- We examined 7 groups in 1993 that would be similar to group 37 in 1999.
- Most of the groups have ceased violence in 5 years. Their characteristics have also changed in time.
- The pattern of their characteristic change crudely corresponds to the pattern of violence.
- In the period 1999-2003 group 37 ceased being violent in 3 years, about the average time for the similar set of groups in 1993.

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Thank you

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IHSS Community Acceptance Panel on Public Perceptions of Emerging National Security Technologies & Processes

Project Synopsis

April 2009

Prepared for

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1. Overview and Background

This project synopsis is presented by the Institute for Homeland Security Solutions (IHSS), supported by RTI International, to describe its approach for a) producing a series of literature reviews to provide a synthesis of current knowledge surrounding the formation of public opinion as it pertains to the adoption and use of emerging national security technologies and processes, b) planning and conducting a workshop to develop a strategic plan for future areas of research necessary to better understand the relationship between public perceptions and the adoption and use of emerging technology and processes; and to c) develop a sustainable venue to serve as the preferred medium for experts to exchange ideas, data sets, analyses and hold on-going discussions in the field of public-perception formation in the area of emerging national security technologies and processes. Our initial estimate for completing the work described in the text below is approximately $225,000 and $250,000.

In the next section, we describe our plan for performing the associated tasks necessary to accomplish the project's goals. We also discuss issues and key assumptions related to logistics and scheduling. The third section presents the management structure proposed for this project and describes proposed roles and responsibilities.

2. Project Work Plan

2.1 Scope

We understand that work is to begin on May 4, 2009 or possibly before. We understand that the target timeframe for conducting the workshop is sometime early in the autumn of 2009, with delivery of the workshop summary approximately 4 weeks later. The particular timing will be developed in consultation with and approval by the Technology Acceptance and Integration Program Manager.

For workshop costing purposes, we have made some key assumptions about the workshop:

- The workshop will span two days. It will begin with a continental breakfast on day 1 and end after lunch on day two.

- For budgeting purposes only, workshop will be held in a Washington, D.C. location.

- Up to 15 individuals will participate in the workshop, generally to include academics. In addition three IHSS technical staff, (one note taker, one workshop facilitator, and one workshop logistics manager) will attend. Additional attendees may include DHS personnel.

- Each of the 15 workshop participants will receive a $2400 honorarium for his/her time.

- Only one meeting room will be necessary.

- IHSS will cover travel, lodging and meal expenses for the academic participants and IHSS employees. For budgeting, we are assuming that most of the participants will be from North American and no more than two will come from Europe.

- Government observers will cover their own expenses for travel and accommodations.

Given the challenge of scheduling a meeting over the summer and early fall, in terms of both participant and meeting space availability, key factors in scheduling a conference will be a) obtaining final approval for the list of potential participants within 8 weeks of contract award and b) determining a meeting time convenient to the most-preferred invitees. To manage this challenge, IHSS will first identify key academic disciplines to be involved in this activity. Second RTI will identify prospective invitees from these relevant disciplines, representing multiple points on view. Third, IHSS will identify national and international conferences that have already been scheduled for the late summer and fall. Finally, IHSS will propose a workshop date that minimizes the potential for foreseeable scheduling conflicts to obstruct the participation of nationally-recognized experts.

Once the list of prospective participants is finalized, we will gather information about participant and venue availability, such that the date is set, and a venue contract will be signed no later than 12 weeks before the conference date.

2.2 Steps

In the following paragraphs, we describe factors to be considered in conducting the work requested.

Step 1. Meet with the Program Manger. We recommend having a task kick-off meeting of key personnel to provide an opportunity to meet, clarify project expectations as well as any ambiguities or questions, and address items of particular importance to successfully completing the task. These items will include clarifying the purpose and nature of deliverables, timing, and schedule; activities and suggested procedures to produce the deliverables; format, style, and other specifications for the literature reviews and onsite materials; and preferences about regular project communications, e.g., by e-mail or telephone. To allow key IHSS project staff to attend the meeting, we have budgeted for this meeting to be held at RTI's headquarters in RTP.

This will permit key project team members to participate at minimal cost to the project. IHSS will prepare an agenda for the meeting and circulate minutes to kickoff meeting attendees within two business days of the kick-off.

Following the kick-off meeting IHSS will continue to collaborate closely with the Program Manager through regular and ad hoc meetings.

Step 2. Convene Expert Planning Panel. As IHSS begins preparation for developing literature reviews and the potential list of academic workshop invitees, IHSS will hold a brainstorming meeting including members from IHSS's teaming partners: RTI, Duke University and the University of North Carolina at Chapel Hill (UNC). The list of individuals invited to participate in the brainstorming session would be drawn from the faculty, fellows and post-doctoral researchers from Duke University and the University of North Carolina at Chapel Hill (UNC) and research staff from RTI who are expert in the areas of opinion formation, especially as it relates to national security issues. Examples of the particular academic disciplines from which these experts come would include communications, criminal justice, marketing, political science, psychology, and sociology.

The brainstorming meeting will be segmented into two sessions. The first will allow the experts will provide suggestions on leading researchers who would be appropriate to attend the workshop. The second session would provide a forum for these experts to recommend relevant material to include in the literature reviews. The Program Manager will be invited to attend this brainstorming meeting.

Step 3. Prepare Literature Reviews. In consultation with our expert planning panel, IHSS will submit three literature reviews to the Program Manager. Each literature review will include approximately 15 pages of text. In addition each literature review will include a cover page, table of contents and bibliography. These literature reviews will synthesize current research in the study of mass-opinion formation particularly as it relates to the adoption and usage of new technologies and processes in national security. The final reviews will form the foundation of our workshop discussions.

IHSS will begin work on the literature reviews by discussing with the Program Manager and expert panel specific topics for discussion. We anticipate that an initial discussion concerning specific topics will be held during the kick-off meeting. Within 4 weeks of the kick-off meeting and in consultation with our expert panel, IHSS will develop outlines for each literature review. The objective of the outlines will be to present the focus and purpose of each review and the desired level of detail, complexity, and length. Based on the Program Manager's comments and feedback, we will prepare a more detailed outline for each literature review topic, identifying the unique considerations relevant to each topic and appropriate authors from IHSS's professional network. The literature review authors will prepare draft text for the literature reviews within 4 weeks of the outlines being finalized. Revised versions will be submitted within 2 weeks of receiving the Program Manager's comments and feedback.

Step 4. Develop List of Workshop Invitees. In consultation with the Program Manager, and our expert panel, IHSS will develop a list of prospective academic participants that will encompass the academic disciplines relevant to this subject. We will make every reasonable effort to ensure that a full range of experts is represented. Examples of information sources or available resources to do this include obtaining names from persons identified by the Program Manager, IHSS's expert panel, and our scientific colleagues inside IHSS and beyond. We will contact scholarly associations and scientific organizations to ask them for nominations.

IHSS will deliver a list of candidate workshop invitees to the Program Manager no more than 2 weeks after the brainstorming session. Within 1 to 2 weeks of receiving the Program Manager's comments and feedback, we will finalize and deliver to the Program Manager a prioritized list of acceptable workshop invitees.

Step 5. Coordinate Workshop Logistics. It is important to begin as early as possible to identify prospective workshop attendees, dates and a venue, so that invitees can reserve the dates for the in-person meeting. The sooner arrangements can begin for a workshop venue, the better the chances of obtaining the best facilities and the dates we most want.

First we discuss with the Program Manager her availability and preferences in workshop dates and timing. Then we expect to develop and submit a list of possible, available venues for the workshop with their respective costs (meeting room and equipment rental, participant lodging, and meals, etc.), and relevant venue policies and procedures.

Process for supporting and conducting workshops

Objective Setting
- Meet with IHSS team and Program Manager
- Identify preliminary goals and objectives
- Specify schedule and timeline elements
- Identify venue preferences

Pre-workshop Services
- Plan technical and logistical support and program needs
- Investigate facilities and make recommendations
- Negotiate and sign contract with best venue
- Serve as liaison with venue and workshop vendors
- Identify and make all workshop logistical arrangements
- Identify candidate invitees
- Prepare and mail invitations and advance information
- Coordinate and handle travel logistics for invitees
- Prepare workshop agenda
- Prepare advance review materials including literature reviews
- Prepare onsite workshop materials including signs, name tags, name tents
- Prepare annotated attendee list
- Finalize all workshop support services
- Transport all workshop materials to venue

On-site Services
- Staff registration, information, and message center
- Provide refreshments & luncheon
- Monitor all workshop arrangements
- Provide AV as needed
- Keep notes on discussions
- Coordinate with venue and other vendors

Post-workshop Services
- Process vendor invoices for payment
- Prepare workshop summary and report
- Coordinate any post-workshop materials preparation and distribution
- Mail thank-you letters to participants.

IHSS will use a systematic process for planning and supporting workshops that encompasses planning, implementing, and assessing all pre-, on-site, and post-workshop

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activities and services. Typical activities are listed in the adjacent box. Our approach includes continuous assessment and recommendations for improvements, checks, and contingency plans to ensure a successful outcome, and detailed planning and communication with our team, client, and vendors. RTI offers expertise in all areas of conference planning.

Step 6. Select Workshop Venues. IHSS will identify and report on possible venues with suitable facilities for this workshop within six weeks of our kick-off meeting. For budgeting we are assuming that the workshop will be held in Washington DC.; however, the final selection of the location will depend on such concerns as venue availability, amenities, total costs, and easy access to the most preferred workshop participants. We will investigate and evaluate the alternatives and recommend a venue that will work best for this workshop.

We have based our estimate of meeting venue and lodging and refreshment costs on Washington, DC-area hotels, such as the Washington Plaza and the Hotel Monaco. We understand that it will be most appropriate for the government employees to pay for their own lodging and meals directly to the venue.

Step 7. Sign Contract for Workshop Venue. Upon receiving the Program Manager's approval of a venue for this workshop, IHSS will negotiate a contract with the selected venue for meeting space, guest rooms, and, as necessary, miscellaneous related services (e.g., light refreshments, A/V equipment rental) on the appropriate dates. Because the venue "meeting package" (room and equipment rental and related fees) are to be handled as a reimbursable cost, we will negotiate final terms with the venue; review those contract details, terms, and costs with the Program Manager; and obtain concurrence before signing the contract. Once the terms of the contract are discussed with and approved by the Program Manager, RTI will sign the venue contract.

Step 8. Invite and Confirm Workshop Participants, Invitees, and Speakers. A challenge of this task will be selecting the appropriate mix of participants. As noted in **Step 4,** IHSS will confer with the Program Manager and collaborators from Duke University and University of North Carolina to establish a priority among persons identified according to their scientific stature, institutional affiliation, and variety of subject matter expertise. Then in order of priority, we will invite them and require a quick response (within 1 week) of their intent to attend. Should any person decline the invitation for whatever reason, we will follow up with the next person on the list with similar expertise and training until all 15 slots are filled. We will follow up and send formal invitations to the workshop within 1 week of their affirmative response. Also, we will send the advance review materials and meeting objectives to those who confirm attendance approximately 2 weeks before the workshop.

IHSS will cover or reimburse all academic invitees' expenses in accordance with federal travel regulations, and we will try to make attendance as easy as possible. IHSS will follow up with the academic attendees to handle their travel arrangements directly. We plan to have their airfare, overnight room, internet access, and workshop meal costs direct-billed to RTI to minimize their out-of-pocket expenses to be reimbursed. The only costs to be reimbursed for

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these invitees will likely include selected out-of-pocket meal and incidental expenses and travel costs such as for ground transportation.

Step 9. Develop Workshop Materials. IHSS will develop and deliver workshop materials based on specific workshop needs and timing identified and discussed with the Program Manager including an invitation letter, workshop logistics information, agenda, an annotated attendee list, and literature reviews discussed in **Step 3.** IHSS will prepare and deliver drafts of the appropriate materials and, following Program Manager's review and approval, proceed with production of these materials and any other workshop handouts, as appropriate. Providing literature reviews to meeting participants in advance of the meeting will ensure that participants have a basic familiarity with areas of research that are adjacent to their own areas of expertise, yet relevant to the workshop topic.

Step 10. Manage Conduct of Workshop. IHSS will manage all workshop logistics, including pre-, on-site, and post-workshop support, and will coordinate technical program activities. This includes handling pre-workshop and on-site registration, preparing and distributing workshop materials, serving as liaison with vendors, placing signs for the workshop at the correct room location, assisting with A/V arrangements, providing on-site photocopy services, collecting evaluation forms, and managing other logistics and services as needed.

We envision the Program Manager serving as the workshop hostess and chair. We expect that she would initiate the general meeting sessions, and provide technical advice to the IHSS facilitator as well as acting as a technical resource to the workshop participants. Clarifying the Program Manager's role at the workshop will be addressed during planning phases, beginning at the kick-off meeting.

Workshop discussions will be conducted under the direction of a trained facilitator. This facilitator will promote interaction and participation from all participants and ensure the discussions remain focused and on topic. These discussions will provide information and insight into attendees' expertise, current research, perceptions, and opinions. Discussions will be semi-structured so that the participants influence each other—just as they do in real life. IHSS has included onsite facilitation and note-taking for the workshop. IHSS will work with the Program Manager during advance planning to determine the best approach for these efforts, given preferences and specific instructions about the role of the facilitator and the anticipated use of the workshop notes. We plan for the facilitator to work with the note-taker to prepare summaries of group discussions. In addition, IHSS task staff will develop a protocol for workshop discussion that will be used by the facilitator to ensure that the group addresses the points that must be covered and that no participant dominates any workshop discussion.

Step 11. Prepare Workshop Report. We have included a note-taker as well as resources for consolidating notes into a final document. IHSS will compile and prepare the workshop notes and resource documents, including notes on or summaries of the workshop discussions, based on advance discussions with the Program Manager. Specifically, we anticipate that the notes will present or summarize comments from participants, identify and

describe recommendations, and identify and recommend specific follow-up actions identified during the workshop by participants. We will prepare a final report summarizing key workshop observations, themes and recommendations for future research in the area of opinion formation around the adoption and use of innovations in security technologies and practices.

Input and feedback on the workshop notes will be obtained from the TOL, the senior advisors, and the workshop facilitator. IHSS will provide the Program Manager a proposed outline and upon Program Manager's approval, a draft will be prepared. The draft will be reviewed internally by the senior advisors. The draft then will be revised and submitted to the Program Manager for review and comment approximately three weeks after the conclusion of the workshop. The draft will be revised as needed based on the Program Manager's comments. Assuming the Program Manager requires one week to review the draft, a final version of the final document will be prepared and delivered approximately five weeks after the workshop.

Step 12. Develop a Community of Practice. IHSS will help DHS develop a "Community of Practice," which will be an on-line venue for continuing the exchanging ideas among workshop participants, DHS, and the larger research community. The objective of implementing the portal is to provide a means for accelerating innovation among participating researchers through adoption and adaptation of successful processes shared within the community served by the web portal. With a centralized repository of information and a facility for rapid discourse, the portal will encourage active participation by empowering members to add content where appropriate. This portal would allow DHS and participants to post data sets, exchange information, and inform the research community of upcoming research funding opportunities. DHS would be able to grant new entrants permissions to read or post material.

The standard portal features we propose to provide include:

- Role-based Security
- Discussion Forums
- Chat Room
- Document Manager
- Links to relevant resources
- Announcements
- Calendar
- Frequently Asked Questions
- News
- Usage statistics

IHSS will develop this website and include DHS approved graphic images, font type and navigation features such as standard hyperlinks. We would then transition operation of the website to DHS for ongoing management and adaptation. IHSS will provide transition support by meeting with DHS web administrators to describe the functions of our prototype. It would allow DHS to grant participants password-protected access to post biographical sketches, to encourage colleagues to share research ideas and invitations to collaborate.

IHSS will establish and support a content management and collaboration system (portal) that is flexible, scalable and extensible, giving a community of stakeholders the tools to share documents, knowledge and ideas. This system is accessible to members via the Internet and requires only a freely available web browser and no special downloads or plug-ins for use.

The primary benefits of this web-based portal include information centralization, streamlined communications, document collaboration, knowledge transfer, and user

empowerment. To provide these benefits, the web portal employs the use of discussion forums, announcement boards, and news listings, frequently asked questions, chat rooms, and document exchange.

Since some of the information contained within the portal will be sensitive in nature, security will play an important role. It is a secure, gated community. Access is restricted and only authorized users are allowed entry into specific areas. Our portal will allow DHS to grant certain functional privileges to users as DHS decides. Only members possessing DHS approval will have view and/or edit permissions within the web portal. Once a user has been granted access, identifying information about that user can be suppressed from view by the rest of the portal community. Anonymous access will not be allowed. Access and permissions can be withdrawn.

In addition, the strict layers of application security, all communications will be encrypted with 128-bit encryption through secure socket layers (SSL) and verified by a VeriSign®, the leading SSL Certificate authority.

The .NET software to be used will be open-source and has been cited as an example of best design and implementation by Microsoft. The web portal will support a variety of browsers in at least two previous versions, and will not require any special plug-ins or installations. Compliance to established web standards helps to ensure maximum accessibility across a diverse group of users.

To measure the success of the portal's implementation, IHSS will monitor usage statistics and assess areas for improvement. It will be the objective of the IHSS team to nurture this community to create robust online resources that satisfy the needs of dynamic projects now and into the future.

3. *Establish Program Evaluation Framework*

IHSS proposes to develop a framework for evaluating DHS programs for performance on human dimensions. The final product of this task would an evaluation framework focused the human dimension of Technology Acceptance and Integration activities but scalable and transferable to other programs as appropriate. This topic or activity would be arrived through consultation between IHSS project team and the Program Manager and her colleagues at DHS. We propose to develop a list of five priority subjects, and then prepare a single document between 5 and 10 pages in length summarizing those activities. We would use that summary to prompt discussion with the workshop panelists (Step 9 and 10 in Section 2 above). From that workshop discussion, IHSS would produce a program evaluation framework.

The evaluation framework developed for Technology Acceptance and Integration will be an adaptation of a framework already in use at the Centers for Disease Control & Prevention (CDC). The underlying purpose of the framework is maximizing the utility and effectiveness of supported programs through rigorous and timely evaluation. The frameworks would share the following common standards for effective evaluation: utility – serve the information needs of intended users; feasibility – be realistic, prudent, diplomatic, and frugal; propriety – behave legally, ethically, and with due regard for the welfare of those involved and those affected; and accuracy – reveal and convey technically accurate information.

Once the subject is determined, IHSS will hold preliminary discussions with our experts from Duke University and UNC, Technology Acceptance and Integration staff, and others whom we identify during this process. In these discussions we will describe Technology Acceptance and Integration activities and seek preliminary input on which activities are most open to evaluation and promising approaches. IHSS project team will perform a literature review and then develop a 5 to 10 page summary for the workshop panelists. We will use this literature review to stimulate expert thinking during the workshop.

During the workshop we will describe the program activities and seek input from experts on best methods of evaluating those activities. We will ask the panel to provide ideas for evaluation approaches, including methodologies for evaluation, identifying criteria for evaluating program activity, or isolating particular aspects of a program worthy of focused attention. In moderating the discussion we will ensure that DHS concerns and questions about the program are communicated effectively. Following the workshop IHSS and the Program Manager will identify a single subject for further elaboration. Building upon the methodologies and best practices identified by the experts at the workshop, IHSS will draft a document outlining an evaluation approach. We will receive feedback from the Program Manager and then submit a final document that describes an evaluation framework based on the principles of utility, feasibility, propriety and accuracy.

4. *Project Management*

IHSS offers a core team consisting of a Task Order Leader (TOL), two Senior Advisors, and a Workshop Logistics Manager. A Project Assistant (PA), a Technical Writer who will serve as onsite note-taker, and a Workshop Facilitator will support the core team.

The TOL will serve as the Program Manager's primary point of contact at RTI with respect to technical project aspects. The TOL will convene a kick-off meeting and the brainstorming meeting with IHSS's expert panel. He will work collaboratively with the Program Manager to prepare the literature reviews including preliminary outlines, and identify and