskrybować kanały, którymi są zainteresowani i otrzymywać publikowane informacje.

10. **C2** (*Command and Control*) składa się z dwóch części: zaplecza i zewnętrznej aplikacji internetowej, która współpracuje z właściwymi organami granicznymi i strażnikami granicznymi na przejściu granicznym.

Zaplecze C2 pozwala komponentom i czujnikom na łączenie się i wysyłanie informacji przez DMS oraz odbieranie informacji zgromadzonych w DMS pochodzących z innych podsystemów TRESSPASS. Informacje te mogą być użyte do dalszej analizy, prezentacji i rozpowszechniania.

Zewnętrzna aplikacja internetowa C2 będzie używana przez służby graniczne pozwalając na zarządzanie odpowiednimi mapami infrastruktury, zarządzanie interfejsami urządzeń i czujników przesyłającymi odpowiednie dane, wizualizację alertów, śledzenie pasażerów wysokiego ryzyka w oparciu o lokalizację oraz prezentację wyników oceny ryzyka dla podróżnych.

11. **IAS** umożliwia krajom będącym w sieci TRESSPASS oraz krajom spoza niej, wysyłanie ostrzeżeń dotyczących ryzyka podróżnych. Komponent jest kontrolowany przez C2 wewnątrz sieci TRESSPASS, natomiast poza siecią jest kontrolowany przez TLC.

12. **TLC** zapewnia państwom trzecim możliwość zgłaszania informacji o zagrożeniach i ostrzeżeń za pośrednictwem modułu IAS. Komponent zapewnia następujące funkcjonalności:

- a. Wprowadzanie danych o podróżnym obciążonym ryzykiem za pośrednictwem interfejsu użytkownika i wybieranie, które przejścia graniczne mają zostać przekroczone.
- b. Otrzymywanie i prezentowanie danych o podróżnym obciążonym ryzykiem przesłanych z innych przejść granicznych.

**Address:**

Komenda Główna Straży Granicznej,
Al. Niepodległości 100, 02 – 514 Warszawa

Date: 25.05.2021

Email: bpr.kg@strazgraniczna.pl

www.tresspass.eu

Land Pilot
Additional safety measures

Research assistants will be present and will disinfect equipment after being touched. The pilot will be completely in compliance with the then concurrent corona rules posed by the Polish government. 12 border guards and 3 customs officers will be asked to participate by the PBG. This number of volunteers cannot be increased, this was the maximum number of border guards that could be made free from their regular tasks, the number of persons allowed to congregate due to corona restrictions and the budget constraints within the work package.

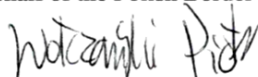
Each pilot day 12 border guards will be asked to be present at their workplace where a dedicated, for this pilot, a large room will be made available to house the 12 border guards corona proof.

Corona rules as posed by the Polish government will be complied with to the fullest extent. This includes complying with the 1,5 meter physical distancing and hygienic precautions, of handwashing and the use of facemasks.

The major risk we need to account for is non-compliance with corona rules, study facilitators will be positioned to observe the compliance of the participants and intervene when the slightest deviation from these rules are anticipated.

BG Staff Warrant Officer dr. Piotr WOŁCZAŃSKI

Project coordinator on behalf of the Polish Border Guard

25.05.2021 

**Adres:**

Komenda Główna Straży Granicznej,
Al. Niepodległości 100, 02 – 514 Warszawa

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Email: bpr.kg@strazgraniczna.pl

www.tresspass.eu

Pilotaż lądowy
Dodatkowe środki bezpieczeństwa

W trakcie pilotażu obecne będą osoby uprawnione, które będą na bieżąco dezynfekować sprzęt. Pilotaż będzie przeprowadzony zgodnie z obowiązującymi w tym czasie zasadami bezpieczeństwa związanymi z zapobieganiem rozprzestrzeniania się COVID-19 narzuconymi przez polski rząd.

Do udziału w projekcie Straż Graniczna planuje zaprosić 12 funkcjonariuszy Straży Granicznej i 3 Krajowej Administracji Skarbowej. Ta liczba uczestników jest maksymalną liczbą funkcjonariuszy, których można było zwolnić od ich stałych zadań, przy jednoczesnym zachowaniu restrykcji związanych z zachowaniem dystansu społecznego przeciwdziałającemu rozprzestrzenianiu się COVID-19.

Każdego dnia pilotażowego 12 funkcjonariuszy straży granicznej zostanie poproszonych o stawienie się w miejscu służby, gdzie zostanie udostępnione duże pomieszczenie, w którym będą mogli przebywać zachowując dystans społeczny.

Zasady przeciwdziałania rozprzestrzenianiu się COVID-19 określone przez polski rząd będą przestrzegane w każdym możliwym zakresie. Obejmuje to m.in. przestrzeganie 1,5-metrowej odległości fizycznej, stosowanie środków higienicznych/dezynfekujących, takich jak mycie rąk i stosowanie masek na twarz.

Głównym ryzykiem, z którym musimy się liczyć, jest nieprzestrzeganie zasad przeciwdziałania rozprzestrzenianiu się COVID-19. Osoby prowadzące testy będą miały za zadanie obserwować przestrzeganie ww. zasad przez uczestników i interweniować w przypadku najmniejszych odstępstw.

st. chor. szt. SG dr Piotr WOŁCZAŃSKI
Koordynator projektu z ramienia Straży Granicznej

25.05.2021 *Wolczanski Piotr*

ANNEX H: INFORMED CONSENT FORMS FOR SEA PILOTS – GREECE - BORDER/SECURITY ACTORS



TRESSPASS SEA PILOT: INFORMED CONSENT FOR BORDER/SECURITY ACTORS

To be presented to participants in English and in Greek. Participants must receive a copy of the current information sheet and of the consent form they have signed.

Dear participant,

You have agreed to voluntarily take part into the pilot tests of the TRESSPASS project to be held at the border crossing point at the Port of Piraeus within the period: 20/7/2021 - 23/7/2021. This letter is to inform you about the activities that will take place during the sea pilot.

Information

About TRESSPASS (robust Risk basEd Screening and alert System for PASSengers and luggage)

The TRESSPASS project is a 42-month project funded by the European Union under the Horizon 2020 Programme (Grant Agreement no 787120). TRESSPASS aims to develop a single cohesive risk-based border management concept and demonstrate it by pilot tests at the Schiphol Airport (Netherlands), at the border crossing point in Terespol Land Border at External EU with Belarus (Poland) and at the Port of Piraeus (Greece). The project is led by the Greek National Centre for Scientific Research Demokritos and involves a European Consortium of 22 partners. Further information is available on the project's website at <https://www.tresspass.eu/>.

About the pilot test activities

The activities in which you participate aim to demonstrate and test the technologies developed in the project within the sea case scenarios.

The following technical components with a short description of their functionality developed by the relevant partner as illustrated in the following table, will be tested during the pilot test activities:

Component	Partners	Functionality – Short Description
Video Tracking Component (VTC)	VV	The Video Tracking Component follows persons passing through an observed area. It is assumed that on entering the observed area a person passes a registration point, observed by a single camera. This allows to enrol a passenger in the TRESSPASS system based on its UUID, and to follow that passenger through the BCP.
Multi modal communication analysis Tool (MMCAT)	VV, TNO	Interview support system, providing technology for a security officer taking an interview. This decision support system helps an officer in 2 nd line border checks to conduct interviews with travellers with an elevated risk level.
Real-Time Behavioural Analytics (RTBA)	VV, SCCH	Abnormal Track-based Behaviour Detection. Generation of latent representations for micro, short and long-term movement patterns for the identification of trajectory based intent scores.
Travelers and luggage tracking sensor platform (TLTP)	NCSR	An RFID based technology platform that is used for luggage & passenger tracking in structured environments as security checkpoint areas or unstructured "sterilized" environments for free movement as landside & airside areas.
Security personnel mobile apps (SPA)	NCSR	TRESSPASS mobile security personnel apps will allow security professionals to provide feedback into the system, thus, lowering the overall situation risk level.
Legacy Systems Interfaces (LSI)	INF	This module will provide flexible and configurable integration and interoperability of TRESSPASS system with external data sources and legacy systems (VIS, LIS, EES etc.) to check the passengers' profiles.
Web Intelligence (WI)	SPH	Within TRESSPASS, the web intelligence (WI) module will be responsible to utilise information from open sources (clear Internet and Darknet) to support the Border Guard Authorities in their risk-based border management activities. The gathered information will be processed in order to extract and enrich the set of risk indicators the border guards use, contributing to the overall risk calculation per traveller, hence leading to a more robust classification. The WI module accepts as input traveller information and produces the corresponding risk indicators, based on the information found, associated with that traveller.
Dynamic Risk Assessment System (DRAS)	ED	Dynamic Risk Assessment System (DRAS) is a TRESSPASS module, which provides a risk assessment functionality. The module will operate by consuming information from Data Fusion Service (data coming from collection modules DFA, RTBA, WI, TLTP, TSPA and VTC) and will

		calculate, using built-in formulas, a combined risk score for each entity (passenger). In this way, DRAS can reliably assist Border Guard's in making decision.
Data Fusion and Analytics (DFA)	NCSR	DFA will provide 'hard' and 'soft' data fusion operations in order to incorporate information from heterogeneous information sources. The result should be provided mainly to DRAS and any other component that is needed.
Distributed Messaging System (DMS)	NCSR	DMS will enable TRESSPASS subsystems to exchange information. Publishers shall connect on DMS to upload information to be shared while consumers (subscribers) shall connect to DMS in order to consume information already available (or to be available – through subscription on topics). DMS shall allow read and write streams of data like any classic messaging system. Streams of data should be stored in a distributed, replicated and fault-tolerant cluster.
Command and Control (C2) Centre (C2+C2WA)	NCSR	C2 system is the core command and control application to be run in the BCP. Results of treat analysis and data fusion should be available in C2 nodes for provisioning and further analysis while boosting operators' decision-making capabilities.
International alert system (IAS)	NCSR	IAS will be a risk information exchange component deployed in every BCP (either it is a TRESSPASS C2 node or a non-EU country control point). Within TRESSPASS, a common exchange protocol shall be defined. Each party must comply with this protocol in order to be able to share/forward risk-related information
TRESSPASS Light Client (TLC)	ED	TLC should provide the ability to third countries to report information about threats and alerts through the IAS module

The research results will be used to demonstrate how joint use of web intelligence, behavioral analysis, information from third countries, data from simulated Legacy Information Systems (Marine PNR, VIS, SIS,EES) and data from various other sources and sensors may provide additional data for risk-based screening in detecting illegal scenario activities, such as terrorism (traveler's attempt to act as a terrorist in EU), irregular migration (attempt to illegally cross the border), smuggling of goods (drugs, substances and other illicit items).

Your participation into the activities will take up to 8 hours.

Procedures and safety

During or after the pilot test activities, you will/may be asked to:

- present a document confirming identity.
- fill a questionnaire for the evaluation of the pilot test activities and the TRESSPASS system.

The following safety measures will be in place:

- All groups of participants shall be accompanied by the guide appointed by the Chief of Staff's Office of the Hellenic Police.
- All safety instructions of assisting BG officer shall be followed and any unconventional situations, occurrences and injuries shall be reported.
- The attire of persons participating in the pilots shall be adjusted to the field conditions of the BCP and time of year.
- In case of need the participants can be obliged to wear visibility vests.
- Photographing or filming of BG premises, officers and equipment for border control can be only made after the consent of assisting BG officer.

Risks and benefits

There is no potential risk or benefit for participating.

Use of data

- Personal data, which is not be used for TRESSPASS R&D Activities, is processed in order to ensure the protection of the facility and the safety of persons and property during the pilot test activities (*CCTVs*) according to Regulation (EU) 2016/679 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);
- Camera recordings are kept for a period not exceeding 3 months from the date of recording.
- The data will be not published on any medium.
- The data won't be transferred or sold to any third party.
- Not any automated-decision-making, including profiling, takes place; The system provides and proposes an automated decision, but the final decision is taken by the Border Operator. The data will be not further processed for purposes different from the ones of the original collection.

Incidental findings

If there are incidental findings related to illegal activities (e.g., participant carrying an illegal weapon, drugs, serious breaches of safety rules or displaying aggression towards other participants), relevant law enforcement authorities will be informed.

Rights of the data subject

According to Art. 15 to 22 and 34 of the General Data Protection Regulation, you have the right to:

- ask access to your personal data.
- request rectification of the personal data if they are not/no longer correct;
- request deletion of your personal data.
- ask for a restriction of processing.
- object to processing.
- implement data portability.

Moreover, you have the right to complain with a supervisory authority. For this activity the relevant authority/authorities is: Hellenic Data Protection Authority, Kifissias 1-3, PC 115 23, Athens, Greece, telephone +30-210 6475600. E-mail: contact@dpa.gr

Participation and withdrawal

Your participation in this activity is completely voluntary and you may withdraw at any time by informing the activity leader that you no longer wish to participate. If you feel uncomfortable at any stage of the procedures, you should immediately interrupt the activity and you can ask for deletion of the recorded material. No questions will be asked about your reasons, but you can provide them and complain if you wish so. There will be no negative consequences for you if you decide to withdraw from the activity. If you have any questions or concerns about the activity, please do not hesitate to turn to the contact person indicated below. Staff of the Hellenic Police that are not directly involved in the TRESSPASS project participate to this pilot on a voluntary basis and not as part of their professional duties. A refusal to participate in the pilot will not imply any disadvantage from the professional point of view.

Sincerely,

[Redacted signature]

[Redacted text]

[Redacted text]

[Redacted text]

Consent

To be signed and dated by the participants before the activities start.

Hereby I declare that:

	Please mark as applying	
I am over 18 years old	Yes	No
I am healthy and can comply with the procedures described above	Yes	No
I understand that my participation is voluntary and that I am free to withdraw at any time without having to give a reason and without negative repercussions. No external pressure was exercised to me at any time in order to force my participation.	Yes	No
I have understood the description of the activities contained in this letter and my questions were answered in a satisfactory way.	Yes	No
I can keep the written information and receive a copy of my written declaration of consent.	Yes	No
I have been informed about privacy issues and how my personal data will be collected, processed, retained and protected, as well about all issues with regard to. I have understood my rights regarding personal data access, redress and correction.	Yes	No
I have understood that the test involves the use of sensitive personal data and agree with the collection and processing of these categories of data	Yes	No
I freely consent to the processing of my personal data for the purpose of the research activity and according to the procedures described in the information sheet.	Yes	No
I have been informed that the system provides an automated decision, but the final decision is taken by the Border/Security Operator.	Yes	No
I agree to participate in the activities.	Yes	No

Name:

Date:

Signature:

ANNEX I: INFORMED CONSENT FORMS FOR SEA PILOT – GREECE – VOLUNTEER TRAVELER ACTORS



TRESSPASS SEA PILOT: INFORMED CONSENT FOR VOLUNTEER TRAVELER ACTORS

To be presented to participants in English and in Greek. Participants must receive a copy of the current information sheet and of the consent form they have signed.

Dear participant,

You have agreed to voluntarily take part into the pilot tests of the TRESSPASS project to be held at the border crossing point at the Port of Piraeus within the period: 19/7/2021 - 23/7/2021. This letter is to inform you about the activities that will take place during the sea pilot.

Information

About TRESSPASS (robust Risk based Screening and alert System for PASSengers and luggage)

The TRESSPASS project is a 42-month project funded by the European Union under the Horizon 2020 Programme (Grant Agreement no 787120). TRESSPASS aims to develop a single cohesive risk-based border management concept and demonstrate it by pilot tests at the Schiphol Airport (Netherlands), at the border crossing point in Terespol Land Border at External EU with Belarus (Poland) and at the Port of Piraeus (Greece). The project is led by the Greek National Centre for Scientific Research Demokritos and involves a European Consortium of 22 partners. Further information is available on the project's website at <https://www.tresspass.eu/>.

About the pilot test activities

The activities in which you participate aim to demonstrate and test the technologies developed in the project within the sea case scenarios.

The following technical components with a short description of their functionality developed by the relevant partner as illustrated in the following table, will be tested during the pilot test activities:

Component	Partners	Functionality – Short Description
Video Tracking Component (VTC)	VV	The Video Tracking Component follows persons passing through an observed area. It is assumed that on entering the observed area a person passes a registration point, observed by a single camera. This allows to enrol a passenger in the TRESSPASS system based on its UUID, and to follow that passenger through the BCP.
Multi modal communication analysis Tool (MMCAT)	VV, TNO	Interview support system, providing technology for a security officer taking an interview. Its typical application is in interviews with travellers with an elevated risk level. This decision support system helps an officer to choose lines of questioning to infer if a traveller is telling the truth.
Real-Time Behavioural Analytics (RTBA)	VV, SCCH	Abnormal Track-based Behaviour Detection. Generation of latent representations for micro, short and long-term movement patterns for the identification of trajectory based intent scores.
Travellers and luggage tracking sensor platform (TLTP)	NCSRD	An RFID based technology platform that is used for luggage & passenger tracking in structured environments as security checkpoint areas or unstructured "sterilized" environments for free movement as landside & airside areas.
Security personnel mobile apps (SPA)	NCSRD	TRESSPASS mobile security personnel apps will allow security professionals to provide feedback into the system, thus, lowering the overall situation risk level.
Traveller Companion App (TCA)	NCSRD	Application to preview information about the travel and guidelines to the traveller to move to the fast or normal check lines based on the risk information found, associated with that traveller.
Traveller registration application (TRA)	ED	The TRESSPASS Traveller registration application provides traveller pre-registration using a android and web applications.
Legacy Systems Interfaces (LSI)	INF	This module will provide flexible and configurable integration and interoperability of TRESSPASS system with external data sources and legacy systems (VIS, LIS, EES etc.) to check the passengers' profiles.
Web Intelligence (WI)	SPH	Within TRESSPASS, the web intelligence (WI) module will be responsible to utilise information from open sources (clear Internet and Darknet) to support the Border Guard Authorities in their risk-based border management activities. The gathered information will be processed in order to extract and enrich the set of risk indicators the border guards use, contributing to the overall risk calculation per traveller, hence leading to a more robust classification. The WI module accepts as input traveller information and produces the corresponding risk indicators, based on the information found, associated with that traveller.
Dynamic Risk Assessment System (DRAS)	ED	Dynamic Risk Assessment System (DRAS) is a TRESSPASS module, which provides a risk assessment functionality. The module will operate by consuming information from Data Fusion Service (data coming from collection modules DFA, RTBA, WI, TLTP, TSPA and VTC) and will calculate, using built-in formulas, a combined risk score for each entity (passenger). In this way, DRAS can reliably assist Border Guard's in making decision.
Data Fusion and Analytics (DFA)	NCSRD	DFA will provide 'hard' and 'soft' data fusion operations in order to incorporate information from heterogeneous information sources. The result should be provided mainly to DRAS and any other component that is needed.

Distributed Messaging System (DMS)	NCSR	DMS will enable TRESSPASS subsystems to exchange information. Publishers shall connect on DMS to upload information to be shared while consumers (subscribers) shall connect to DMS in order to consume information already available (or to be available – through subscription on topics). DMS shall allow read and write streams of data like any classic messaging system. Streams of data should be stored in a distributed, replicated and fault-tolerant cluster.
Command and Control (C2) Centre (C2+C2WA)	NCSR	C2 system is the core command and control application to be run in the BCP. Results of treat analysis and data fusion should be available in C2 nodes for provisioning and further analysis while boosting operators' decision-making capabilities.
International alert system (IAS)	NCSR	IAS will be a risk information exchange component deployed in every BCP (either it is a TRESSPASS C2 node or a non-EU country control point). Within TRESSPASS, a common exchange protocol shall be defined. Each party must comply with this protocol in order to be able to share/forward risk-related information
TRESSPASS Light Client (TLC)	ED	TLC should provide the ability to third countries to report information about threats and alerts through the IAS module

The research results will be used to demonstrate how joint use of web intelligence, behavioral analysis, information from third countries, data from simulated Legacy Information Systems (Marine PNR, VIS, SIS,EES) and data from various other sources and sensors may provide additional data for risk-based screening in detecting illegal scenario activities, such as terrorism (traveler's attempt to act as a terrorist in EU), irregular migration (attempt to illegally cross the border), smuggling of goods (drugs, substances and other illicit items).

Your participation into the activities will take up to 8 hours.

Procedures and safety

The pilot activities include the following:

1. The entrance at the main building of PPA will be used. At the Security Point you will be asked to present an identity verification document.
2. A representative from the project will wait for you and guide you at a dedicated area, where the information of the participants will take place.
3. A detailed presentation of the demonstration scenario with emphasis on your involvement will be given. Questions and answers will allow the common understanding between the participants.
4. The present document will be handed and you will be asked to sign it. As soon as this is done, you will receive: a "test passport", ticket/boarding pass, RFID tag to be placed by TRESSPASS partner at your luggage and/or hand luggage and a mobile device (limited quantity) to be used for TRA application.

The following safety measures will be in place:

- The participants shall be accompanied by the guide appointed by the pilot leader and the Safety and Security Department of PPA.
- A person participating in the pilot days shall not move away from the group and stays within the location appointed unless told otherwise by pilot leader;
- Any unconventional situations, occurrences and injuries shall be reported.
- Corona rules as posed by the Greek government will be complied with to the fullest extent. This includes complying with the 1,5 meter physical distancing and hygienic precautions, of hand washing and the use of facemasks. Self test of the previous day may be asked.
- In case of need the participants can be obliged to wear visibility vests.
- Photographing or filming of premises, officers and equipment for border control can be only made after the consent of PPA security responsible and assisting BG officer.

Risks and benefits

There is no potential risk or benefit for participating.

Use of data

1. Type of Personal Data and purposes of processing.

The following kinds of personal data will be collected during the pilot:

- a) Volunteers contact data, including name, surname, telephone, email. This data will be collected and stored by HP for purposes of pilot activities organisation and timely communication with participants. HP will also act as a single point of contact for any issues with regards to your data and this informed consent form. This personal information will not be used for the testing purposes of the pilots. Identity and travel documents with mocked up data will be created and handed to you.
- b) Images and videos for communication and dissemination purposes and for promotion of project results. This data is collected, processed and stored by NCSRD as communication leader using its own equipment.
- c) Images and videos from the PPA security infrastructure cameras. This data is collected, processed and stored by PPA in order to ensure the protection of the facility and the safety of persons and property during the pilot test activities and will not be used for research activities.
- d) Videos captured by the TRESSPASS cameras for the development and testing of the VTC component. This data is collected by PPA and transferred to VV.

2. Legal basis for processing

The processing of category a), b) and d) of personal data mentioned above requires consent from your side. It is noted, that future use and/or processing of images, data etc can be done only following your explicit consent.

The processing of category c) is necessary for the performance of a task carried out by PPA in the exercise of its official authority.

3. Recipients

- Data categories a) and c) : Your personal data will be required at the entrance gate at the Security Point of PPA, for typical security reasons. Personal data, which is not used for TRESSPASS R&D Activities, is processed in order to ensure the protection of the facility and the safety of persons and property during the pilot test activities (CCTVs) according to Regulation (EU) 2016/679 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).
- Data category b) Some photos, videos and recording will be used for the communication activities of the project and may be published at the web site of the project (<https://www.tresspass.eu>), social media (Twitter, LinkedIn, Facebook, YouTube) and media channels. You have the right to contact any time the contact person, mentioned below, and ask to delete your personal data or any part of image or video that includes you. The request will be done in writing (email) and your data will be permanently deleted within five (5) business days. A written confirmation will be sent to you.
- Data category c) The video recordings will be collected, stored temporarily by PPA and shared with Vicarvision (company which developed the Video Tracking component) and Microsoft Azure (cloud computing services). VicarVision will also analyse the video recordings with the VTC software.

4. Contact details

For any question as well as your rights, please contact us at
communications@tresspass.eu

Data Protection

Storage duration:

- Data category a): Your personal data will be kept by HP for maximum of five years following the completion of the research project. This time period is in line with the period in which the European Commission may ask to check the project.
- Data category b): NCSRD will use images and videos for purpose of public dissemination in articles, posts and online videos. Unless you require an earlier deletion as mentioned above, NCSRD will keep the data for a maximum of 5 year after completion of the project. This time period is in line with the period in which the European Commission may ask to check the project.
- Data category c) The recorded video data at PPA will be stored for maximal 28 days. After that period the data will be automatically deleted.
- Data category d) The video data stored on Microsoft Azure is deleted at the end of the TRESSPASS project.

Storage in a 'secure' infrastructure and measures

- Data category a) The data collected by HP will be securely stored at their internal storage infrastructure.
- Data category b) The data collected by NCSRD will be securely stored at their internal storage infrastructure.
- Data category c) The security cameras from PPA at Cruise Terminal A are used to create video recordings of volunteers travelers at their internal storage infrastructure.
- Data category d) The video recordings are uploaded to the European based secure storage infrastructure of Microsoft Azure's Cloud Computing Services. Microsoft Azure's cloud storage environment provides encryption at rest and at transit for secure storage and accessibility. The login credentials to the Azure account will only be shared with the specific members of the VicarVision TRESSPASS team that need access to the video recordings to perform the evaluation.

Incidental findings

No incidental findings are expected to be found as the risk analysis is based on hypothetical scenarios and mocked up data. Thus, there is not analysis of the actual and real personal data. However, If there are incidental findings related to illegal activities (e.g., participant carrying an illegal weapon, drugs, serious breaches of safety rules or displaying aggression towards other participants), relevant law enforcement authorities will be informed.

Rights of the data subject

According to Art. 15 to 22 and 34 of the General Data Protection Regulation, you have the right to:

- ask access to your personal data.
- request rectification of the personal data if they are not/no longer correct;
- request deletion of your personal data.
- ask for a restriction of processing.
- object to processing.
- implement data portability.

Moreover, you have the right to complain with a supervisory authority. For this activity the relevant authority/authorities is: Hellenic Data Protection Authority, Kifissias 1-3, PC 115 23, Athens, Greece, telephone +30-210 6475600. E-mail: contact@dpa.gr

Participation and withdrawal

Your participation in this activity is completely voluntary and you may withdraw at any time by informing the activity leader that you no longer wish to participate. If you feel uncomfortable at any stage of the procedures, you should immediately interrupt the activity and you can ask for deletion of the recorded material. No questions will be asked about your reasons, but you can provide them and complain if you wish so. There will be no negative consequences for you if you decide to withdraw from the activity. If you have any questions or concerns about the activity, please do not hesitate to turn to the contact person indicated below.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Consent

To be signed and dated by the participants before the activities start.

Hereby I declare that:

	Please mark as applying	
	Yes	No
I am over 18 years old		
I am healthy and can comply with the procedures described above		
I understand that my participation is voluntary and that I am free to withdraw at any time without having to give a reason and without negative repercussions. No external pressure was exercised to me at any time in order to force my participation.		
I have understood the description of the activities contained in this letter and my questions were answered in a satisfactory way.		
I can keep the written information and receive a copy of my written declaration of consent.		
I have been informed about privacy issues and how my personal data will be collected, processed, retained and protected, as well about all issues with regard to. I have understood my rights regarding personal data access, redress and correction.		
I have understood that the test involves the use of sensitive personal data and agree with the collection and processing of these categories of data		
I freely consent to the processing of my personal data for the purpose of the research activities and according to the procedures described in the information sheet.		
I freely consent to the processing of my personal data for the purpose of the communication activities and according to the procedures described in the information sheet.		
I have been informed that the system provides an automated decision, but the final decision is taken by the Border/Security Operator.		
I agree to participate in the activities.		

Name:

Date:

Signature: