



Security Research

PASR

**Preparatory Action on the
enhancement of the European industrial
potential in the field of Security research**



Grant Agreement no. 108600
Supporting activity acronym: PRISE

Activity full name:
Privacy enhancing shaping of security research and technology – A participatory approach to
develop acceptable and accepted principles for European Security Industries and Policies

Activity type: Supporting Activity

**D 1.3 WP 5 Manual
Description of interview meeting and the training course**

Due date of deliverable:
Actual submission date:

Start date of Activity: 1 February 2006

Duration: 28 month

Author(s):
Organisation name of lead beneficiary for this deliverable

Revision [draft, 1, 2, ...]

Classification:

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We suggest the following citation format: to be agreed on (for public reports only)

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Chapter 1 Introduction

1.1 Summary of the PRISE project

PRISE will promote a secure future for European citizens based on innovative security technologies and policies in line with privacy protection and human rights in general by:

- developing and testing a set of criteria and guidelines for privacy enhancing security research and technology development
- elaborating these criteria and guidelines with direct involvement of providers of security technologies, private and public users and implementers, institutions and bodies shaping policies and regulation as well as organisations representing potentially and actually conflicting interests
- transforming the results into privacy enhancing development and implementation scenarios of security technologies and measures
- testing these scenarios in a set of participatory technology assessment procedures in different European states allowing for a substantiated indication of public perception and citizens' preferences
- disseminating the results to actors relevant for the shaping of technologies and policies
- increasing competitiveness of European security industries by providing guidance for the provision of widely acceptable security technologies

PRISE will perform a study in support of security solutions with a particular emphasis on human behaviour and the perception of security and privacy. It will assist the European Union in shaping their forthcoming security programme in order to achieve active contributions for maintaining security of its citizens with due regard for fundamental rights and democratic accountability at EU and national level by developing sets of criteria for privacy enhancing security technologies. These sets of criteria will be applicable on different levels (research, development, implementation) and by different actors (research coordinators, industry, policy makers, public and private users).

The criteria will contribute directly to a tangible and demonstrable improvement in security as accepted and acceptable security technologies will be easier implemented, more widely used and confronted with less disaffirmation from the general public and from users of these technologies. Privacy enhancing or at least compliant security technologies will also increase competitiveness of European industries and can therefore contribute to security on a global level.

PRISE will tangibly contribute to improved security by overcoming problems of acceptance of new technologies when there is no sufficient level of security and privacy taken into consideration. An important example where these problems cause a lack of acceptance are e-commerce services; acceptance problems can also be observed in the field of RFID because of shortcomings in the field of privacy

PRISE will also be important for security research programme design by testing the use of well-established methods of participatory Technology Assessment for security technologies and services. The experiences made and knowledge gained in this process could be of high relevance and importance for research policy and the development of future Framework Programmes in general. PRISE will generate important inputs and guidelines for distinguished security culture in Europe. In addition PRISE will increase competitiveness of European industry as supplier of acceptable and hence widely accepted security technologies. PRISE also offers a unique approach in two respects: the combination of user and stakeholder involvement with participatory Technology Assessment methods and the implementation of elements of constructive Technology Assessment in the preparation of a research programme on security.

1.2 Introduction to the present manual

“Human factors” play a big role when shaping and applying security policies. As a part of the PRISE project, citizen participatory activities – each involving about 30 citizens – will be carried out in 5 European Union member states and in Norway. The purpose is to establish a combined quantitative and qualitative insight into public perceptions. The participatory activities will take place in the four countries of the PRISE partners and there is further intention to conduct activities via subcontractors in a South and an Eastern European Union member state.

This manual describes the methodology of the interview meeting. It further describes what to do when carrying out an interview meeting – step by step.

1.2.1 Who is the manual for?

This manual is designed for the partners and subcontractors that will carry out the interview meetings in connection with the PRISE project. The manual helps define the division of work and each partner’s responsibility, making it possible for partners to efficiently plan their work, taking into account the workload and making sure that personnel with the necessary qualifications is available. Besides this manual, PRISE partners and subcontractors will receive a one-day training course on the interview meeting method. The training course is described in chapter 4.

1.2.2 Overview of manual

Chapter 2 is a general description of the method combined with more specific descriptions of how it will be implemented in the PRISE project. Chapter 3 focuses on the people involved in the interview meeting and chapter 4 is a step-by-step guide on how to carry out the interview meeting in the PRISE context, as well as a timeline for the whole process, including preparation.

Chapter 2 The interview meeting

2.1 What is an interview meeting?

The interview meeting is a method to gain knowledge of what a group of people think and feel about complex technologies. It is not a representative method but it aims at including a diverse group of citizens who cover a broad spectrum of demographic criteria such as age, sex, education and occupation.

Using group interviews and a questionnaire, a group of about 30 people are asked at the interview meeting about their perceptions and preferences in relation to a technology, a technological development, challenge or problem. As a rule, interviewees do not possess any expert or professional knowledge about the technology under exploration. However, prior to and during the meeting, the participants are informed about the advantages and disadvantages of the technology so that they share a balanced and factual starting point. In the PRISE project, this information is based on scenarios describing the most important security technologies, possible future use of these and the dilemmas that comes with this.

The interview meeting method employs a combination of a questionnaire and group interviews. These two methods complement one another well; the questionnaire ensures that all the participants are heard and that there is comparable data relating to the most important areas. The group interview, on the other hand, creates a lively debate and ensures that the participants can include aspects that are not addressed by the questionnaire. Interview meetings are particularly suitable in cases where:

- There are complex issues (technically complex and/or ones posing dilemmas)
- Prior public knowledge is limited
- An ethical dimension is involved

The issues at stake in the PRISE project is security technology and privacy, and that makes the interview meeting a suitable method for involving citizens the PRISE project.

2.2 The purpose of the method

The purpose of the interview meeting is to gain insight into the various notions, wishes, concerns and attitudes prevalent among the interviewees. The interview meeting must provide an indication of the general views of the interviewees and the underlying reasons for these. The purpose is thus not to conduct an actual opinion poll. The interviewees' answers provide insight into:

- fundamental attitudes towards a given technology
- the underlying reasons for these attitudes
- the variety of arguments that exist among the interviewees
- how citizens weigh different arguments and ethical principles against one another

Within PRISE, focus is of course on security technology and how it can be developed and applied in a way that does not threaten privacy. The purpose of the interview meetings is to get citizens' feedback on the scenarios and the underlying dilemmas. The questionnaire and the interview guidelines combined with an analysis guideline will decide the more specific focus of the interview meetings. The development of the questionnaire, the interview guidelines and the analysis guideline is coordinated with the development of the scenarios.

2.3 Procedure description

The interview meetings are held in the respective national languages. Scenarios, questionnaire and interview guidelines must be translated from English to the respective national languages prior to the meeting – if necessary by a professional translator. After translation, the material must be reviewed by a security technology expert who can correct the technical terms that a translator may get wrong. The material should also be evaluated with reference to possible national or cultural differences.

2.3.1 Before the meeting

The interview meeting is held in the evening and takes the form of a three-hour after-work meeting. Two to three weeks before the interview meeting, introduction material in the form of the scenarios from is sent to the participants along with practical information about the interview meeting. The scenarios will give the participants an insight to security technology and privacy issues, as well as the dilemmas connected to the subject and what is for and against the different technologies.

In addition to the written material, the meeting begins with an introduction to the scenarios and dilemmas.

2.3.2 Expert presentations and time for questions

The interview meeting begins with an introduction. The introduction is presented by one or more experts in the field. Following this, participants can put clarifying questions to the presenters. Alternatively the presentation is given by the organizer, but questions from participants are still answered by the experts.

In the PRISE project it is important that the introductions and answering of participants questions are as similar as possible. The citizens should as far as possible get the same information in the 6 different countries.

The presentation will be done by a national expert on security technology and privacy issues or by the organizer. The expert/organizer will present the multiple aspects of the scenarios in an oral introduction. After the introduction, the participants can ask questions to the expert. The presentation and answering of the participants' questions can differ from country to country and consequently the information to the citizens may differ. To avoid to many differences the national expert shall be introduced properly to the PRISE project, the scenarios as well as the concept of the interview meeting.

Questions and answers shall be summed up by the organizer in the final report

2.3.3 Questionnaire

After the introduction, participants are handed the questionnaire. Participants have 30-45 minutes in which to complete the questionnaire. The questionnaire focuses on the same dilemmas as the scenarios. Questions can be put to the organizers or the experts throughout the session if necessary.

2.3.4 Group interviews

After the questionnaire, participants are divided into four groups of 69 people and group interviews are subsequently carried out. The group interviews focus on the same topics as those of the questionnaire. The group interviews are tape-recorded and follow an interview guide but smaller variations are allowed. The interviews are monitored by an interviewer whose task is to ensure that all of the participants are heard and that all themes and questions are discussed and answered. The group interviews last one hour.

2.4 Results

An interview meeting provides both quantitative and qualitative results. Questionnaire answers provide comparable, measurable, quantitative results and the group interviews are used to gather the more qualitative results that give nuance to those of the questionnaire. Comparison and analysis of the two sets of results offer a balanced indication of public attitudes towards a given technology. After the meeting the group interviews are transcribed and statistics on the questionnaires are prepared. In the final analysis the quantitative and the qualitative data is combined.

2.4.1 Indirect results

The interview meeting creates debate and participants gain new knowledge about – and often a new interest in – the topic. Participants often continue debating the issue with their acquaintances.

2.4.2 Handling the results in the PRISE project

In the PRISE project the results of the interview meetings will be analyzed by each partner/subcontractor on the basis of an analysis guideline so that the national results will be comparable. The reports shall offer an analysis of both the qualitative and quantitative results. The report shall also contain a transcript of the group interviews and a list of questionnaire responses. All reports and results shall be presented in English, except the transcript of the group interviews which does not have to be translated into English.

The results will basically give insight into the participating citizens' priorities and there evaluation of dilemmas connected to security technology and privacy. The citizens will give their unique input from their "citizen logic".

The six national reports will be compared in a synthesis report. The aim of the synthesis report is – as far as possible – to compare the results of the six national interview meetings.

Chapter 3 Necessary qualifications

3.1 The various roles and necessary skills

3.1.1 *The European leader of the method in PRISE*

The Danish Board of Technology (DBT) will:

- Develop interview guidelines and questionnaire
- Develop guideline for data processing and report
- Write experts introduction to participants at interview meeting
- Make a template for invitation, confirmation and refusal letter
- Write script for the oral introduction to the citizens at interview meetings (material based on the work of the PRISE project)
- Collect quantitative material from all interview meetings and run them through SPSS before sending the data back for analysing
- Write the synthesis report build on the national reports

3.1.2 *Organizers*

Each national partner/subcontractor will function as organizer in carrying out their national interview meetings. Overall this means responsibility for preparing and running a national interview meeting. This includes a number of tasks that is described further in the chapter 4. Basically it requires that the organizer:

- has experience in the planning and running of a workshop
- has experience in conducting qualitative group interviews and can engage four trained interviewers and one or two security/privacy experts
- has experience and academic qualifications in analyzing both qualitative and quantitative data
- is trained in English at scientific writing level

It also requires that partner/subcontractor is:

- An independent non-stakeholder
- An established organization

3.1.3 *Interviewers*

Four trained interviewers are present at the meeting to conduct group interviews. These interviewers must have experience in conducting qualitative group interviews.

The interviewers must also be informed about the method as well as the PRISE project at a face-to-face meeting with the organizer prior to the interview meeting.

3.1.4 Expert

A security/privacy expert shall be present at the interview meeting to do the introduction to the scenarios and answering questions from the participants. The expert should be balanced in relation to the subject and if that is not possible there shall be two experts – one from each side. The expert should also be informed about method as well as the PRISE project prior to the interview meeting, and the expert can also be used when evaluating the translation of the scenarios.

3.1.5 Participants and recruitment

The recruitment of citizens is an important aspect of the legitimacy of a participatory initiative. The process needs to be effective in terms of its consistency so that results are comparable, and it needs to be a transparent process so all participants are aware there are no vested interests being pursued. The process should also be effective with regards to cost and response rate.

About 30 people take part in an interview meeting. Participants at an interview meeting will never be a representative cross-section of society. However, as the aim of the interview meeting is to determine attitudes among the general population, selection should focus on those candidates offering the best possible representation (variation) in terms of age, gender and education. The selection should also take into consideration that there is a variation in employment and that participants have no special prior knowledge of the topic of the interview meeting (e.g. no experts on privacy or employers from security technology companies).

The participants are selected on the basis of the applications from invited citizens, and should as far as possible be based on the following matrix:

Selection matrix

	18-34 years			35-54 years			55 + years		
Men									
Women									
	l	m	h	l	m	h	l	m	h

L = low education (secondary school, leaving age 15/16)

M = medium (college or equivalent; leaving age 18)

H = higher education (university or equivalent)

It is important that there are at least 25 participants. There are almost always some registered participants that do not show up on the day of the interview meeting (normally app. 10 percent). To make sure that there is at least 25 participants the organizer must have at least 30 registered participants and at best 35.

Recruiting the citizens should be done by sending out an invitation letter to 2000 randomly selected citizens (addresses). The random selection of addresses is within the capital (or regional capital) centre and surroundings (meaning within up to the radius of approximately 100 km from the city hosting the interview meeting).

The invitation shall be sent out along with a short presentation of the project and the interview meeting, a reply form and a return envelope. The reply form asks for information about age, gender, education, employment and prior knowledge to the subject. There should be a relatively short answering deadline (e.g. two weeks).

If more than 35 citizens register, the participants will be selected on the basis of the matrix above.

If sending out 2000 invitations does not provide 35 registered participants, the organizer must proceed inviting citizens by selecting 100-200 random telephone numbers and calling citizens personally to make them interested.

If there is still not 35 registered participants, citizens can be invited by the co-nomination method, where invitation starts in the organizers own personal network and is spread out from here.

Chapter 4 What to do – step by step

4.1 Find location

At an early stage the organizer must find the location for the interview meeting. The location should offer one room (app. 50 persons) for the plenary sessions and 3-4 smaller rooms for conducting the group interviews. All rooms should be available from app. 2 hours before the meeting for preparation (testing recording equipment etc.) and until the end of the meeting. The location must also be easily accessible for participants, e.g. close to public transportation, and services such as food and beverages should be provided.

4.2 Translate all material into national language

All material (15-20 pages) is to be translated from English to the organizers national language. If necessary the partners must hire a professional translator. The material includes invitation template (and other letters), questionnaire, interview guidelines and scenarios.

4.3 Run a small pilot test of the questionnaire and the interview guideline

Before the interview meeting, partners must run a small pilot test to investigate whether the questionnaire and interview questions is understood or not. The partners report the results of the pilot test and possible need for changes back to European leader

4.4 Recruit citizens for national interview meeting

Each partner or subcontractor must recruit 35 participants according to the guidelines.

4.5 Arrange and carry out national interview meeting

Arranging and carrying out the interview meeting involves a number of organizing tasks, e.g. finding location, providing food and beverages, finding one or two persons who can introduce the scenarios, finding 4 interviewers, make sure the A/V equipment and other technique is in order.

As a separate task, organizers must hold an eye on public debate and the media to register if there is any security or privacy issues that might affect citizens attitudes at the meeting. This should be done the last two weeks prior to the interview meeting.

4.6 Complete the national data processing

After the interview meeting partners must complete the data processing. Data processing includes transcribing the group interviews, analyzing both the qualitative data from the group interviews and quantitative data from the questionnaire. The quantitative data from the questionnaire is sent to DBT, who will do the data processing using SPSS version 10.0 before sending it back to the organizers for further analysis.

4.7 Write the national report

Each partner describes the results in a national report that will be part of the synthesis report. National reports shall be 10-15 pages of analysis plus a transcript of the group interviews and a list of questionnaire responses.

4.8 Review the synthesis report

The six national reports will be part of a synthesis report.