PERSONA

**Privacy, Ethical, Regulatory and SOcial
No-gate crossing point solutions Acceptance**

PERSONA Newsletter

Issue 2 - October 2020 -

WELCOME

Welcome to Issue 2 of the PERSONA Newsletter! As you may already be aware, PERSONA is an EU-funded H2020 action which aims at creating a comprehensive assessment method for evaluating no-gate border crossing solutions in view of data protection, privacy, ethics and social acceptance.

Our project has now been running for two years and we can look upon a body of work, results of which include (i) several successfully held workshops with varied scope, each tailored for a slightly different target group; (ii) the draft version of PERSONA's main objective - the Integrated Assessment Method (IAM) that will help border authorities and LEAs to decide whether the deployment of a new no-gate border crossing technology is feasible in view of legal and societal aspects; (iii) the development of a public consultation component within that method and its testing; (iv) end-user led piloting of the IAM PERSONA (v) ongoing knowledge transfer between PERSONA and other H2020 projects of similar and/or relevant scope; (vi) continued engagement and widening of PERSONA's Community of Stakeholders; - to list the most relevant achievements.

The project's work will eventually culminate in the publication of the PERSONA Textbook which will contain the catalogue of research undertaken by PERSONA and which can be seen as a user manual for the IAM PERSONA, comprising a step-by-step user guide, information about the underlying framework, and practical examples for illustration.

In this Newsletter, we are presenting a summary of this second year's activities, some of which have been challenging in the context of the global covid-19 pandemic. We will also announce a range of topic-related future events that may be of interest to you. We wish you a pleasurable read!

Your PERSONA Newsletter team

CoS Kick-off Workshop

On 16 September 2019, the PERSONA Community of Stakeholders (CoS) Kick-off Workshop was held in correlation with the project's 2nd plenary meeting at Libera Università degli Studi Maria SS. Assunta (LUMSA) in Rome, Italy.

The event was organised by PERSONA consortium partner CyberEthics Lab (CEL) and was created to draw together (i) members of the PERSONA External Advisory Board (EAB) which has, as an independent external body, an advisory and monitoring function towards the project, ensuring quality of the research and guiding on ethical concerns arising from PERSONA's work; and (ii) individuals belonging to the Community of Stakeholders (CoS). Neither body had, up until that date, officially met any of the PERSONA consortium members in person before. The overall aim was to introduce the project's goals, present status of ongoing work, discuss how interaction between PERSONA and the CoS can be fostered and eventually lead to valuable results, and, of course, to formally mark the start of this collaboration. Attendees comprised individuals from research institutions, international organisations, SMEs and large companies (12 stakeholders participated in the event).

After an opening talk by Prof. Caltagirone (LUMSA), Simone Casiraghi (VUB) presented PERSONA's key objectives, status of work, and target results. Luigi Briguglio (CEL) introduced PERSONA's CoS and the planned engagement by summarising the three macro-areas of the CoS (travellers, think tanks, civil society organisations, and research institutions for macro-area 1; security companies, standard and regulatory organizations, and policy makers for macro-area 2; border administration and law enforcement agencies for macro-area 3).

Following a lively roundtable during which the project's topics were discussed from a variety of different angles, the workshop concluded having added two new members to the EAB and stakeholders who announced their explicit interest in the evolvement of the project. The workshop agenda can be found here.

Workshop
PERSONA
SMILE
TRESSPASS

Collaborating with fellow H2020 projects TRESSPASS and SMILE, PERSONA hosted a workshop on 05-06 March 2020 at the premises of organisers VUB in Brussels, Belgium. The event was titled:

"Investigating assessment methods for no-gate crossing technologies at European borders: A comparison between PERSONA's, TRESSPASS' and SMILE's approaches"

On Day 1, a general introduction of each project was followed by an in-depth presentation of the respective "assessment component": the PERSONA impact assessment method, the TRESSPASS traveller assessment concept, and the SMILE traveller risk assessment method. This fed into an intense guest-speaker led debate surrounding the issue of privacy intrusion, e.g.: in how far related rights are already embedded in applicable law; how (or if) "soft rights" should/could be ensured; expectations in view of privacy; ethics code in the context of different cultures and societies; in how far the border-controlling nation should be obliged to respect these differences in perception/practice; the effect of new-generation border control technology on the deploying authority's accountability and on the traveller's trust in such, especially where automated decision making processes may obfuscate responsibility for the result; possibilities and limitations of law makers. It was noted that the fundamental difference in nature between a risk assessment and an impact assessment somewhat restricts the comparability of method used for each, yet the topics discussed during the session were indeed applicable to both.

On Day 2, participants inspected the relationship between ethical and legal elements and further explored the notion of individual perception and ethnography. VUB presenters introduced PERSONA's social acceptance benchmark; "public acceptance" as considered in PERSONA's integrated assessment method constitutes a "novel" assessment component; measurement vs. assessment of acceptance; the role of psychology, human factor, and human-computer interaction in acceptance. Factors such as proportionality, resources, scale and risk were deemed decisive for the technology-deploying end-user.

7-Project Webinar

Seven EU-funded projects gathered their consortium members' expertise in the fields of Ethics, Law, Software Engineering and Social Science, to run an interactive online workshop on the subject of the *"legal, ethical, and societal challenges posed by the introduction of AI and biometric technologies in law enforcement applications"* or *"How can we ensure that law enforcement technologies can be trusted?"*

The two webinar sessions (18 + 19 June 2020) were attended by an international audience of over 140 people including identity/security industry players, LEAs, government officials, border authorities, civil society members, and academics.

Session 1 centred around the ethical and legal approach of each co-organising project. Challenges as well as benefits of novel no-gate border crossing solutions were highlighted, including possible ways of mitigation and risk-limited exploitation.

Session 2 revolved around ethical, privacy and data protection measures of emerging technologies and their feasiblity. Topics discussed were privacy-enhancing technologies, "privacy by design" approaches, privacy/security training and education. One of the more technically orientated contributions analysed how better encryption methods can aid the preservation of privacy in biometric authentication and for the data exchange in security applications. The subsequent open discussion proposed new legislation via the GDPR or similar regulation, to stipulate limitations for the use of AI-based solutions. There was a call for establishing non-discriminatory datasets or non-biased algorithms, and the necessity for multiple impact assessment frameworks was recognised. VUB presented the PERSONA framework and method of impact assessment which is designed to help evaluate the technology in view of aspects considered in Session 1.

There was consent that negative impact of AI-based and/or biometric technology in border control can only be averted if developers and deployers work hand in hand under consideration of both, the public's and the individual's best interest, and by using appropriate tool and method for achieving this goal.

End-user Training

Four 2-hourly project-internal webinar sessions on 18, 20, 25, and 27 May 2020 were aimed at providing guidance to PERSONA end-users on trialling the IAM PERSONA as part of the project's Test Studies.

Consortium partners VUB were responsible for organisation and presentation of the event. In its initial half, the training introduced the basic concepts of the IAM PERSONA and the benchmark. The concept of impact assessment was elucidated. The second part of the webinar focused more on specific aspects of the IAM PERSONA, the assessment of risk, necessity and proportionality, and public participation. Each session was followed by a Q&A slot, and some sessions included interactive questionnaires. In a practical module during the final stretch of the webinar, participants were working in teams on a set of provided task. Results of this team exercise were presented to everyone at the end.

The training workshop agenda, presentation slides, and draft method can be found here via the PERSONA website Resources section. The documents serve as draft (preliminary) exemplary reference material to those considering to deploy IAM PERSONA for the evaluation of their to-be-tested technology.

Taking on board the collected opinion and views of webinar participants, the training workshop material is now in the process of being reworked to make it more accessible, including to those outside the project. Thereafter, members of the PERSONA CoS will be asked for feedback regarding the proposed way of training and content to further improve respective resources.

By now, the "practical" part of end-user related Test Studies has also been successfully concluded by SMOI, SPA and MOPS-INP. PERSONA partners CEL have compiled their feedback and have issued a praxis-focused "case study" brochure (see the cover picture on the left hand bottom); the full version can be found on the STAR PERSONA-CoS platform here.
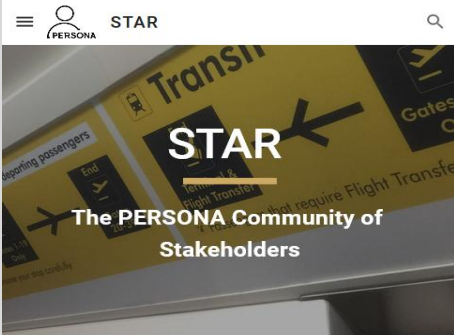
PERSONA Test Studies

The PERSONA Test Studies A + B have been led and organized by consortium partner Queen Mary University of London (QMUL) in collaboration with Eurostar and Network Rail (High Speed). The Test Studies took place at the St Pancras International Station in London where a group of QMUL researchers set up the PERSONA simulation tunnel in front of Eurostar terminals and main entrance in order to gather feedback directly from travellers crossing UK's border. Due to reduced train services during the Covid-19 affected period, the studies have been extended to stretch over two full months between 1 July - 27 August 2020.

During the studies, the passing travelers had an opportunity to learn about the project's mission and took part in the simulation of selected no-gate crossing point solutions. The setup consisted of the 3m long simulation tunnel for travelers to pass and have a "taster" of a future-scenario seamless crossing experience powered by technologies such as person detection and tracking, face recognition, and identity check processing. Travelers were then asked to fill in the PERSONA questionnaire which has been specially tailored to gather feedback regarding the acceptance of relevant technologies if deployed at real border crossing sites.

Gathered outcome will serve as an invaluable step towards a public consultation method that can reliably obtain insights into travelers' perception of the no-gate crossing point solutions, and as such provide important feedback for the development of   PERSONA's integrated Impact Assessement Method - "IAM PERSONA". Further related surveys (in modified format, adapted to the respective project's needs) will be executed also by some of our sister-projects in order to further refine the process suggested by PERSONA.

Test Studies C were coordinated by VUB in close collaboration with end-user partners SMOI, SPA and MOPS-INP and comprised the "test-running" of the draft IAM PERSONA in its entirety. A detailed summary of results will be shared via our social media platforms shortly.
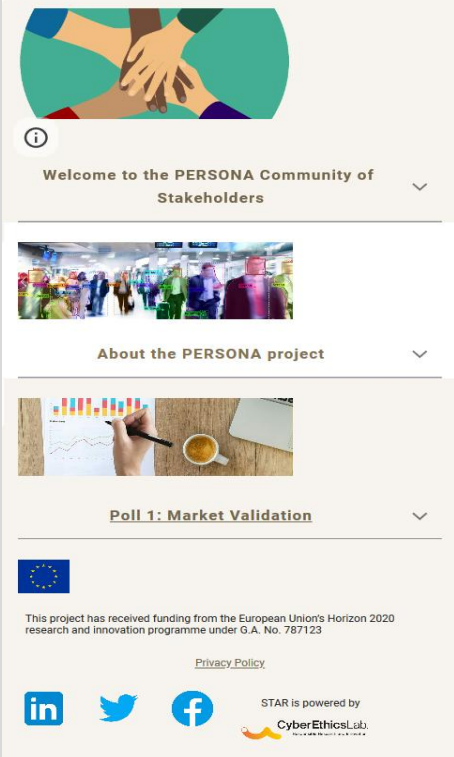
STAR
The PERSONA Community of Stakeholders

ⓘ

Welcome to the PERSONA Community of Stakeholders ⌄

About the PERSONA project ⌄

Poll 1: Market Validation ⌄

This project has received funding from the European Union's Horizon 2020 research and innovation programme under G.A. No. 787123

Privacy Policy

in 🐦 f   STAR is powered by

CyberEthicsLab.

Community of Stakeholders
- Update -

We are very happy to share with you our Community of Stakeholders platform called STAR which is hosted by project partner CEL.

Upon accessing the landing page at https://persona-star.cyberethicslab.com, you will see a home screen with links to the various resources which include information about the PERSONA project and questionnaires open to CoS members. The resources are regularly updated so, in case you aren't a member already but are interested in providing feedback, please write to us via admin.persona-cos@cyberethicslab.com.

At the time of writing, there are 60 members of the PERSONA CoS who belong to one or more of the three "macro areas" defined by PERSONA: (1) Research, (2) Industry, (3) Law Enforcement Agencies.
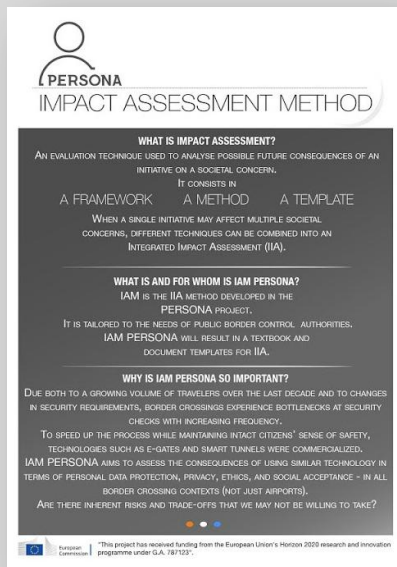
We witnessed a rapid growth in membership between June and July 2020, a period during which the number of participants increased by 162%! Feedback received then from the CoS has been invaluable in structuring our communication, dissemination, and exploitation efforts. Indeed, one of PERSONA's key objectives centers around communicating clearly to travellers what automated border crossing technologies do and collecting their thoughts on such means in order to help border authorities ensure that public acceptance is assessed while moreover, existing legal, regulatory, and ethical codes are taken into account. As a further step towards this goal, and thanks to the feedback received from CoS members on our Market Validation Questionnaire, we will be creating tailored content which we hope will satisfy the clear demand to learn more about IAM PERSONA.

About...

...the

IAM PERSONA

The IAM PERSONA is the Integrated Impact Assessment (IIA) method developed in the PERSONA project. IIA is a combination of different techniques for evaluating possible future consequences of an initiative on multiple societal concerns.

As all IIA methods, IAM PERSONA consists of a framework, a method, and a document template, all of which will be combined in a final textbook, the ultimate result of the PERSONA project.

What makes IAM PERSONA special is that it is tailored to the needs of public border control authorities in all border crossing contexts (not just airports). The textbook will be a single, unified tool that will help those in charge to assess the consequences of using automated border crossing technologies (e.g. facial recognition or similar biometric technology), in terms of personal data protection, privacy, ethics, and social acceptance. While there are indubitably advantages, such as shorter queuing time at security checks, are there any inherent risks and trade-offs that we as a society may not be willing to take?

To help border authorities answer this question, we created IAM PERSONA and we chose to depict this method as divided into five phases/elements, i.e., I. Preparation, II. Assessment, III. Recommendations, IV. Ongoing activities, V. Revisiting which in turn comprise ten steps, some of them reiterative: (1) Screening (threshold analysis), (2) Scoping, (3) Planning and preparation, (4) Description, (5) Appraisal of impacts, (6) Recommendations, (7) Stakeholder involvement (public participation) in decision making, (8) Documentation, (9) Quality control of the assessment process, (10) Revisiting),

The idea has been illustrated in an infographic that can be found on the PERSONA STAR platform. During each phase, specific questions are asked to guide border control personnel to reach their own conclusion about the technologies they aspire to adopt, an exercise which has already been tested via the PERSONA Test Study C by the project's end-users.

PERSONA Textbook

Soon to be published! In early 2021, the PERSONA Textbook will be publically available for download. A contract recently closed with academic and scientific publishers ASP Editions will ensure that it will also be on sale in printed format as limited edition.

The book will contain the one single most important result of PERSONA's research, namely, a comprehensive guide to the IAM PERSONA alongside a fill-in template, and sample case studies for additional illustration. Further information and updates will follow via our social media.

... in other News

Members of PERSONA have, over the course of the last 12 months, continued to participate in workshops and conferences which were either directly relevant to the project's agenda or indirectly, i.e. when they showcased latest developments of technologies which can be subjected to the IAM PERSONA (e.g. applications relying on biometrics and to be considered for future border crossing point solutions). As an example, QMUL took part in the renown IEEE International Conference on Visual Communications and Image Processing, 01-04 December 2019 in Sydney (Australia). In the context of this conference, QMUL published two papers in which PERSONA receives mention in connection with a research approach that is mindful of ethics and the wider societal picture.

Academic publications were also produced by PERSONA partner VUB: On 11 September 2020, the d.pia.lab (Laboratory for Privacy and Data Protection Impact Assessments at VUB) published their 3rd Policy Brief: "Data protection impact assessment in the European Union: developing a template for a report from the assessment process" (Policy Brief 1/2020). The document can be downloaded here. In parallel to the present Policy Brief, the d.pia.lab also offers an editable form to fill in the template, upon request.

Upcoming Events of Interest

On the right side of this page, we list for you a selection of upcoming events that might be of interest to you.

These include conferences, workshops and seminars on issues of border security, biometrics, ethics in the context of latest technology, policy, and similar topics relevant to PERSONA project's content.

Please note that all the events mentioned on the right appear to have been taken online, in response to the SARS-CoV-2 pandemic.

07-31 Oct 2020	Biometrics Institute Congress 2020
19-20 Oct 2020	ICDIS 2020 Defense, Intelligence & Security Conference
20 Oct 2020	Fingerprint Presentation Attacks, Seminar, EAB
20-21 Oct 2020	ICCTGS 2020 Counter Terrorism & Global Security Conference
27-29 Oct 2020	International Face Performance Conference (IFPC) 2020
05-06 Nov 2020	15th Annual Data Protection Practical Compliance Conference
12 Nov 2020	Norsk Biometri Forum Meeting
16-17 Nov 2020	ICBCST 2020 Border Control Systems & Technology Conference
19-20 Nov 2020	ICBS 2020: Border Security Conference
01-02 Dec 2020	ICNSDS 2020 National Security & Defense Studies Conference
24-25 Dec 2020	ICBCS 2020 Border Control Systems Conference
28-29 Dec 2020	ICBST 2020 Border Security Technologies Conference
14-15 Jan 2021	ICABST 2021 Advances in Border Security Technology Conf.
21-22 Jan 2021	ICEBSM 2021 Enhanced Border Security & Migration Conference
06-07 May 2021	IWBF 2021 9th IEEE Interntl Workshop on Biometrics & Forensics
28-30 Jun 2021	Passenger Terminal EXPO 2021 - Amsterdam

Watch out for project updates & follow us on social media (see next page)
Apart from our Textbook, expect to see more about:
Test Study Results, IAM PERSONA Literature Guide, CoS activities and updates

IMPRESSUM

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