



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

PERSONA Newsletter

Issue 3 - March 2021 -



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WELCOME

Welcome to Issue 3 of the PERSONA Newsletter where you will find our latest project news and related topical information. PERSONA is a research and innovation action funded under the EU's H2020 framework. As the project has now drawn to a close, our news focus on project results and achievements which we are eager to share with you. PERSONA created a comprehensive assessment method for evaluating no-gate border crossing solutions in view of data protection, privacy, ethics, and social acceptance.

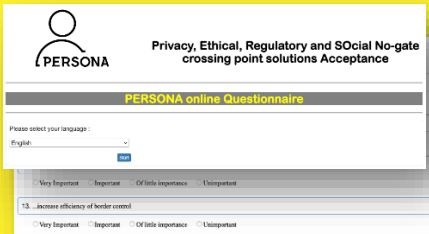
In this last edition, we summarise a selection of findings that were derived from our Test Studies. Test Study A surveyed public opinion and perception on a specific pre-defined set of ID-checking technology, whereas in Test Study C, PERSONA's three end-user partners were piloting the IAM PERSONA in its draft version with a test scenario of their choosing.

We also discuss purpose and content of the IAM PERSONA in its evolved version. The PERSONA Textbook can be considered as one of the project's key outputs. It will be published in late spring this year, but for now, we can already reveal its key "ingredients" and some background facts surrounding its making.

Our steadily growing stakeholder network continues to be actively involved in the project via the CoS STAR platform. The PERSONA website has received a range of valuable new features, such as a comprehensive literature guide and closer links to the CoS STAR tool.

As always, we also list a range of topic-related future events that may be of interest to you. As this is our last newsletter, we wish to thank you for your attention and interest in our project, but we hope this is not a good-bye. Please stay in touch via our social networks or contact us via the links and forms on our website!

Your PERSONA Newsletter team



Test Study A



Test Study A represents the main PERSONA study gathering public opinion on a selection of technologies used for seamless border crossings. Real travellers were asked to complete questionnaires through which their personal assessment of the technology in question could be given via multiple choice entry. The study has been coordinated by partner QMUL. Its aim was to collect valuable input from both, the organisation process of such focused public consultancy, and from the public perception of technologies that are powering the no-gate crossing point solutions, to inform the IAM PERSONA.

Questions and statements, but also qualitative measuring of participants' behaviour, were aimed at receiving feedback concerning the design, potential content and evaluation method of the final IAM PERSONA public questionnaire so as to obtain conclusive input about e.g., how answers to specific questions should be weighed, which questions should be prioritised and why, which amount of questions appear to be perceived as “tolerable”, if and how the participant would like to express their views on the subject matter, the identification of the best location and the best way for receiving input, potential pitfalls such as built-in bias or errors, determining factors in a traveller's perception of a technology. The planning and execution of the Test Study A served as an important test-run and calibration element contributing to set of recommendations eventually provided by the IAM PERSONA to the assessors.

The PERSONA public questionnaire is one of the various possible tools for public consultation suggested in the IAM PERSONA, to test social acceptance and/or to encourage stakeholder involvement at strategic stages during the impact assessment procedure. It should also be mentioned that PERSONA ultimately concluded that, while quantitatively oriented types of survey in general can be very valuable, they offer limited meaning when it comes to judging social acceptance. Vulnerabilities include high risk for manipulative wording of content, misinterpretation of results, and uncontrollability and/or complexity of circumstantial factors that can impact on results. PERSONA recommends the use of such type of survey mainly for (1) the purpose of identifying minority concerns that need to be addressed in order to achieve social acceptability (2) in combination with other means/tools for opinion mapping.

Name of the no-gate crossing point solution(s)	
Name, contact details and other identifying details of:	
• border control authority	
• data controller(s)	
• data processor(s), if applicable	
• person(s) in charge of the no-gate crossing point solution(s)	
• assessor(s)	

Excerpt of the first page of the IAM PERSONA template used in Test Study C, d.pia.lab 2020

Test Study C



In Test Study C, the three PERSONA end-user partners MOPS-INP, SMOI, and SPA performed a “test-drive” of the IAM PERSONA draft version, under the guidance of partner and project coordinator VUB. Following a four-sessions online training webinar which had been organised and led by VUB, members of the law enforcement agencies from each of these three end-user partner countries (Israel, Serbia, Sweden respectively) followed steps in the provided assessment template in such manner that they were guided towards an answer as to whether the technology they had chosen to investigate, was compliant with national and European legal, ethical, and social requirements and frameworks.

The exercise thus returned three different reports (one per end-user partner) which can be seen as both, practical examples for “filling in the template”, and a critical review of the IAM PERSONA in its stage of advancement at that time (July and August 2020). The end-users’ feedback was crucial to the further refinement of the method and helped consortium members to better understand which modifications in terms of structure, content, clarity and, more generally, in usability are needed in order to turn the assessment tool into a success.

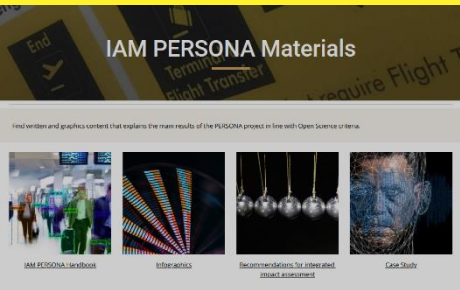
The IAM PERSONA Case Study guide which had been compiled by partner CEL effectively summarises the end-users’ experience of the Test Study C with the aim of sharing these results with stakeholders.

“ SMOI, who had not adopted previously other practices in its operational work, found the application of the IAM PERSONA method very useful in identifying potential negative impacts that might result from the application of automated border solution. Consequently, SMOI was able to put forward mitigation measures to prevent and reduce these risks to an acceptable extent.”

Equipped with the constructive feedback received through Test Study C, the IAM PERSONA was further customised and tailored with both, executing authorities and the system-using traveller in mind. Training material and the assessment process template can be accessed via the Resources tab on our website.

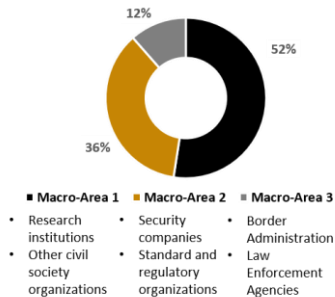
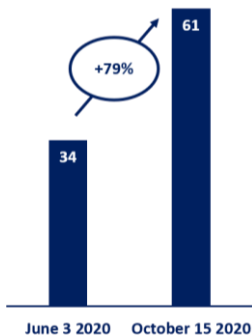


CoS News



The PERSONA Community of Stakeholders (CoS) has been invaluable to the project. Without feedback from PERSONA CoS members, the project’s findings could not have been as comprehensive and grounded as they are.

The PERSONA CoS grew from 34 members in June 2020 to 61 in October 2020, surpassing the targeted KPI. The three figures below showcase the growth rate and the composition of the CoS. This was achieved through the work of project partner CyberEthicsLab (CEL) who developed an online tool to facilitate interaction between project and CoS: The CoS-STAR tool - www.persona-star.cyberethicslab.com



Far left: Growth in PERSONA CoS membership

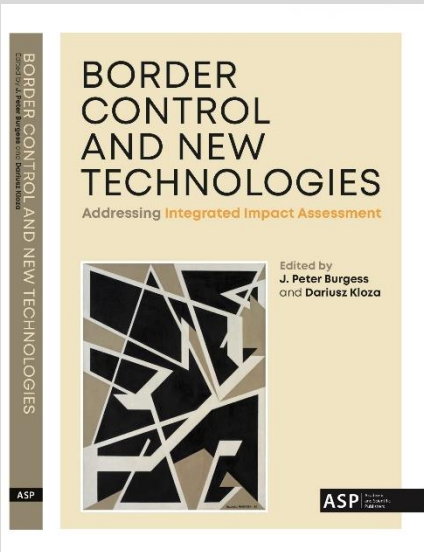
Middle: Composition of PERSONA CoS by Macro Area

Above: Composition of PERSONA CoS by residency - EU versus non-EU members

The online tool features resources on several topics open to CoS members exclusively first, and then to the general public. Questionnaires on several topics of interest to PERSONA researchers were submitted, gaining response rates above industry average, around 25%. Moreover, PERSONA researchers have made available materials such as a case study and two infographics, all aimed at translating the project’s objectives and key findings into an easily accessible format to enhance understandability on first glance and visibility.

As PERSONA draws to a close, the entire consortium strives to continue relating fruitfully to CoS members and wishes to express its gratitude to them for their support.

The PERSONA Textbook



J. Peter Burgess and Dariusz Kloza (eds.) (2021) *Border Control and New Technologies: Addressing Integrated Impact Assessment*, Brussels: ASP Editions (forthcoming).

The PERSONA consortium is pleased to announce that the PERSONA Textbook, the main outcome of the PERSONA project, is currently under peer-review and will be available in May 2021.

This book will present the theory and practice of impact assessment tailored to new border control technologies that are increasingly employed at state borders with the aim of facilitating border checks. Experience has shown that their use often comes into conflict with societal values such as the respect for fundamental rights to privacy and personal data protection. As a result, there is a growing need to accommodate two requirements, the first being the deployment of new border control technologies and the second being the respect for relevant societal values. This book introduces a tool that seeks to accommodate both requirements: impact assessment.

Impact assessment is an evaluation technique used to analyse the potential future consequences of a given measure for societal values. The main objective of the assessment process is to support informed decision-making about whether or not, and under what conditions, to deploy a given measure.

Border Control and New Technologies. Addressing Integrated Impact Assessment is addressed predominantly to border control authorities in the European Union and in the Schengen Area who wish to ensure that new technologies for controlling state borders respect the principles of democracy, the rule of law and human rights. The textbook will be of interest also for border control officials elsewhere in the world as well as for anyone dealing with the theory and practice of impact assessment.

To ensure its widest accessibility and dissemination, the book will be published in Open Access, under the Creative Commons Attribution Non-Commercial 4.0 International (CC BY-NC 4.0) license. Open Access guarantees the book will be distributed online, free of cost or other access barriers. Furthermore, the said Creative Commons license allows anyone to share and readapt the content of the book, including translating it, for non-commercial purposes, providing that proper credit is given to the authors.

To ensure its quality, the book currently undergoes a double peer-review process, in accordance with the Guaranteed Peer Reviewed Content (GPRC) scheme, a standard used by ASP Editions, its Brussels-based publisher.

The making of the IAM PERSONA

In the architecture of impact assessment, the framework concerns the policy for impact assessment, and defines and describes the conditions and principles thereof; the method organises the practice of impact assessment and defines the consecutive or iterative steps to be undertaken in order to carry out the assessment process; a template is a practical aid for the assessor. It takes the form of a schema to be completed following the given method. It structures the assessment process, guides the assessor through the process and, upon completion, serves as a final report from the process.

Kloza, D., Calvi, A., Casiraghi, S., Vazquez Maymir, S., Ioannidis, N., Tanas, A., & Van Dijk, N. (2020). Data protection impact assessment in the European Union: developing a template for a report from the assessment process. *d.pia.lab Policy Brief*, 2020(1), 1-52. <https://doi.org/10.31228/osf.io/7qrfp>

The research for developing the said integrated impact assessment method (IIAM), ultimately to be presented in *Border Control and New Technologies, Addressing Integrated Impact Assessment* has been led by the d.pia.lab at VUB and conducted collaboratively by the PERSONA consortium.

Building on its previously developed framework for impact assessment, the d.pia.lab had developed a method for impact assessment and subsequently operationalised it in a template. These served as a basis for the development of the IIAM for border control technologies.

The method was developed in 4 phases:

1. Building upon the technical requirements of border control technologies (cf. Deliverable* D1.2), and on the constraints to these technical requirements, in terms of social acceptance/acceptability, ethical principles, human rights law (especially privacy and data protection), as well as border management laws and practice, the PERSONA consortium defined a *benchmark* against which border control technologies have to be assessed (cf. D1.3).
2. Tailoring down the generic method to the reality and needs of border control, and integrating personal data protection, privacy, and ethics impact assessments with the component of social acceptance/acceptability, led to the first version of the PERSONA method for impact assessment (cf. D3.1).
3. The method was then tested through the three-partite Test Studies (cf. D4.1 - D4.5) and stakeholders' consultation *via* the PERSONA CoS. Test Studies A and B focused on exploring and validating the stakeholder involvement component of the method. The former, by surveying real travellers who were asked to assess a preselected setup of state-of-the-art border control technology. The latter, by investigating similar or alternative ways of stakeholder involvement using sister-project defined technology. In Test Studies C, under the supervision of VUB, the PERSONA end-users carried out the integrated assessment process on a border control technology of their choice, in accordance with the draft impact assessment method (cf. D3.1) as operationalised in a tailored down template.
4. The outcomes of the 'test studies', and particularly the challenges faced by end-users in carrying out the assessment process, were of crucial importance for the fine-tuning of the tailored down method and template (cf. D3.2), as well as for defining the content of the book (cf. D5.2, D5.3)

*Some of the named Deliverables (Dx.y) are public and can be found on the PERSONA website, Resources tab

PERSONA Website

www.persona-project.eu

Our website is PERSONA's interface towards the public and wishes to inform about the project's objectives, performed work, achievements, and results. It has received regular updates over the course of project lifetime. Below and on the right side, we list a number of key features which may be of relevance to you.

News: Highlights of the projects have been reported in our News section.

Contact: In the Contact tab, you will find relevant details for individual consortium member contacts and a general message form to get in touch with us. We love to hear from you!

Literature Guide: PERSONA partner PRIO has compiled a comprehensive listing which points to the literature underlying the Integrated Impact Assessment Method (IIAM) proposed by PERSONA. Reading material suggestions have been structured into 7 overarching themes and are also accessible via a keyword index.

Trainning material: The training material compiled by VUB which had been used as a way of induction to PERSONA end-users into the process of impact assessment and as preparation for Test Study C can be found in the Resources > Presentation/Demo tab.

Links to CoS STAR: The CoS STAR has been set up by partner CEL specifically as networking platform for our stakeholders. Mutual links on menus of both sites ensure that the two work hand in hand and complement each other in their purpose.

The IAM PERSONA: For more detailed information about the proposed IIAM, you can refer to its dedicated page via the Project tab.

The PERSONA Textbook: The PERSONA Textbook will be published at the end of May 2021. If you like to be notified on its release, send us a message via the contact form on the PERSONA Textbook page (>Resources) which also summarises the book's content.

Collaboration projects: PERSONA has endeavoured to work closely with relevant H2020 projects of qualifying scope, a listing of which is presented in the Collaborations tab along with more detailed information and links to those projects.

Public deliverables and publications: In the Resources section are pages listing those reports to the EC (deliverables) which have been turned "public" as well as download links to academic papers, conference proceedings, book chapters, policy briefs and blog posts published under the umbrella of PERSONA by project partners.

The project: If you would like to know more about who has been working "behind the scenes" then you will find a description of partner organisations and individual project members in the tabs Partners and People respectively.

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 most of the events listed below are to take place online due to the SARS-CoV-2 pandemic. Check individual links for more information.

15-16 Mar 2021	International Border Security Studies Conference, London
15-30 Mar 2021	EAB - Demographic Fairness in Biometric Systems, Darmstadt
22-23 Mar 2021	Internat. Conf. on Border Security & Systems, Prague
05-06 Apr 2021	Internat. Conf. on Defense, Security & Intelligence, Dubai
08-09 Apr 2021	Internat. Conf. on Border Sec. Studies & Migration, Rome
20+27 Apr 2021	ID@Borders and Future of Travel Conference 2021
06-07 May 2021	9th IEEE Internat. Workshop on Biometrics & Forensics, Rome
20-21 May 2021	International Conference on Cyberconflict and Global Politics
20-21 May 2021	Internat. Conf. on Border Protection & Management, Vancouver
25-27 May 2021	Border Management & Technologies Summit Europe 2021, Brussels
01-04 Jun 2021	Internat. Summer School Biometrics for AI/AI for Biometrics, Alghero
08-10 Jun 2021	World Border Security Congress, Athens
10-11 Jun 2021	Internat. Conf. on Border Control Systems & Applications, Barcelona
28-30 Jun 2021	Passenger Terminal EXPO 2021
27-28 Jul 2021	Border Security Expo 2021, Texas
15-17 Sep 2021	Internat. Conf. of the Biometrics Special Interest Group, Darmstadt
27-28 Sep 2021	BitCom 2021 Privacy Conference, Berlin

PERSONA project has now finished. To keep in touch please follow us on social media (see next page)

and/or visit us on www.persona-project.eu

IMPRESSUM

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PERSONA is composed of a multi-national consortium which comprises 10 partner organisations.

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