ALIGNER

ALIGNER D2.1

Report on Law Enforcement Agency, Public, Industrial, Scientific and Ethical Stakeholder Involvement

Deliverable No.	D2.1
Work Package	WP2
Dissemination Level	PU
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Due date	2024-09-30
Actual submission date	2024-09-29
Status	Final
Revision	1.0
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Executive Summary

The aim of Project ALIGNER (*'Artificial Intelligence Roadmap for Policing and Law Enforcement'*) was to bring together European actors concerned with Artificial Intelligence (AI), Law Enforcement Agencies (LEAs) and Policing to collectively identify and discuss how to pave the way for a more secure Europe in which AI supports Police and LEAs (P&LEAs), whilst simultaneously empowering, benefitting and protecting the public.

The specific objectives of ALIGNER work package 2 ('Law Enforcement Agency and Civil Society Engagement') were both to establish and manage two external ALIGNER Advisory Boards (ABs), namely the Law Enforcement Agency Advisory Board (LEAAB) and the Scientific, Industrial and Ethical Advisory Board (SIEAB). The Advisory Boards comprised of individuals who work in policing and LEAs from across Europe, as well as other members from scientific, academic and industrial organisations, plus other experts with awareness and knowledge of AI technology developments and its potential future uses.

Deliverable D2.1 sets out the outcomes from the involvement of the two ALIGNER Advisory Boards in the development of the main project deliverable (D5.3, *'Artificial Intelligence Roadmap for Policing and Law Enforcement'*). These ABs were regularly convened at a series of workshops designed to gather and collate the output of the ABs and other participants and which were held throughout the life of the project.

The contributions of the Advisory Board members at workshops were important in that they were able to provide accurate and reliable information to ALIGNER consortium members, drawn from their day-to-day activities, experiences and events. They also provided a wider pool of knowledge and specialist expertise that the consortium could draw upon. A clear example of their interest and participation is included in Annex A, which are the notes taken from Workshop 7 and clearly demonstrate their involvement.

The two ABs that formed part of the project ALIGNER structure made contributions throughout the life of the project and added an immeasurable amount of value to the final roadmap. It can be seen in this deliverable, how the ABs gained new members during the project and demonstrated commitment and credibility to the final outcomes. In turn, they gained knowledge of the societal concerns about the use of AI in law enforcement and the legal and ethical parameters they are likely to be operating under in the future.

There are a total of 12 recommendations that emerged from the participation of the ABs in Project ALIGNER, that should be viewed as 'best practice' for future projects going forward. Advisory Boards in Horizon Europe research projects ensure that projects are guided by expert knowledge, maintain high standards, engage relevant stakeholders, identify risks effectively and achieve broader impact and credibility.

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List of Abbreviations

Abbreviation	Meaning
AB	Advisory Board
AI	Artificial Intelligence
LEAAB	Law Enforcement Agency Advisory Board
LEA	Law Enforcement Agency
P&LEA's	Police and Law Enforcement Agencies
popAI	European Positive Approach towards AI tools in support of Law Enforcement and Safeguarding Privacy and Human Rights (SU-AI03-2020)
SIEAB	Scientific, Industrial and Ethical Advisory Board
STARLIGHT	Enhancing EU Strategic Autonomy in the field of AI for LEAs (SU-AI02-2020)
ToR	Terms of Reference
WP	Work Package

Introduction

The aim of Project ALIGNER was to bring together European actors concerned with Artificial Intelligence (AI), Law Enforcement Agencies (LEAs) and Policing, to collectively identify and discuss the needs for paving the way for a more secure Europe in which AI supports Police and LEAs, whilst simultaneously empowering, benefitting and protecting the public.

This deliverable, D2.1, sets out the outcomes of the involvement of the external Advisory Boards (ABs) set up under Project ALIGNER in the development of one of its main final objectives, the consolidation of its work into an *'Artificial Intelligence Roadmap for Policing and Law Enforcement'* that can be utilised to guide and support the use of AI in the context of policing and law enforcement.

1.1 Gender Statement

The ALIGNER outreach documents and activities were aimed at supporting a wide array of stakeholders (public, private, and third sector). ALIGNER was fully committed to a balanced participation and gender equality in all aspects of the project, including a balanced representation of men and women in management, research, dialogue, dissemination, advisory board and outreach activities.

Throughout the life of the project ALIGNER made efforts to ensure sufficient representation from women, non-binary people and other less represented groups when inviting AB members to workshop, particularly when staffing panels and discussion rounds.

1.2 Structure of the report and relation to other work

This report consists of five Sections and two Annexes. After an introduction to ALIGNER, more detail is provided on the topic of external stakeholder engagement with the project. To achieve this, expertise was drawn on from the fields of both policing and law enforcement and, more widely, from those active within science, industry and ethics.

Section 2 describes how this was achieved through the formation of two Advisory Boards; the Law Enforcement Agency Advisory Board (LEAAB), and the Scientific, Industrial and Ethical Advisory Board (SIEAB). Their Terms of Reference (ToR) are set out in this section.

Section 3 presents the membership and affiliations of the Advisory Board and shows how their numbers increased as the project progressed.

Section 4 focuses on the activities of project ALIGNER where they were utilised constructively over its three-year life and, more specifically, during the eight workshops.

Section 5 draws some conclusions on the work and outputs of the Advisory Boards and, based on the experiences of ALIGNER, offers some recommendations for other projects where a similar approach may be beneficial.

Annex A sets out the stakeholder engagement strategy for LEAs and other relevant actors.

Annex B is an example of an ALIGNER post-workshop summary note, compiled after the seventh workshop, and gives some insight into the dynamic interactions that occurred between the ALIGNER consortium members, Advisory Board members and other participants.

It should be noted that throughout the project, the insights gained during the workshops, interviews and other activities were fed into the deliverables produced by each of the project work packages (WP). These included WP2 (LEA and Civil Society Engagement), the three iterations of the ALIGNER policy recommendations (D2.3 to D2.5), plus WP3 (Technology Impact Assessment) where it involved the scenario testing and assessment of potential AI technology solutions.

Under WP4 (Ethics & Law), they contributed to and evaluated the ALIGNER Fundamental Rights Impact Assessment. Finally, the ABs were instrumental in shaping and evaluating the iterations of the research roadmap itself (D5.3), including their participation in surveys, by not only completing the questionnaires but also by disseminating them to others through their own networks.

2. ALIGNER Advisory Boards: Rationale, tasks and Terms of Reference (ToR)

2.1 Rationale and concept

Artificial Intelligence technology, its rapid transition from the laboratory to the real world and its impact within the context of policing and law enforcement is a vast and expanding topic in terms of both its scale and scope. It was therefore apparent that the ALIGNER consortium needed to draw on a wide spectrum of expertise to carry out its task, to collaboratively discuss the needs and exchange knowledge relating to measures that can beneficially be developed by using AI technologies.

It was also clear an effective way to do this would be through the establishment of a mechanism to bring together external stakeholders and experts in the fields of law enforcement, policing and artificial intelligence, plus those from other communities such as research, academia, industry and commerce. The mechanism took the form of Advisory Boards, designed to bring inputs relevant to the project research, as well as innovative ideas triggered by Advisory Board members' day to day work experiences and their own existing networking platforms.

To facilitate their work, ALIGNER established a dedicated work package (WP2 'LEA and Civil Society Engagement') and this was led by CBRNE Ltd. Its key task throughout the project was to coordinate all activities involving the Advisory Boards i.e. making sure that the right members are co-opted and that they are kept in the loop and not overwhelmed by requests from the project.

2.2 Tasks and Terms of Reference

Once the project began, WP2 established and managed the ALIGNER Advisory Boards. Its work was organised into three formal tasks:

Task 2.1 – 'Creation, maintenance, and coordination of the ALIGNER Advisory Boards'
Two Advisory Boards were established:
   ❖ Law Enforcement Agency Advisory Board (LEAAB)
   ❖ Scientific, Industrial and Ethical Advisory Board (SIEAB)

Task 2.2 – 'Advocacy and networking with relevant stakeholders'
The ABs were convened regularly to participate in workshops to discuss issues at the cross section between law enforcement/policing and artificial intelligence. These were held throughout the life of the project (Four in Year 1, two in Year 2 and two in Year 3). To assist in this process, after each Workshop, an anonymised Summary End Note of the event was provided to all the Advisory Board members, across the ALIGNER Consortium and other workshop participants and experts not directly affiliated to ALIGNER.

Task 2.3 – 'Advisory Board evaluation of roadmap reports'
It was envisaged that, as part of this task, both Advisory Boards would deliver presentations at the ALIGNER final event and workshop in September 2024 where they

would present their views on the project final deliverables, in particular on the applicability and relevance to the present and future activities of police and LEAs of the 'Roadmap' produced by WP5. This took place in the form of a participatory tabletop involving members of the ABs.

In essence, there were two core AB objectives that were achieved at each consultation meeting or workshop:

Objective 1:

- To explore and consider:
  - ❖ The state and evolution of criminal activities across pan-European states
  - ❖ The existing and emerging needs of practitioners and associated capability gaps
  - ❖ The intended and unintended consequences of the use of AI

Objective 2:

- To examine the ALIGNER Roadmap iterations produced by WP5 and report back on their applicability and relevance to the present and future activities of the P&LEAs:
  - ❖ This was achieved through the continuous improvement cycle and lasted for the duration of the project, plus;
  - ❖ Each iteration of the 'Roadmap' was validated by practitioners and stakeholders prior to publication.

2.3 Advisory Boards Terms of Reference

In accordance with the ALIGNER Description of Work, as revised after the commencement of the project, the Terms of Reference (ToR) for the two ABs were composed and articulated to the AB members. They encapsulate the requirements, aims and objectives relating to the ABs as set out in the seven 'Specific Objectives' (SO) for project ALIGNER. This step enabled members to be clear on the project requirements and the inputs they would be expected to contribute to throughout the life of the project. The ToRs are set out below:

LEAAB and SIEAB Terms of Reference (ToR)

'ALIGNER will establish and maintain the two Advisory Boards that are critical to objectively collect and aggregate the feedback of stakeholder inputs, particularly those considered to be 'end users':

1. **Law Enforcement Agency Advisory Board** (LEAAB), comprising of LEAs, police and analysts from across the EU.

2. **Scientific, Industrial, and Ethical Advisory Board** (SIEAB), comprising of scientists, mathematicians and engineers at the forefront of the design of AI systems as well as ethics experts and representatives of civil society.

- The ABs will have oversight of project ALIGNER whilst providing feedback on the activities and outcomes of the project, give advice, share knowledge and best practices, and communicate with the consortium throughout the project lifetime. The list of activities is detailed below.

- Provide guidance and assistance in the development of the Roadmap in which the ABs will have a key role to ensure the outcomes meet both the needs of LEAs and the SIE communities.

- The ABs will act as information conduits between the project and other stakeholders and assist in developing mutual understandings and expectations on how things can be improved and what is the art of the possible.

- The ABs are cognisant that ALIGNER is striving to develop ground-breaking research to design and build a roadmap for the EU Commission. This roadmap will enable the Commission to determine where funding should be provided to ensure the EU community is best placed to utilise AI development for crime prevention, the identification of and the deterring of criminal activity. The second purpose of the roadmap is to identify, through the use of AI technology, how to streamline internal policing processes to improve the efficiency and effectiveness of LEAs across the EU.

- The ABs will bring its members' knowledge and experience to identify factors associated with the use of AI.

3. The ABs will meet on eight occasions throughout the life of the project, with four of those meetings in Year One.'

3. Membership and affiliations of the Advisory Boards

At the commencement of the project in September 2021, the two Advisory Boards were initiated. A Stakeholder engagement strategy was drafted, setting out the parameters of the ABs and the desired objectives. This strategy is set out in **Annex A**. The LEAAB comprised of ten members from five countries and the SIEAB comprised of eighteen members from nine countries. The agencies and organisations making up the two ABs are set out in the following tables:

Table 3.1- Law Enforcement Agency Advisory Board (LEAAB): Initial members, September 2021

Number	Country	Agency
1	Ireland	An Garda Siochána
2	Netherlands	Royal Dutch Marechaussee
3	Netherlands	Royal Dutch Marechaussee
4	Poland	Police Academy in Szczytno
5	Sweden	Swedish Customs Authority
6	UK	Police Service of Northern Ireland
7	UK	Roke Manor (An LEA think-tank)
8	UK	West Midlands Police
9	UK	West Yorkshire Police
10	UK	City of London Police

Table 3.2-Scientific, Industrial and Ethical Advisory Board (SIEAB): Initial membership, September 2021

Number	Country	Organisation
1	Belgium	CTMA
2	Germany	TUHH
3	Germany	IOSI Global
4	Germany	ISPK
5	Germany	University of Bundeswehr Munchen
6	Germany	Institute of Communication and Computer Systems
7	Italy	University of Campania
8	Kosovo	University of Prishtina
9	Portugal	University of Porto
10	Romania	Centre for Advanced Research in Management and Ethics
11	Sweden	Umea University

12	Sweden	University of Linkoping
13	UK	Living PlanIT
14	UK	Aston Lark Ltd
15	UK	Zenzium Ltd
16	UK	University of Reading
17	UK	Intrepid Minds
18	USA	Griffeye Technologies AB

As Project ALIGNER developed and awareness of the scope of the project circulated around the European Union, more agencies and organisations applied to join and were accepted into membership of the two ABs. As can be seen in the tables below, the membership and span of countries they were drawn from for both Advisory Boards grew significantly.

The LEAAB eventually comprised of twenty-two agencies (an increase of twelve) from twelve countries (an increase of seven). The SIEAB had thirty-nine members (an increase of twenty-one) from sixteen countries (an increase of seven). The makeup of the two boards as the project reached its final stage is set out in the tables below:

Table 3.3 - Law Enforcement Agency Advisory Board (LEAAB): Final membership as of August 2024

Number	Country	Agency
1	Belgium	World Customs Organization
2	France	Gendarmerie National (France)
3	France	École Nationale Supérieure de la Police (ENCP)
4	Greece	Justice and Home Affairs Counsellor
5	Ireland	An Garda Síochána
6	Lithuania	Lithuanian Cybercrime Center of Excellence for Training, Research and Education (L3CE)
7	Netherlands	Dutch Royal Marechaussee
8	Netherlands	Dutch Royal Marechaussee
9	Poland	Police Academy in Szczytno
10	Poland	AIRPOL
11	Serbia	University of Criminal Investigation and Police Studies
12	Sweden	Swedish Customs Authority
13	Sweden	Swedish Customs Authority
14	Sweden	Swedish National Courts Administration
15	Northern Ireland	PSNI
16	Northern Ireland	PSNI

Number	Country	Organisation
17	UK	Roke Manor (An LEA Think-tank)
18	UK	West Midlands Police
19	UK	West Yorkshire Police
20	UK	City of London Police
21	UK	NHS Fraud Agency
22	USA	Principal Cyber Security Consultant (Dark Wolf Solutions)

Table 3.4-Scientific, Industrial and Ethical Advisory Board (SIEAB): Final membership as of August 2024

Number	Country	Organisation
1	Belgium	CTMA
2	Belgium	Research Centre Information, Law & Society (CRIDS), Namur Digital Institute (NaDI)
3	Belgium	Robotics & Autonomous Systems unit Royal Military Academy of Belgium
4	Czech Republic	Palacký University Olomouc
5	France	Fire-IN Project Manager (Coordinator)
6	France	ISA – Intelligence & Science Applications
7	France	ENSOSP (French School of Fire Fighters) (Also FIRE-IN)
8	Germany	Responsible Innovators
9	Germany	TUHH
10	Germany	IOSI Global
11	Germany	ISPK
12	Germany	University of Bundeswehr Munchen
13	Germany	HOCHSCHULE MITTWEIDA (FH) Faculty Applied Computer Sciences
14	Greece	Institute of Communication and Computer Systems
15	Italy	Engineering Ingegneria Informatica S.p.A
16	Italy	Studio Filippi
17	Italy	University of Campania
18	Italy	Zanasi and Partners
19	Italy	Fondazione SAFE
20	Ireland	Clarity Research
21	Kosovo	University of Prishtina
22	Netherlands	University of Twente
23	Norway	TIEMS

24	Norway	Forsvarets forskningsinstitutt (FFI)
25	Poland	MORATEX (Institute of Security Technologies)
26	Portugal	University of Porto
27	Portugal	TEKEVER
28	Romania	Centre for Advanced Research in Management and Ethics
29	Sweden	UMEA University
30	Sweden	University of Linkoping
31	UK	Aston Lark Ltd
32	UK	Zenzium Ltd
33	UK	University of Reading
34	UK	Symbiosis
35	UK	Intrepid Minds
36	UK	Middlesex University, London
37	UK	University of Leicester, Department of Law and Justice
38	UK	School of Criminology, University of Leicester
39	USA	Griffeye Technologies AB

4. Activities of the Advisory Boards

4.1 ALIGNER Workshops

To capitalise upon the expertise and knowledge of the AB members, it was determined the most effective mechanism to capture this information would be through the use of workshops, whereby both ABs would come together to share current and emerging technological developments, and criminal activities related to the use of AI. The outputs from these workshops would in turn provide input and information to the ALIGNER project team to assist in the development of the research roadmap and the other deliverables.

The specific topics of the workshops were decided upon in conjunction with WP5 (Outreach & Roadmap) and matched according to the roadmap publication timeline. The themes and topics that were highlighted over these workshops included:

- The Archetypical scenario; reality-based and imaginative scenarios and their structures;
- Ethical and legal considerations arising from the use of AI
  (in active liaison with, amongst others, **project popAI** (SU-AI03-2020);
- Unintended consequences of the use of AI;
- Cybersecurity requirements for the use of AI in law enforcement and policing;
- Needs and benefits, challenges and threats from the viewpoint of LEAs, research, policy and civil society;
- Desirable approaches, test and evaluation of AI solutions for law enforcement and policing
  (in active liaison with, amongst others, **project STARLIGHT** (SU-AI02-2020).

Overall, project ALIGNER organised seven workshops relating to the core topic of AI systems in the context of policing and law enforcement, commencing soon after the beginning of the project in September 2021 and ending in May 2024. An eighth one took place at the final project event on 26th September 2024, scheduled in order to give the opportunity to Advisory Board members to see across the entirety of the project results, then make final comments as they see fit and for consortium members to utilise the Advisory Board for any advice or guidance they may require, finalising their last deliverables.

The dates and participants for the workshops are set out in the following table:

Table 4.1 – ALIGNER Workshop Dates and Participation

Workshop Number	Date	Type/Location	Day	Participants			
				LEAAB	SIEAB	TOTAL	Gender M/F
1	Nov 2021	Leuven, Belgium	1	6	13	19	16/3
			2	3	13	16	14/2
2	Jan 2022	On-line	1	6	13	19	15/4
			2	6	14	20	16/4
3	June 2022	Bonn, Germany	1	2	10	12	7/5
			2	2	9	11	6/5
4		On-line	1	7	9	16	12/4

	Nov/Dec 2022		2	6	7	13	10/3
5	June 2023	Bonn, Germany	1	11	13	24	18/6
			2	11	13	24	18/6
6	Nov 2023	On-line	1	6	14	20	11/9
			2	7	12	19	11/8
7	May 2024	On-line	1	9	12	21	15/6
			2	12	15	27	19/8
8	Sept 2024	Leuven, Belgium	1	15	11	26	17/9

The contributions of the Advisory Board members at workshops were of importance in two main ways. Firstly, they were able to provide accurate and reliable information to ALIGNER consortium members, drawing from their day-to-day activities, experiences and events. They also provided a wider pool of knowledge and specialist expertise that the consortium was able to draw upon.

Secondly, they were able to act as a sounding board for the work of the ALIGNER consortium members by considering, commenting on and giving suggestions to the different strands of project work as they moved forward and, later, to their emerging results. This valuable input was then used to refine and finalise the project deliverables.

4.2 Workshop themes

As already described, the rapid transition of Artificial Intelligence technology from the laboratory to the real world and its impact within the context of policing and law enforcement provided the participants in project ALIGNER with a great number of topics to discuss at each of its workshops. The main themes for each of the workshops is summarised in the Table below:

Table 4.2 – Main theme of each ALIGNER Workshops

Workshop and Project Year	Topic
1 (Year 1)	**Development of the concept of AI as both crime and security threat and as a tool for P&LEAs.** The workshop examined real and potential issues relevant to changes and developments in crime and criminality. In turn, these were incorporated into the development of a structure for presenting an "archetypical crime scenario". The workshop confirmed the initial hypothesis, that the impact of AI in the context of policing and law enforcement cannot be the single issue when dealing with AI as a crime and security threat. Of equal, if not more importance, is the impact of AI when it is put to work by Police and Law Enforcement Agencies, not only to deal with AI enabled crime and security threats, but also to enable them to significantly increase the effectiveness and efficiency of their organisations.

2 (Year 1)	**Capability enhancement needs of the LEAs** and a summary of emerging results relevant to the development of AI scenario structures. The second workshop built on this initial concept and was entitled "AI in the service of Police and LEAs, exploring capability enhancement needs". It comprised of interactive sessions on both days, interspersed with additional project-specific presentations by members of the ALIGNER consortium. The focus was on the capability enhancements needed by Police and Law Enforcement Agencies to bring AI safely and effectively into their service and to counter the crime and security threats posed by AI, both as they exist today and could exist in the future. The discussions utilised four areas of Law Enforcement Agencies 'Use-case scenarios': 1) 'AI and vehicles, drones and robots'; 2) 'AI, Crime and Information in the digital domain'; 3) 'AI, Disinformation and social manipulation' 4) 'AI and Cybercrime'. These had been drawn up as a result of Workshop 1. Each in turn was systematically examined from the Law Enforcement Agencies perspectives of 'Prevention and Detection', 'Reaction and Response', 'Investigation and Prosecution', with other aspects falling under 'Ancillary Functions'.
3 (Year 1)	**Gap analysis and policy recommendations.** During the third workshop, ALIGNER presented the narrative for the year one Scenario, the interim outcomes of the Technology Watch and Impact Assessment for this scenario, as well as general updates to the work related to these project activities. In addition, ALIGNER used this third workshop to gather further capability enhancement needs specific to the year one scenario, as well as general needs, and presented to the Advisory Board members an early draft of the first Roadmap, which was published at the end of September 2022.
4 (Year 1)	**Risks and Threats in terms of Ethical and Legal parameters**. In the fourth workshop, ALIGNER aimed to take the results obtained so far and deepen the discussions. On day one, the workshop focused on the proposed EU AI Act, its potential implications for Law Enforcement Agencies and the initial Policy Recommendations of ALIGNER. On day two, the project delved deeper into the key topic of Impact Assessments, using hands-on exercises to generate discussion and feedback on the methods employed.
5 (Year 2)	**ALIGNER presentations on two scenario narratives for the second project year and potentially beneficial AI technologies.** Based on these and other ongoing AI developments, participants discussed cyber security requirements and potentially unintended consequences associated with

	the use of AI by Law Enforcement Agencies, an initial taxonomy of AI supported crime, and identified further policy recommendations and research gaps.
6 (Year 2)	Based on an update about **AI technology risk assessment methods** and mitigation measures, participants discussed ALIGNER's approach to risk assessment. Participants were introduced to the second ALIGNER scenario, explored how AI technology and its use by police and law enforcement agencies might develop, and consequently identify potential gaps and opportunities for current and future research. Participants discussed problems that law enforcement agencies might encounter in ensuring compliance with their (forthcoming) legal obligations under the EU AI Act, including conformity assessments, data protection impact assessments and fundamental rights impact assessments. After a brief presentation of ALIGNER's second iteration of Policy Recommendations, participants discussed which practical and useful steps could be introduced to support and enable the next (final) set of policy recommendations.
7 (Year 3)	**The ALIGNER Taxonomy of AI-supported crime and some preliminary results of the forecast survey** were set out and discussed. The prioritisation and evaluation of research needs in the field of AI and law enforcement were also discussed, as well as ALIGNER's next and final iteration of policy recommendations, plus the results of ALIGNER's latest set of impact assessments for AI technologies. Two final questions were posed to the ABs during this workshop; in the context of the first two Roadmaps, 1) What would you expect to see in it by the time of the last one in September 2024 and 2) do you think there should be any amendments to anything produced in it so far? For example, we know that we should "bundle" research needs into packages that could be translated into larger topics for the next framework programme. Is there anything else required? **Annex B** consists of the Workshop 7 Summary Note that was drafted during and after this workshop (See Annex B). The Note has been included to give the reader not only an understanding of the contributions made by the AB members but also how Project members used the opportunity to both brief the ABs on their work as it progressed and to ensure they were also able to contribute to it as they felt necessary. From this, it can clearly be seen that the level of interest, input and participation of the two ABs to the quality of the debate was significant and valuable. The AB output here was typical for all the ALIGNER workshops and demonstrates the importance of their involvement in this type of project.
	Workshop 8, which was the final workshop for the ALIGNER project, was the last opportunity for the ABs to be briefed on the completed Roadmap and policy

8 (Year 3)	recommendations. The agenda for this roadmap had several themes and objectives. Three roundtables were organised, the first one involved five members of the LEAAB. Each of them were asked to answer a specific question, with the audience given the opportunity to comment on the given answers. The five questions were: 1. What are the practitioner needs regarding current threats and opportunities posed by AI? 2. What are your views on any of the findings or insights that have emerged from the ALIGNER project? 3. What appears to work well for LEAs in terms of AI capabilities? 4. What problems do you foresee with AI from an LEA perspective in the future? 5. What would you like to see the EU Commission focus on in terms of AI for Law Enforcement? The key points that emerged from this practitioner roundtable highlighted the issue of LEAs holding vast amounts of data, either seized from witnesses, criminals or gathered from mobile phones, internet activity and computers. Technology is required for them to make sense of all this data, including interrogating the devices in order to produce actionable intelligence and information. Early use of AI tools has clearly demonstrated the value of AI in the analysis of large volumes of data to provide this capability. However, there needs to be further investment, research and software development to deliver this functionality to LEAs. Also, the barriers to sharing this information and intelligence across Europe need to be reduced in order to improve the efficiency and effectiveness of the LEA community, particularly with regard to the exchange of emerging trends and behaviours in criminal activity. In addition to this roundtable, there was a researcher and industry roundtable covering future trajectories for developments in AI for Law Enforcement, and a further roundtable with participants from the SU-AI cluster and beyond, outlining the experiences and recommendations from their own EU funded project on AI. As with previous workshops, there was considerable interest, debate and input from the participants. There was a very strong view that ALIGNER had provided a significant amount of information to the AB members regarding the challenges and future development of AI, both to assist LEAs and to highlight emerging criminal trends. The consortium benefited from the real-world experiences of the ABs and were able to utilise this information to assist in the formulation of the roadmap and the policy recommendations. The outcomes from these answers and the ensuing discussions were considered for incorporation into the roadmap and policy recommendations.

4.3 Summary of outcomes from the Workshops

A great number of internal ALIGNER topics were addressed during the workshops, but external events and the internal dynamics of the project research both influenced their themes and the discussions that they stimulated. When examined overall, the two roles of the Advisory Boards can be seen.

In the first three workshops (between November 2021 and June 2022), the main requirement of ALIGNER was for the acquisition of information to work with. Traditional methods of procuring this data were constrained by the scope, breadth and relative newness of AI as a technology, plus a shortage of specific information on how police and law enforcement already interacted with AI, either as a crime or security threat, or as a tool they made use of (or would like to do so). The Advisory Board members were instrumental in helping ALIGNER to address this issue.

While the information and guidance role provided by the Advisory Boards continued at all the remaining workshops, the emphasis changed from Workshop Four onwards, as the consortium members began to produce emerging results and the first work-based deliverables e.g. initial policy recommendations, scenarios and state-of-the art reports on ethics and law relating to the policing and law enforcement aspects of AI technology. This culminated in the submission of the first ALIGNER 'Roadmap' deliverable in September 2022.

On November 30th, 2022, an event occurred that had a fundamental effect on the work of ALIGNER. It was the first public release of a Generative AI system based on a Large Language Model (LLM), known as 'ChatGPT' and developed by the company 'OpenAI'. Almost immediately, the flood gates opened and workshops five and six (June and November 2023) were important to all the members of the consortium, to try and understand what the implications were from the perspectives of the Advisory Boards and, in turn, for them to brief the Advisory Boards on the new landscape of AI systems in the context of policing and law enforcement.

Notwithstanding this significant development, another highly consequential event for police and law enforcement agencies had reached fruition by May 2024 when Workshop Seven was held. Since before the start of Project ALIGNER in September 2021, the EU Artificial Intelligence Act had been making legislative progress. During several revisions, the proposals contained therein of most relevance to police and law enforcement changed, making it difficult for ALIGNER to determine its impact and implications. However, whenever it was possible, the Advisory Board members were specifically briefed on the Act and what it may mean for them if the proposals remained unchanged. Workshop seven was able to consider the Act in its final form as it changed from EU proposed legislation to EU law.

In conclusion, the final event and eighth workshop was the last opportunity for ALIGNER to engage with the Advisory Board members and for them to comment on the final set of deliverables. This is especially important in the case of the ALIGNER 'Research Roadmap' (D5.5) and the ALIGNER Policy Recommendations (D2.5).

4.4 Involvement of Advisory Boards in other ALIGNER work: Surveys

Alongside the workshops, project partners employed additional ways to elicit information from stakeholders and practitioners on their perceptions of AI-based systems; which AI services and products could enhance or challenge LEA missions; their effectiveness compared with existing

systems; identifying gaps in operational capability and the generation of high-level requirements to be considered for the roadmap.

The methodologies included questionnaires as part of a series of quantitative and qualitative surveys that provided valuable feedback to the development of the final Roadmap by ensuring that the project focused on current and potential police and LEA, scientific, industrial and civil society requirements.

5. Conclusions and recommendations

EU funded projects proposing research and development of technologies to assist law enforcement agencies, as well as the supply chain community who would be looking to design and promote products to provide this capability in a legal and ethical manner, all require input from 'end users' if such research is going to be relevant and of value to 'End Users'. Therefore, the presence of Advisory Boards containing P&LEA End Users in particular, and others from the scientific, industrial and ethical sectors, is a vital part of that process in order to achieve relevant results.

As such, the two ABs that formed part of the Project ALIGNER structure and made contributions throughout the life of the project, added value to the final roadmap. It can be seen in this deliverable, how the ABs gained new members who demonstrated commitment and brought credibility to the final outcomes. In turn, they gained detailed knowledge of the societal concerns about the use of AI in policing and law enforcement and the legal and ethical parameters P&LEAs are likely to be operating under now that the EU AI Act is now law.

The growth of AI is moving at such a fast pace, as witnessed by the significant developments that emerged during this project, that the cognisance of end users has benefitted considerably from their involvement in ALIGNER. The quality of the debate and outcomes from the interaction between the consortium and the ABs can be seen throughout the content of this deliverable. There has been widespread interest from end users during the three-year span of the project and the final workshop with the ABs in September 2024 reinforced this viewpoint.

The following recommendations are drawn from the experiences and knowledge gained not only during ALIGNER, but also across several other Horizon projects involving the authors and contributors over the years where the concept of project-specific Advisory Boards has been applied to good effect.

1. In general, Advisory Boards in Horizon Europe research projects have played a crucial role in ensuring the quality, relevance, and impact of the projects. Their primary purposes include:

   a. Expert Guidance: Advisory Boards consist of experts from various fields relevant to the project. They provide strategic guidance and advice to ensure that the project is on the right track and aligned with the latest scientific, technological, and market developments.
   b. Quality Assurance: By reviewing the project's progress, methodologies, and outcomes, Advisory Boards help maintain high standards of quality. They provide critical feedback that can lead to improvements and adjustments in the project's direction.
   c. Objective Oversight: These boards offer an external perspective, which helps in objectively evaluating the project's progress and outcomes. This external oversight is essential for identifying potential issues early and for making unbiased decisions.
   d. Stakeholder Engagement: Advisory Boards often include members from various stakeholder groups, such as industry representatives, policymakers, and end-users. This inclusion ensures that the project remains relevant to its stakeholders and that their needs and expectations are considered.
   e. Networking and Dissemination: Members of the Advisory Board can leverage their networks to help disseminate project results and findings. This broadens the impact of the project and facilitates the uptake of its results by the wider community.

f. <u>Risk Management:</u> Advisory Boards help identify and mitigate risks by providing strategic insights and alternative solutions to potential problems. Their experience and expertise are invaluable in navigating complex challenges that the project might face.

g. <u>Enhancing Credibility:</u> Having a reputable Advisory Board can enhance the credibility of the project. It signals to funders, partners, and the broader community that the project is guided by recognised experts, increasing trust in its potential outcomes.

2. In projects like ALIGNER, where there is a need to have the engagement of police and law enforcement agencies or other communities of topic 'specialists', the concept of creating and utilising one or more Advisory Boards should be the default position at the pre-planning stage.

3. The inclusion of police and law enforcement agencies in a project consortium should not preclude the additional use of additional police and law enforcement agencies in an Advisory Board. In this way, the Advisory Board will draw in P&LEAs who cannot, or are unable, to participate in project consortia and hence it will act as a force multiplier to create a network of networks for the project to draw upon.

4. P&LEAs and other 'first responders' or operational specialists are often driven by events and so the arrangements made for their participation in an Advisory Board must have built-in flexibility.

5. The Advisory Board must work by facing in two directions: information based on the knowledge, experience and expertise of its members should be accessible to the project consortium members; information of potential practical use to the Advisory Board members should pass to them from the project. This should be over and above the project deliverables once they are completed.

6. The resources committed by the project to any Advisory Board must be adequate to the task. This applies both to the number of personnel dedicated to the establishment, functioning and maintenance of the Advisory Board, as well as the level of financial reimbursement and necessary expenses required to ensure their attendance at project activities. From experience, some members of Advisory Boards are happy to attend face to face workshops and meetings pro bono, but others require their travel, hotel and food costs to be reimbursed. Some subject matter experts require their time to be reimbursed and it is up to the coordinator to judge the added value of such participation.

7. Depending on the project's aims, a broad range of countries should be represented within the Advisory Boards to reflect the different legal backgrounds to be considered against the project's outcomes, to broaden the overall impact of the project on its European base, and to foster a strong European network of engaged Advisory Board members that are willing to support similar projects.

8. Experience has shown that due to the voluntary nature of participation in the Advisory Board, not all members will contribute equally to the project. It therefore seems sensible to identify reliable members over the course of the project and pool them in a Core Group. This facilitates short-term qualitative feedback on individual project topics and secures the involvement of the Advisory Board throughout the project. In return for their greater commitment, these members can be given greater consideration for activities such as exercises or panel discussions.

9. In addition to a reliable Core Group, it is advisable to also identify Advisory Board members that can provide suitable expertise for specific project aspects. For example, representatives from departments that deal specifically with aspects of ethical policing. The more the profile of the Advisory Board corresponds to that of the project, the more effective the feedback to the project is likely to be.

10. When setting the framework for the project, attention should be paid to what kind of feedback is envisaged. In depth feedback will be more likely achieved by having smaller Advisory Boards managed on a very personal basis, while quantitative feedback such as the carrying out of surveys and the use of broad networks is gained through larger Advisory Boards.

11. During similar projects to ALIGNER, Advisory Board members might not be involved equally as participation may be subject specific. To ensure a regular update on the work of the consortium throughout the project duration, a regular newsletter can be used to notify members of new deliverables and announce new events or describe certain activities. In this way, the members will feel part of the project and thus commit to a greater extent to the project's success.

12. The Advisory Board should not only be in constant dialogue with the project but should also be used as an essential network for sharing the project results with the outside world. To this end, members may interact with the project's social media channels or receive distribution material (e.g. flyers) for other events they are attending. The stronger the relationship between the project and the ABs, the stronger the willingness on the part of the AB to support the project in this regard.

In summary, Advisory Boards in Horizon Europe research projects ensure projects are guided by expert knowledge, maintain high standards, engage relevant stakeholders, identify risks effectively, and achieve broader impact and credibility. Consequently, Project ALIGNER recommends their use in similar projects whenever they are practicable and appropriate.

6. Annex A: ALIGNER Stakeholder Engagement Strategy for LEA's and other relevant actors

6.1 Aim and objectives of the strategy

To achieve its goal of developing a policy and research roadmap for artificial intelligence (AI) for law enforcement agencies (LEAs) that identifies challenges and opportunities while simultaneously meeting the operational, cooperative, and collaborative needs of police and LEAs, ALIGNER depends heavily on input from practitioners, researchers, industry professionals and policymakers. These actors should ideally cover a representative portion of the European Union to ensure that the views and recommendations included in the roadmap reflect the broadest possible spectrum of interests from across the EU.

A special position in the range of actors to be reached by ALIGNER encouraged the engagement of practitioners from law enforcement and policing, as the long-term goal of ALIGNER is to influence European policy and research (programming) processes to close the gap between the criminal use of AI and the use of AI to the benefit of society in the hands of LEAs. To achieve this goal and ensure all recommendations made by ALIGNER are in line with the actual needs and requirements of LEAs, it is paramount to ensure their consistent and broad participation in project activities.

However, broad participation across the EU alone is not sufficient. The input received from actors at the cross-section of AI, law enforcement, and policing also needs to be of sufficient quality to ensure that the results produced by ALIGNER reflect the real challenges and opportunities present in the daily work of LEAs.

To achieve these goals, ALIGNER established two advisory boards:

- **LEAAB:** Law Enforcement Agency Advisory Board
- **SIEAB:** Scientific, Industrial, and Ethics Advisory Board

Experts from outside the project can join one of these advisory boards. With joining the ALIGNER advisory boards, experts agree to participate in meetings, provide input to deliverables, participate in surveys, and in general support the project in achieving its goals. In exchange experts are connected with each other and receive privileged access to unpublished project results.

This strategy documents defines

- what the specific objectives to be reached in regard to stakeholder engagement are;
- who the specific target stakeholder types are that ALIGNER wants to reach and which of these stakeholders the project is already reaching;
- how stakeholders will be systematically identified and engaged to gather feedback and input;
- how ALIGNER ensures relevance and sufficient spread across Europe for its activities;
- how to ensure high quality of input from stakeholders; and how to monitor achievement of the objectives.

6.1.1 Specific objectives

ALIGNER defines four specific objectives regarding stakeholder engagement. Those are:

1	Ensure that each country within the ALIGNER consortium has one expert in the LEAAB and one expert in the SIEAB.
	◆ **LEAAB:** 1 expert from Belgium, 1 from Germany, 1 from Spain, 1 from Sweden, and 1 from the UK ◆ **SIEAB:** 1 expert from Belgium, 1 from Germany, 1 from Spain, 1 from Sweden, and 1 from the UK
2	Have more than 50% of the EU member states (and the UK) represented by experts both in the LEAAB as well as the SIEAB.
	◆ **LEAAB:** More than 15 experts from 14 different EU member states and the UK ◆ **SIEAB:** More than 15 experts from 14 different EU member states and the UK
3	Have **sufficient geographical coverage** by applying the United Nations Geoscheme for Europe[1] thereby ensuring an **equal spread of representation of at least 3 experts in the LEAAB and 3 experts in the SIEAB from each of the four subregions** (Northern Europe, Eastern Europe, Southern Europe, and Western Europe).
	◆ **LEAAB:** 3 experts from Eastern Europe, 3 experts from Northern Europe, 3 experts from Southern Europe, and 3 experts from Western Europe ◆ **SIEAB:** 3 experts from Eastern Europe, 3 experts from Northern Europe, 3 experts from Southern Europe, 3 experts from Western Europe **Eastern Europe member states:** Bulgaria, Czech Republic, Hungary, Poland, Romania, Slovakia **Northern Europe member states:** Denmark, Estonia, Finland, Ireland, Latvia, Lithuania, Sweden, (United Kingdom) **Southern Europe member states:** Croatia, Cyprus[2], Greece, Italy, Malta, Portugal, Slovenia, Spain **Western Europe member states**: Austria, Belgium, France, Germany, Luxembourg, Netherlands, (Switzerland)
4	With each activity, ALIGNER aims to **reach at least all members of the LEAAB plus the three LEAs within the consortium**[3].
5	With each activity, ALIGNER aims to **reach at least 14 different EU member states,** measured via participation of experts from the LEAAB, SIEAB or other institutions/projects.

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[1] United Nations Geoscheme based on data from https://unstats.un.org/unsd/methodology/m49/

[2] In the UN Geoscheme, Cyprus is located in West Asia. To ensure consistency between objectives 2 and 3, ALIGNER counts Cyprus – a EU member state – in the Southern European region.

[3] However, physical workshop participation is under the budgetary constraints of the project eventually restricting the actual number of participants per activity.

The specific objectives are not independent from each other but overlap. For example, the experts to be added under objective 1 will also count towards reaching objective 2 and 3. Under ideal conditions – i.e. perfectly equal geographical distribution as planned under objective 3 – both the LEAAB and SIEAB would contain **at least 16 experts each** (four from each geographical region). If ALIGNER was to be able to reach each member state listed in objective 3, the LEAAB and SIEAB should each contain **32 experts at most** (8 experts from each geographical region).

6.2 Who are the stakeholders we want to reach?

To consolidate relevant expertise for developing the policy and research roadmap for AI, ALIGNER addresses a well-defined community of stakeholders, including:

- LEA, policing, and criminal justice practitioners, including technical staff who are interested in applying, adapting, or co-creating research upcoming results
- European networks of LEAs that offer knowledge hubs on a multinational level
- research programmers and policymakers in local, regional, and national governments and other legislative bodies, who are interested in policy recommendations addressing identified gaps with regard to AI solutions for law enforcement
- standardisation bodies to advance the unification of models, methods, tools, and data related to the use of AI in law enforcement
- the research community surrounding AI, law enforcement and policing, as well as ethical, legal, and societal assessment, as the roadmap document identifies gaps in these areas and provides directions for further research
- the industry community surrounding AI and law enforcement who will receive directions for future developments and business opportunities

6.2.1 Who are we already reaching?

6.2.1.1 Law Enforcement Agency Advisory Board (LEAAB)

The board involves experts from policing and law enforcement, security professionals, customs agencies, and other law enforcement agencies. They give insight into information on capacity enhancement needs and other requirements for the use with AI in law enforcement. The current LEEAB covers 17 members from 8 different countries (see Figure 1; Table 1).
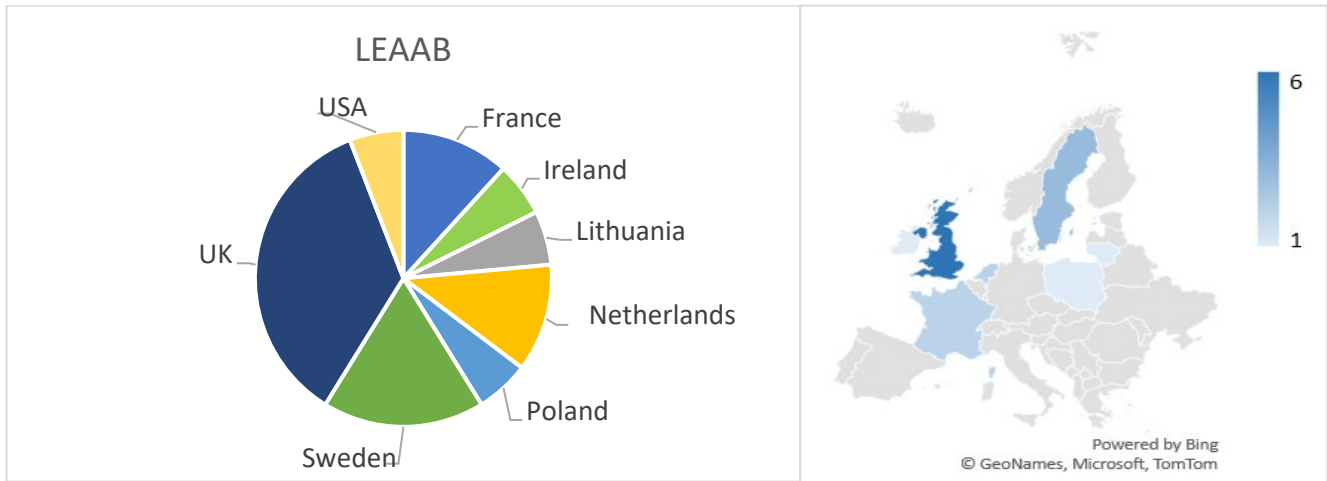
Figure 1: ALIGNER AB members in LEEAB by country

6.2.1.2 Scientific, Industrial, and Ethics Advisory Board (SIEAB)

The board involves professionals from research and academia, industry professionals, ethicists, and civil society representatives. They provide expertise on current developments from industry and research. The SIEAB currently covers 29 members from 11 different countries (see Figure 2; Table 1).

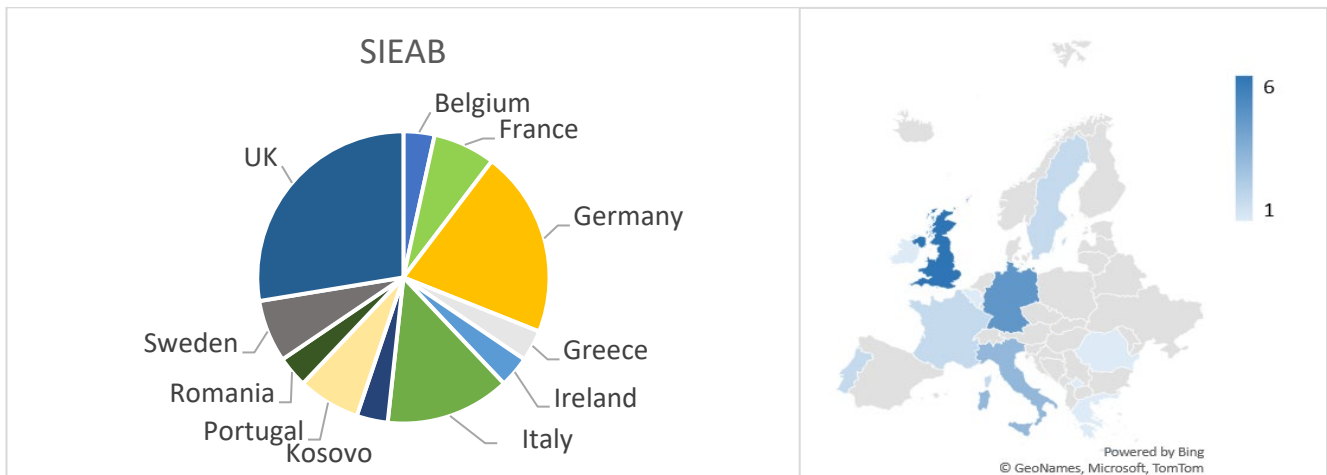**Figure 2**: ALIGNER AB members in SIEAB by country

Of those 29 members, the majority brings expertise in the field of academia and business (see Figure 3)[4].

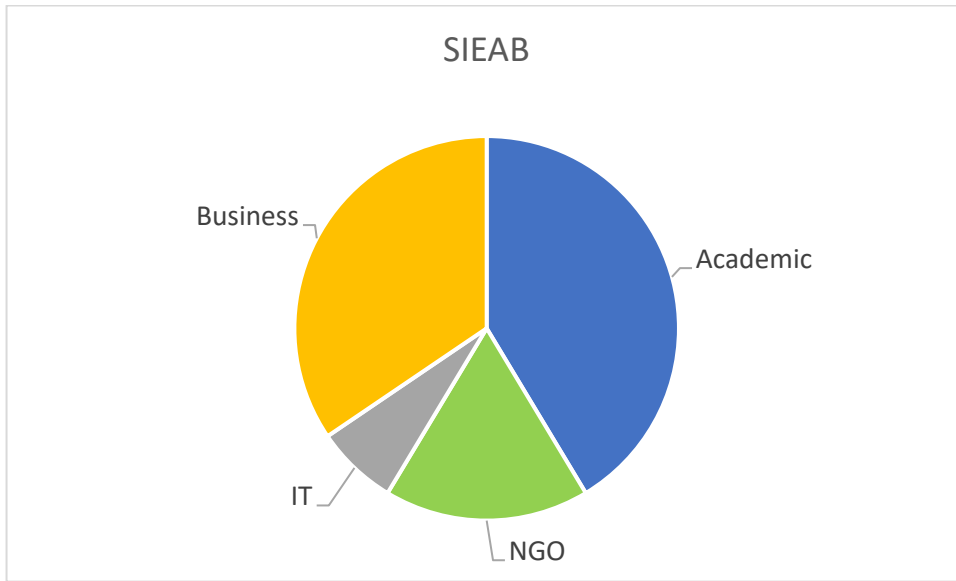[4] Categorization based on different understanding of AI.

Figure 3: ALIGNER AB members in SIEAB by professional background

In total, the advisory boards involve 46 experts from 15 different countries. While in total 30 experts represent 12 EU Member States (incl. UK), the experts in the LEAAB only represent 7 members states, while the experts in the SIEAB represent 10 member states. Of those 30 experts, 26 come from countries represented within the consortium. The current distribution among the two advisory boards can be seen in Table 2.

6.2.1.3 Other actors

Besides the members of ALIGNER's advisory boards, the project has established connections to 24 other research projects (see **Table 1**), whose members participate at ALIGNER workshops, if time permits.

Table 1: Identified research projects (Blue: SU-AI project cluster; Green: Successful collaboration established; Yellow: Contact established, but not further pursued due to differing interests; Red: To be followed up)

Project	Coordinator	Coordinator email
popAI		
STARLIGHT		
AIDA		
CONNEXIONS		
CYCLOPES		
DARENET		
DARLENE		
D4FLY	Identities of participants removed	
eNOTICE		
EU-HYBNET		
EXERTER		
EXFILES		
Fire-IN		
FORMOBILE		
GRACE		

ILEANET **iMARS** **INCLUDING** **iProcurenetNet** **MEDEA** **NOTIONES** **PEN-CP** **ROXANE** **SUSQRA** **ARCSAR** **NO-FEAR** **ARESIBO** **CC-DRIVER** **CREST** **I-LEAD** **INSPECTr** **LOCARD** **METICOS**	Identities of participants removed

In addition, ALIGNER is able to reach a larger number of other actors, albeit to a large degree from research and academia, as was shown by the online survey on capability enhancement needs conducted between May and August 2022. The survey was completed by a total of 53 respondents, of which 19 work in law enforcement and policing (as practitioners) and 29 work in research and academia. Two respondents indicated "civil society" and "other" as their work organisation, and one respondent works in industry (see Figure 4).
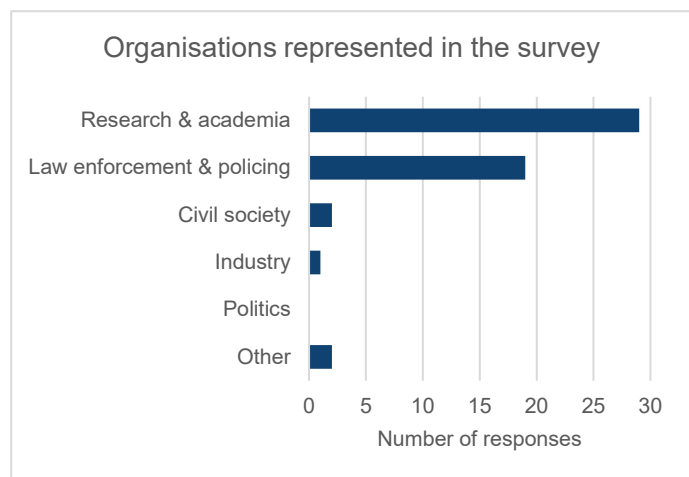
Figure 4: Results of the question "In which type of organization do you work?"

The distribution of countries represented by participants' work organisations is shown in **Figure 5**.

Region	Country	No.
Southern Europe	Italy	7
	Portugal	7
	Greece	6
	Spain	3
	Kosovo	2
	Total	**25**
Western Europe	Germany	7
	Netherlands	4
	Belgium	2
	France	1
	Total	**14**
Northern Europe	Sweden	3
	United Kingdom	3
	Estonia	1
	Ireland	1
	Lithuania	1
	Total	**9**
Eastern Europe	Poland	3
	Bulgaria	1
	Slovakia	1
	Total	**5**

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Figure 5: Results of the question "In which country is your organization based?" Colors represent the number of responses received from each country; dark blue: 1 response; light blue: 2 responses; grey-blue: 3 responses; etc.

Most participants (25 persons) are from Southern European countries (Greece, Italy, Kosovo, Portugal, Spain), followed by 14 persons working in Western European countries (Belgi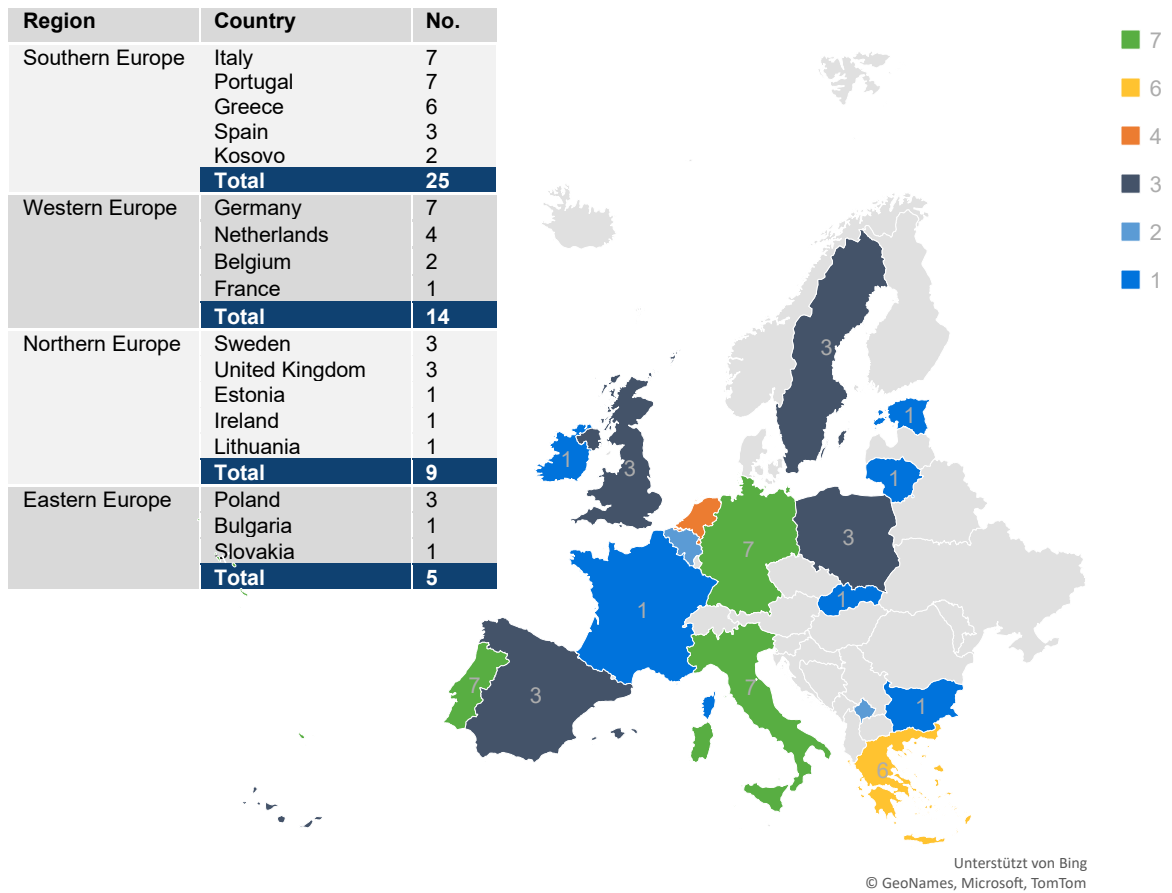um, France, Germany, Netherlands). A proportion of 9 people work in Northern Europe (Estonia, Ireland, Lithuania, Sweden, UK) and 5 persons work in Eastern Europe (Bulgaria, Poland, Slovakia). This loose division into four geographical regions of Europe is based on a methodology of the Statistics Division of the United Nations Secretariat (see Footnote 1).

6.2.2   Who we want to focus on?

To achieve specific objective 1, ALIGNER will recruit one additional expert for the LEEAB each from Spain, Belgium, and Germany (i.e., three additional experts in total). In addition, ALIGNER will recruit one additional expert for the SIEAB from Spain.

To achieve specific objective 2, ALIGNER will recruit nine additional experts for the LEAAB and six additional experts for the SIEAB from EU member states not yet represented in the advisory boards.

To achieve specific objective 3, ALIGNER will recruit three additional experts for the LEEAB from Southern European member states as well as three additional experts from Eastern Europe member states. In addition, ALIGNER will recruit two additional experts from Southern European member states for the SIEAB.

To achieve a more balanced representation of European member states within ALIGNER's advisory boards (e.g., to alleviate the strong representation of UK experts in the LEAAB), ALIGNER will recruit three additional experts from Northern European member states for the LEAAB and two additional experts from Northern European member states for the SIEAB. This will in turn then require adding additional experts from other European geographical regions (see Table 3).[5]

Where possible, experts will be recruited to achieve multiple objectives. Therefore, ALIGNER aims to increase the number of experts in the LEAAB by 16 (from 17 to 33) and the number of experts in the SIEAB by 7 (from 29 to 36). Table 2 present the specific targets for each advisory board per European region and country.[6]

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[5] Please note that the unequal distribution of target numbers across European regions is for the most part a result of the strong interest from northern European member states during proposal and grant agreement phase. As such, the stronger representation of northern European member states cannot be fully resolved. However, the project is aware of this bias and will address it in its deliverables and events by being more selective regarding the invitation of UK experts.
[6] Should ALIGNER fail to recruit experts from one of the targeted countries, the consortium will target experts from a different country of the same European region, e.g., should no LEA from Finland be available, ALIGNER will aim to recruit an LEA from Denmark, Estonia, Latvia, or Norway.

Table 2: Target numbers for members of the LEAAB and SIEAB per European region and country. Blue font: Country represented in the ALIGNER consortium; green font: target number of advisory board members; red font: no members in either LEAAB or SIEAB currently

Region	Country	LEAAB		SIEAB		Total	
		Current no.	Target no.	Current no.	Target no.	Current	Target
Northern Europe – EU member states	Denmark	0	1	0	0	0	1
	Estonia	0	0	0	0	0	0
	Finland	0	1	0	1	0	2
	Ireland	1	1	1	1	2	2
	Latvia	0	1	0	0	0	1
	Lithuania	1	1	0	1	1	2
	Sweden	3	3	2	2	5	5
	United Kingdom	6	6	8	8	14	14
Northern Europe – non-EU member states	Åland Islands, Channel Islands, Faroe Islands, Isle of Man, Norway, Svalbard and Jan Mayen Islands	0	0	0	0	0	0
Total Northern Europe		**11**	**14**	**11**	**13**	**22**	**27**
Eastern Europe – EU member states	Bulgaria	0	1	0	0	0	1
	Czech Republic	0	1	0	0	0	1
	Hungary	0	1	0	0	0	1
	Poland	1	1	0	1	1	2
	Romania	0	1	1	1	1	2
	Slovakia	0	1	0	1	0	2
Eastern Europe – non-EU member states	Belarus, Republic of Moldova, Ukraine, Russian Federation	0	0	0	0	0	0
Total Eastern Europe		**1**	**6**	**1**	**3**	**2**	**9**
Southern Europe – EU	Croatia	0	0	0	0	0	0
	Cyprus	0	0	0	0	0	0

	Greece	0	1	1	1	1	2
	Italy	0	2	4	4	4	6
	Malta	0	0	0	0	0	0
	Portugal	0	1	2	2	2	3
	Slovenia	0	0	0	0	0	0
	Spain	0	1	0	1	0	2
Southern Europe – non-EU member states	Albania, Andorra, Bosnia and Herzegovina, Gibraltar, Holy See, Kosovo, Montenegro, North Macedonia, San Marino, Serbia	0	0	1	1	1	1
Total Southern Europe		**0**	**5**	**8**	**9**	**8**	**14**
Western Europe – EU member states	Austria	0	1	0	1	0	2
	Belgium	0	1	1	1	1	2
	France	2	2	2	2	4	4
	Germany	0	1	6	6	6	7
	Luxembourg	0	0	0	0	0	0
	Netherlands	2	2	0	1	2	3
Western Europe – non-EU member states	Lichtenstein, Monaco, Switzerland	0	0	0	0	0	0
Total Western Europe		**4**	**7**	**9**	**11**	**12**	**18**
Other countries	USA	1	1	0	0	1	1
Total overall countries		**17**	**33**	**29**	**36**	**46**	**69**

6.3 How are we identifying and engaging with stakeholders?

6.3.1 Systematic identification of stakeholders, with specific focus on LEAs

- During a **desk research**, relevant stakeholders, especially European LEAs, will be identified via their official webpages and social media networks. Furthermore, professional platforms like LinkedIn and ResearchGate will be used to identify and contact single experts in this field.
- The project will reach out to **stakeholder networks** to identify experts that are interested in engaging with ALIGNER. For example, those networks include:
  - Europol, the European Union Agency for Law Enforcement Cooperation
  - CEPOL, the European Union Agency for Law Enforcement Training
  - CERIS, a Community for European Research and Innovation for Security
  - CMINE, a hub for crisis management professionals in the EU
- The project will contact relevant **research projects** directly and pass on a request to participate in the LEAAB and SIEAB to potential candidates via the project coordinators.
- Apart from those projects already engaging with ALIGNER (see Table 2), the project will continue to engage with other **research projects** as a community of experts that could become involved with ALIGNER.
- All ALIGNER consortium members will identify relevant contacts within their individual **professional networks**. The project aims to increase the diversity of countries within both advisory boards. As seen in Table 1, there is a significant number of European Member countries not yet represented in one of the boards. The ALIGNER consortium consists of 2 partner organisations from Germany, 2 from Sweden, 1 from UK, 1 from Belgium and 1 from Spain. The German and Spanish partners should each aim to get at least 1 new LEAAB and 1 SIEAB member and the Belgium partner one additional LEAAB member. In this way, the project ensures that at least one expert from each country within the consortium participates in the two boards.
- While recruiting potential candidates for the LEAAB and SIEAB via targeted mailings and letters, stakeholders should also be encouraged to forward the request to colleagues and contacts within their **professional networks** they consider appropriate for one of the boards.
- During upcoming events such as national, European, or international **conferences, webinars and trainings**, consortium members will continue to identify relevant stakeholders.

6.3.2 Systematic engagement of stakeholders

- A **call for participation** in both advisory boards, the webpage and the project social media platform LinkedIn will raise awareness for the ongoing recruitment of new experts and the project's intention to engage with European stakeholders not yet involved within the project in upcoming activities. In addition, all consortium partners are invited to share the call for participation on their professional and social media platforms if possible. The call for participation will regularly be repeated to keep engagement high and drive new members towards the advisory boards.
- To increase the overall number of experts involved in ALIGNER activities, the professional platform **LinkedIn** will be used to promote activities, including the recruitment for new experts. Currently the project's LinkedIn profile has 75 followers. To draw the attention of users of the project website to the LinkedIn platform, the LinkedIn link will be visible on the project's webpage. CBRNE Ltd. will further invite all ALIGNER AB members to be "followers" of ALIGNER

via the platform to increase the number of followers on LinkedIn. In addition, ALIGNER partners and AB members will regularly be reminded to invite additional connections to follow the project.

◆ The ALIGNER **project website** will include a cross-linking to its activities on professional platforms such as LinkedIn and ResearchGate to connect the individual platforms. The website will further offer regular news posts to inform publicly about the project's activities. When looking for information on how to join the project the website will provide a regularly updated profile of the LEAAB and SIEAB, presenting the number of members and their countries to demonstrate the expertise already represented in both advisory boards and the added value of joining one of the boards in terms of networking.

◆ As agreed in the Description of Action, a **regular newsletter** will inform interested experts including those already involved in ALIGNER activities, about the ongoing activities and achievements of the project. The first newsletter will be established in late Fall 2022.

◆ If possible, the project will make use of the **communication channels of the Research Executive Agency** to cross-promote ALIGNER activities and calls for action.

◆ ALIGNER will continue its engagement and collaboration with **other projects and initiatives** to attract and engage with various stakeholders. In this regard, the LinkedIn platform will not only serve as a channel to identify and attract stakeholders to engage with, and communicate project results to the public, but in addition will be used to connect to other relevant research projects, if possible, specifically the AI parallel projects identified in Table 2.

◆ During **project activities** involving new stakeholders (e.g. surveys, webinars etc.), ALIGNER will include a possibility to contact respondents afterwards to follow up with a request for further engagement.

◆ An engagement with **universities** is foreseen to offer thesis students an opportunity to research in the field of AI and policing, thereby conducting interviews and surveys with relevant experts, at the same time raising awareness of ALIGNER and its activities.

6.4 Ensuring response rates and high quality of responses

To ensure a significant response rate and high quality of responses within the ALIGNER activities, the project foresees several strategies:

◆ For those experts that already give qualitative response to the ALIGNER activities as members of one of the advisory boards, the signed **Letter of Support** outlines the specific requirements of their participation including partake in activities like surveys and workshops (see Annex: Letter of Support Template for Advisory Board Members).

◆ To the extent possible, outreach material, surveys, etc. will be **translated** into different languages to lower the barrier to entry for experts outside the established advisory boards that are not as proficient in English, increasing response rates.

◆ To increase the quality of responses, **small scale workshops or guided follow-up interviews** will be conducted to further discuss open topics or points raised in open survey questions.

◆ Using the surveys, ALIGNER will offer an **option to stay in contact** with the project to realise future high-quality exchange (e.g., follow-up interviews) and forward invitations to join upcoming activities as member of one of the advisory boards.

6.5 Monitoring the strategy

To monitor the recruitment and engagement strategy, CBRNE Ltd. will report an update of the LEAAB and SIEAB, the LinkedIn followers and the recent recruitment and engagement activities during the Executive Board Meetings, which are hold by work package leaders and the coordinator every two months. Based on the feedback of the consortium, the strategy will be continued or adapted where necessary allowing a flexible response to unforeseen challenges and successes.

EU Funded Project ALIGNER
(Artificial Intelligence Roadmap for Policing and Law Enforcement)

Letter of Support

To:

Dr. Daniel Lückerath (daniel.lueckerath@iais.fraunhofer.de)
Project Manager
Fraunhofer Institute for intelligent Analysis and Information Systems (IAIS)
Schloss Birlinghoven 1,
53757 Sankt Augustin,
Germany
https://www.iais.fraunhofer.de

By submitting this Letter of Support, we, (Organisation name), confirm our willingness to support the EU funded Project, Artificial Intelligence Roadmap for Policing and Law Enforcement, which is funded the H2020 Framework, Secure Societies – Protecting Freedom and Security of Europe and its Citizens, Topic SU – A1-01.

We are prepared to be involved in a **Scientific, Industrial and Ethical Advisory Board (SIEAB) / Law Enforcement Agency Advisory Board (LEAAB)** *(please delete one)*. Our support will include the following items:

- Participate in and contribute to meetings, when needed, with the ALIGNER Consortium and other experts from the advisory boards, with a view to identifying new areas of exploration and research into artificial intelligence (AI) and identifying public expectations and concerns around the direction of research.
- Provide expertise within the project for supporting ALIGNER by answering on specific questions (e.g., via surveys or interviews) that arise during the project lifetime in order to maximise the opportunities presented with regard to the technological developments in AI, as well as to minimise the public areas of concern related to the technological developments.
- Participate in workshops, with travel and accommodation covered by the project budget and contribute to the development of new thinking in AI and to the development of ethical parameters.
- Provide critical review and feedback on unpublished research outcomes to further strengthen the operational parameters of the technological outputs.

Yours sincerely,

(Name and Signature)

(Company/Organisation Logo or Crest)

7. ANNEX B: Summary Note of ALIGNER Workshop 7

As has been stated in Section 5, Table 5.2, Annex A consists of the Workshop 7 Summary Note that was drafted after the end of the workshop and circulated to all Advisory Board members. It has been included here to give the reader not only to give an understanding of the contributions made by the Advisory Board members, but also how Project ALIGNER members used the opportunity to both brief the Advisory Boards on their work as it progressed and to encourage them to contribute to the process as they felt necessary.

From this, it can clearly be seen that the level of interest, input and participation of the two Advisory Boards to the quality of the debate was significant and valuable. The Advisory Board output here was typical of their engagement for all the ALIGNER workshops and demonstrates the importance of their involvement in this type of project.

ALIGNER Workshop 7, 13-14th May 2024

Summary note of key points raised and discussed

(Richard W, CBRNE Ltd)

Workshop 7, Day 1; 13/05/24

Introduction; Daniel L (ALIGNER Project Leader, Fraunhofer)

Daniel gave a quick update regarding the Project:

- 1 new deliverable 3.2 Risk Assessment on AI technologies
- 7 key requirements and a Risk Matrix have been submitted but are not yet public
- There are 2 new brochures – Policy Recommendation and Fundamental Rights Impact
- New liaison with the POLIIICE and VANGUARD Projects
- Forthcoming outline version of Roadmap and remaining public deliverables

ALIGNER Presentation: Update on WP 3.3 *'Taxonomy of AI-supported crime'* (Matthias S and Mathilde J, FOI)

This is developing a Taxonomy of AI supported crime and draws upon Deliverable 2.2 on Archetypical Scenarios and their Structure. Questions to the Consortium and Advisory Board:

- What is a Taxonomy to you?
- What do you expect from a Taxonomy?
- When and how do you see that you would make use of a Taxonomy for 'AI supported crime' in your work?

The Taxonomy is based on intentional, malicious and criminal use of AI and is designed to help the responses of P & LEA and policy makers. A literature review underpins the taxonomy, based on AI supported crime. So, for data collection the initial set was based on existing literature and also used

such search engines as Google Scholar. The second set was based on the relevance to the set and the third set was the version of the taxonomy adopted to the project. This was inspired by previous taxonomies and drew on ALIGNER D2.2 *Archetypical Scenarios and their Structure*. The structure is based around:

- AI Vehicles, robots and drones
- AI Crime and Criminality in the Digital domain
- AI Disinformation and Social Manipulation
- AI and On-Line cybercrime

The workshops based on D2.2 led to twelve sub-categories. The WP 3.3 deliverable report has a number of chapters:

- Introduction and methodology
- Background and description of threat
- Examples of AI supported crime and drug trafficking, fraud, incitement and encouraging criminal behaviour
- Existing related taxonomies, including AI watch taxonomy, European cybersecurity and law enforcement
- The ALIGNER taxonomy is described –
    - AI threat category
    - Threat
    - Selection of Potential crime
    - Examples of how AI may support crime
    - The Taxonomies based on the four AI aspects previously detailed from ALIGNER D2.2
    - Definition of the threat
- The final chapter is a work in progress and currently underway

Question – Marco

Was consideration given to include the developing legal requirement in the taxonomy? Perhaps covering judicial and policing capability… and the licencing and use of AI. In addition, training in the use of AI for criminals is a crime itself… Not all the ways AI could be used, but examples. Even with the AI Act, it's really easy to train others to misuse and exploit AI. Often its old crimes, but committed in a new way, such as Google maps for escape routes etc.

Question – Robert

Linnaeus developed the first taxonomy of class, order, genus and species, which was updated over the years. In North America more recently there has been the Diagnostic Statistical Manual of Mental Disorder – the manual has gone through many editions. So, is there a plan built into the scheme for the long term? We expect opportunities as crimes develop, but will it be able to develop over time? When law enforcement use the taxonomy it will need to be updated, added to and developed and updated in a years time.

Question

A taxonomy is a major means of classifying categories. A Taxonomy allows you to zero in on how that fits in. Will you be building in associations with other solutions?

Reply – Mathilde J (FOI)

No, unfortunately not – given the structure of crimes and categorisation, but we need to find our own solutions. Only part is the forecast part – looking at the future.

Question

Each country has its own criminal code – in a way their own type of taxonomy?

Reply – Mathilde J (FOI)

We have tried to include all crimes, but some are represented in some countries but not in others, so we tried to include all – other countries could be discussed.

Comment – Lindsay C (CBRNE Ltd)

The origins of taxonomy as a science came from Linnaeus and his classifications of the animal and plant kingdoms into categories. The origins of the ALIGNER taxonomy came out of the work on the ALIGNER archetypical scenario, drawn from examples we know of and what exists today, so it will be a living document and will continue to evolve as new examples are found to include in it. With the discovery of more high-level groupings, modern knowledge continues to develop the classification system, so it's never fixed and rigid, but always a work in progress.

Question – Umut

Is there a taxonomy of malfeasant AI, a taxonomy of the tool itself – how its manufactured, the architecture, dual use? How AI evolves in irregular environments – how AI evolves in different regulatory regimes ie. Was it created by criminals in the first place or was it legitimate and then exploited by criminals? So, crime as a service of AI – although some tools anyone can acquire.

Reply – Mathilde J (FOI)

We focused on crime – Creating scenario types – Need for other topics

Comment – Lindsay C (CBRNE Ltd)

This is more about a typology than taxonomy. Taxonomy is the science of classification. A typology is a classification according to general types or traits. The ALIGNER typology emerged from the initial three workshops, where four categories most relevant to the misuse or potential misuse of AI were most apparent. We took these and from them, developed both the ALIGNER scenarios and the 'taxonomy of AI supported crime'. However, it all could change overnight with new AI technology or advances in existing AI systems, so the taxonomy is not set in stone and will constantly change.

ALIGNER Presentation: A Preview of ALIGNER WP 3.3 'Forecast Study' – Matthias S (FOI)

Work Package 3.3 informed the near future forecast regarding the taxonomy of types of crime. There were 26 survey respondents from ALIGNER's Advisory Board and a causal model that maps the causality relationships. Independent variables are the criminals and how effectively they are perceived. Other independent variables are how 'useful' and how 'easy'. The model is based on variables, with thicker lines reflecting stronger lines of influence. The most influential background factor is the perception of the AI's usefulness for criminals. There are also perceptions relating to misinformation and deepfakes and cybercrime. Misinformation and

deepfakes were seen as the worst tool and driving force behind other perceptions. Although linkages and perceptions, patterns etc. will change, these are most dominant in their sense of urgency and the future perception of the greatest need to prepare.

ALIGNER Presentation: *'The Final AI Act – Main Provisions and Impact on P&LEAs' – Donatella C (KUL)*

The AI Act was released as a proposal in 2021 and is awaiting final approval from the Council. It is a Regulation, so a binding legislative act on the Member States and directly applicable. Relating to this are Article 114 TFEU on the 'Internal Market' and Article 16 TFEU on 'Personal Data', respectively ensuring that the AI systems placed in the internal market are safe and that they respect fundamental rights. This is horizontal regulation relating to AI systems in all systems in all sectors. There is a definition of AI in Article 3 (1) of the AI Act. This includes autonomy, infers influence and is a very broad definition and technology neutral in order to be future proof.

Main Categories

Providers – Developing and placing on the market

Deployer – National or legal person using AI (Public Body) established or located in the EU, or a 3rd Country as long as acting in the EU

Exceptions

There are exceptions:

AI used for military, defence or National Security

AI systems and models for scientific research

Risk Based Approach

This depends on the circumstances of the application and the use made of the system – There are four levels of risk identified:

- Minimal Risk
- Limited Risk
- High Risk
- Unacceptable Risk

Unacceptable Risk

Unacceptable Risk is under Article 5 of the AI Act and covers AI systems contravening EU values.

- 'Real Time' remote biometric identification system
    - In Public space for the purpose of law enforcement
    - Vendors can still sell to 3rd countries – If not real time

- However, such systems can be used in certain exceptions:
    - Targeted search for victims/ missing persons
    - Prevention – Threat to life or physical security

- Location or identification of a person suspected of having committed a criminal offence, such as terrorism, human trafficking, sexual exploitation, drugs, weapons etcetera

- Biometric Categorisation and databases
  - Exception of labelling and filtering lawfully acquired data for law enforcement
  - However, cannot use untargeted 'data scraping' or…
  - Cannot be used for predictive policing (based on profiling)
  - Exception of human assessment linked to criminal activity based on objective and verifiable facts

- Predictive Policing systems not covered by Prohibition

High Risk

High Risk is under Article 3 of the AI Act and covers AI systems with risks to health and safety. They are permitted but are subject to specific requirements. There is an associated systems list of AI systems that may cause severe risks, such as certain machinery and medical devices.

- Annex III of the AI Act lists critical infrastructure and certain AI systems in the areas of:
  - Law Enforcement
    - Profiling of becoming victims
    - Polygraphs and similar tools
    - Evaluation of reliability of evidence
  - Migration – High Risk
  - Biometric – High Risk
    - Remote biometric identification systems
    - Emotion Recognition
    - Biometric categorisation according to sensitive or protected attributes or characteristics
  - High Risk Classification – Article 6 of the AI Act:
    - Not automatically classed as high risk for systems included in Annex III. Providers need to determine if their AI system poses a significant risk of harm to health, safety or fundamental rights
    - An AI system is not considered high-risk if it does not materially influence the outcome of decision making.

Question – Marco

Question regarding responsibility for an accident related to the use of AI?

Reply – Donatella C (KUL)

Chapter 2 of the AI Act details obligations in relation to High-Risk AI requirements

- Based on a risk-based approach:
  - Data and Data Governance
  - Risk management system
  - Technical document and automatic recording
  - Transparency
  - Human Oversight
  - Accuracy, robustness and cybersecurity

- Fundamental Rights Impact Assessment (FRIA)
  - Process
  - AI Used
  - Period of time
  - Categories
  - Risks
  - Human oversight
  - Mitigation measures
  - Compliance

Limited Risk

Limited Risk is under Article 50 of the AI Act, such as AI interacting with a person's Chatbots

Minimal or No Risk

AI systems that are not regulated, such as games

General Purpose AI (GPAI)

- AI Models – Generality, wide range of tasks, can be integrated (Generative AI creating new text images)
- AI Systems – General Purpose
- GPAI Models – Not AI systems but essential components
- GPAI systems – By themselves or components of other AI systems

Obligations of Providers

General Purpose AI models with systemic risks are under Article 55 of the AI Act. These are high impact capabilities – due to reach or negative effects

Possible Mitigations

Possible mitigations relating to GPAI are under Article 50 of the AI Act, with transparency obligations for providers or deployers. If the GPAI system is a component of high-risk AI, then it is itself high risk

Timeline and Next Steps

- June-July – Entry into Force
- Dec 24/ Jan 25 – Application of prohibitions. PLEAs will need to review AI systems re. high risk and specific permissions
- June/July 25 – Application of rules for GPAI models and EU governance
- June/ July 26 – Application of rules for high-risk systems listed in Annex III
- June/ July 29 – Commission delegated acts and guidelines

Question – Anders

Regarding the definition of AI as an autonomous system

Reply – Donatella C (KUL)

The Council and Parliament made amendments to the specific definition. It is no longer a specific list – the emphasis is more on autonomy and the influence it can have on the environment

Question

Concerns on the use of Excel sheet for statistical analysis of evidence

Reply – Donatella C (KUL)

But it lacks autonomy

Question – Robert

How is it handled administratively – Specifically pilot projects in my own nation - as start up

Reply – Donatella C (KUL)

It depends on how you use it. Research and development won't fall under the AI Act, there is an exemption for research and development. However, they may want to sell. Before placing it on the market they may have to gain approval.

Question

What if you have used a system for 10 years, but then want to export it to the EU?

Reply – Donatella C (KUL)

If it is High Risk, they will have to check and complete various obligations and notifications. There are no templates at present, or none so far – They will have to have someone who knows the AI Act and can check. Norway has a 'Sandbox' but not sure regarding other Member States.

Reply – Lindsay C (CBRNE Ltd)

Nine months from the start, the AI Office set up under the Act will have to put out rules, particularly a code of conduct and guidelines – So that may change.

WP2 'ALIGNER Policy Recommendations: Final steps' – Lindsay C (CBRNE Ltd)

This shows where we are now and where we are going next. There is no doubt that with the passage of the AI Act things will not be the same. All P&LEA actions will be based upon it. We will consider the potential impact on the current ALIGNER policy recommendations – the AI Act is not passed yet and changes and additions could still be made in theory. In terms of the scale of the AI Act itself, it is huge, with 13 main Chapter titles, 113 Articles and also 13 Annexes. Much is left to explore and consider.

We used the first 3 ALIGNER workshops to gather information and then used Qualitative Comparative Analysis to filter it down to six initial Policy Recommendations (PRs). They were then published at the end of year 1. After that, the PRs were reviewed in comparison with the PRs of other relevant projects, such as POP AI and STARLIGHT. ENISA also came up with a

useful set of policy recommendations and together, we could compare and see how congruent our policies were with theirs. We could check to see if we had the same general focus. After that, we were able to re-think and re-list our PRs in priority order.

Some of them stand alone, while others are highly compatible, with potential implications when mapped across the provisions of the AI Act as it stands.

- **ALIGNER PR1 – Ensure Consistency of P&LEA Involvement with AI Technology** (Relevant to Article 3 (42) 'Artificial Intelligence Office', and Article 3 (42) (bh), the concept of 'AI Literacy')

- **ALIGNER PR2 – EU to Support P & LEAs with Tailored Legislation**

  (Relevant to Article 6 'Classification Rules for High Risk AI Systems' and Article 96 'Guidelines from the Commission on the Implementation of this Regulation')

- **ALIGNER PR3 – Enable P & LEAs to Transition to AI Technology** (Article 71 'EU Database for High-Risk AI systems listed in Annex III and Annex VIII 'Information to be submitted upon the Registration of High-Risk AI systems')

- **ALIGNER PR4 – Clarify and Harmonise the GDPR and the Law Enforcement Directive regarding P & LEA use of AI Technology** (Article 2, 'Scope')

- **ALIGNER PR5 – The Human Factor in P & LEA use of AI Technology**

  (Article 6 'Rules of High-Risk AI System'; Article 14 'Human Oversight; Article 4 'AI Literacy' and Article 27 'FRIA for High Risk AI Systems')

- **ALIGNER PR6 – A Need for P & LEA Focused Research**

  (No specific provisions yet found. They may well be some there somewhere!)

Emerging Observations

The AI Act will impact on the ALIGNER Policy Recommendations. Most impact will be on ALIGNER PR5, the 'Human Factor', and least impact is likely to be on PR6, 'A need for P&LEA focused research'. Also affected will be PR4 'Clarify and Harmonise the GDPR and LE Directive…' With PR1, PR2 and PR3 it is less clear how much they will be impacted.

There is uncertainty caused by the new AI Office. The specific guidelines and codes of conduct they are to produce are yet to be devised, let alone implemented. Things will continue to evolve and change long after the ALIGNER Project finishes this September.

The Commission requires the ALIGNER PRs to be 'tailored to the needs of law enforcement'. The AI Office will need to collaborate with P & LEAs, so that police can feed it information from the operational level (bottom up) as the AI Office develops and then distributes the guidelines for P&LEAs (top down).

Do we need additional, new ALIGNER Policy Recommendations? A possible one for consideration could be:

'The EU to take measures to facilitate an active and collaborative relationship between the P & LEAs of Member States, the Artificial Intelligence Office and the Artificial Intelligence Board.'

Last Steps

We are heading towards the production of deliverable D2.5 'Policy Recommendations' by the ALIGNER final event at the University of Leuven, Belgium, on Sept. 25th 2024.

Comment – Robert

There is a difference between the AI Office and AI Board – The Board is for governance at strategic level across policy level recommendations – a secretariat. The AI Office is more practical and operational

WP2/5, 'The ALIGNER 'Roadmap' and the Advisory Boards' – Steve S (CBRNE Ltd)

This will outline expectations, where the Project is now and what the Advisory Board expectations are of the roadmap. This is based around a vision of the future where AI is a constant criminal threat and a regular tool used by the LEA. There are various topical areas, high-interest topics and high-level descriptions.

First Roadmap Iteration

- ALIGNER narratives – scenarios
- Practitioner Needs
- Identified and Assessed AI technologies
- How AI technologies might be exploited by criminals
- Ethical, legal and organised implications of AI
- Recommendations and Acknowledgements

AI Disinformation and Social Manipulation

- Status Quo
- Potentials
- Challenges
- Challenges related to disinformation and manipulation

Draft AI Technology Catalogue

- De-Anonymisation
  - Authorship attribution
  - Geolocation of Images
- Veracity Assessment
- Disinformation detection
- Detect synthetic images & synthetic video

Second Roadmap Iteration

- Minor Modifications
- Additional policy clusters
- ALIGNER policy recommendations

Advisory Board's Expectations for the Final Roadmap

- Technology catalogue
- ALIGNER Policy Recommendations

Advisory Board and Workshop Comments and Questions

Comment – Andrew

Following the edit of the first roadmap, how far has the second version come? I think the main issues are the large language models widely used globally. Not just Chat GPT – but also Anthropic's Claude, Google - Gemini, Adobe PDF – AI Assistant, Consensus (scholarly science papers). All kinds of others are copying chat GPT – Any areas – The criminal domain will likely use those particularly in the area of disinformation

Comment – John

Thinking about large language models, there are public and private actors. Many are being released for commercial purposes, but data is from a narrow timeframe, tweaked for today's norms and standards. The problem is the risk in using models only developed by commercial actors. We need that to be as accurate as possible, but it may not be 'politically correct'.

For example, the Swedish library wants data sets from 1920 up until now, but Chat GPT only has data from now. Not only regarding crime, but for the LEA using it, it could be a problem and we should consider and touch upon that. The example of Open GPTX developed by Fraunhofer was raised.

Comment – Andrew

There is a historical issue regarding data bias towards a more modern period. But a university could be training on historical data from the time of the Greeks onwards. In version two of the Roadmap, we could perhaps mention that Chat GPT usage, possibly with a footnote.

Comment – Claire

Moving ALIGNER forward and associated debates, do we have justice, or do we have privacy? We need something to move that debate forward. Even a small element would be good. There is public concern over AI being biased, but sometimes it provides a more objective opinion than some (biased) humans. So, we need to shift the dial in the debate.

Comment – Penny

Perhaps we could suggest an AI Audit, regarding the AI oversight of a system. The certification of AI systems for trustworthiness.

Comment – Lindsay C (CBRNE Ltd)

This is an issue that will raise its head as AI systems will continue to be deployed and used. They may be lacking in codes of conduct for some while yet, but it can't be left like that. However, it is unclear how AI systems can be deployed by P&LEAs in these circumstances. Would the EU AI Board or AI Office be able to put together an Audit body? It will be interesting to see how they go.

Comment – Irina M (CBRNE Ltd)

The EU has launched standardization. Oversight hits one of ten standardization requirements. So, oversight and auditing are being addressed.

Conclusion and Closure of first day – Daniel L (Fraunhofer)

Everyone will be able to comment on the Roadmap further when it is distributed.

The Final Event of ALIGNER will be on 25th September 2024 in Leuven, Belgium. This will include practitioner discussions, researchers and industry, a project round table and presentations. Attendees will be the Advisory Board Members, but all are welcome and registration will be in June.

Day 2; 14/05/24

Introduction; Daniel L (Project Leader, Fraunhofer)

Introduction and housekeeping. Outline of second morning' s agenda

Invited external speakers - *'The TRANSCEND Project: Participation of civil society in security research' – Greta R and Michael F (Fraunhofer)*

This is a Fraunhofer project examining citizen and societal engagement in considering new types of crime exploiting AI. The target is to collect and discuss experiences with citizens:

Questions to the workshop participants:

- What role does civil society engagement play in the development of security technologies for you?

- What role did the citizens' perspective play in the ALIGNER Project?

- Challenges in integrating citizen's perspectives – Please rank the challenges

- What ethical challenges exist in relation to the topics of disinformation, transparency, trust in the impact assessment making process?

- Where are challenges addressed regarding the integration of ethical perspectives in the Project?

TRANSCEND – What's our Mission?

The focus is engaging with local civil society, based on inputs from questions. Citizen engagement is one of the key topics for the EU over the last 10 years. With Horizon Projects we

are measuring the possible societal impact in wider society fields. The project is transdisciplinary with a mix of think tanks and civil society specialists.

We propose, test and evaluate methods and techniques to engage with civil society, including people with different security needs and vulnerabilities. This is in order to participate meaningfully in the development and deployment of security research and technologies. We conduct workshops with security and civil society to consider focused sets of questions.

We develop and test methods in 4 areas:

- Cybersecurity
- Fighting Crime and Terrorism
- Disaster Resilience
- Border Management

Toolbox

We are looking to develop a toolbox of methods to enhance involvement of civil society in security research and innovation. It will be tested and evaluated in four pilots, each aligned with a security domain. This has a number of benefits:

- Helps in understanding, preparing and tailoring
- Organises and guides – landscape of existing frameworks
- Proposes a framework for the creation of impact assessment questions, as well as translation for engagement
- It is domain specific and provides examples

If you involve the wrong people, the results don't achieve critical aspects. We have developed Toolbox V2.

The full title is – Transdisciplinary methods for societal impact assessment and impact creation for security research technologies – TRANSCEND

Comment – Monika

It is not so much the police, but research organisations and Government bodies introducing technology – so it is more about responsibility, more a collaboration. But the police are not so much the primary body.

Comment – Swedish Police

An automatic video surveillance was introduced in Sweden. There was a lot of discussion with the legal department due to ethical issues. It was tested at various sites. Normally, the public are supportive and there is a good response. Then you can escalate the introduction. Generally, people were very positive and there was a mixture of people. Video surveillance is in-house and ethical and the police are very sensitive.

Comment – Richard W (CBRNE Ltd)

It's important to consider the cultural context and background differences between different countries, communities and cultures when considering the introduction of such technology.

Comment – Lindsay C (CBRNE Ltd)

There are elements of both difficult and practical issues – but in cities, you do have a cultural mixture next to each other. Cities are particularly hard issues. How do we capture the views of their minorities and of less technology-minded people?

Some police citizen engagements – may have a positive slant – but without some elements voicing critical aspects. Research vs. Police practitioners. Police have to come up with solutions and encompass as broad a base as possible, often very quickly and under great pressure. Often their approach is based on best judgement at the time.

There is always a risk of an official inquiry after something happens so P&LEAs should keep records of events and decisions so they can contribute to the process.

Comment – Richard W (CBRNE Ltd

It is essential to conduct background research on the historical background and cultural norms of communities prior to engaging with communities.

Comment – Michael F

Link and possible future, with security research and security deployment.

Invited speaker, Project STARLIGHT, 'Mapping the legal guidance for Data Sets in Technology Development' – Irmak (KU Leuven)

We have been mapping the legal guidance for the STARLIGHT project:

- Monitoring and Guidance for Technical WPs – Dataset Monitoring in collaboration – Guiding other GPs using data sets
- CODEV cycles – AI Act Compliance with Self-assessment tool – Input to CODEV mission
- Wider Guidance to All partners – Workshops and Panels
- Ethical and Legal Observatory (ELO) – Guidance to EAB – Annual Engagement Meetings – Ethical Observatory Reports and Policy Recommendations

Monitoring and Guidance for Technical WPs

Adoption of thorough feedback from EAB and EC Ethics Reviewers along with legal and ethical 'gatekeeping' via dataset monitoring. All datasets used in STARLIGHT have received evaluation and ethical and legal compliance. There is monitoring and guidance for Technical WPs not just at 'gates' but also 'downstream'. There is the methodology for legal and ethical monitoring – we have implemented a self-assessment tool. We have held Ethical and Legal Observatory meetings to discuss ethical and legal compliance.

Mission Letter

This asks questions – What is this tool for? What kind of data will you collect? How do you define abnormal behaviour? So, we are looking for precise clarification and GDPR safeguards.

Comment – Donatella C (KUL)

Regarding the criteria for assessing data sets – use the questionnaire for specific questions of partners in the Consortium. But we need to identify potential risks. The challenge in personal data processing is anonymization and there is always the risk of misunderstandings. Using data minimization and encryption is it really possible to ensure that anonymization is zero? In reality you do your best, but you can never be 100% certain. You can get that as low as possible. You could use synthesized data – anonymised data or personal data. Whether it remains anonymous is a continuous issue. It depends on the extent to which the synthetic data deviates from the original data and the extent to which anonymity is sustained over time.

The Challenges in Personal Data Processing

GDPR relates to personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs or trade union membership, genetic, biometric, health, sex life or orientation. Biometric data can also include behavioural factors which may help identify a person. You can only process sensitive data if there is:

- Explicit consent
- Protection of vital interests
- Personal data made manifestly public by subject
- Substantial public interest
- Necessary to process the data for scientific research purposes (based on law)

Comment – Pieter

Dealing with special or sensitive data, fragmented by countries and elements

Relevant National Laws in Different Countries

We got local police data protection teams to respond to the questionnaire and help clarify the usage and permissions of sensitive data and check for any identifiers. We may have to use alternative data sets. Should we use data from the Internet? Should there be a technical process? But we should be careful. People may have shared on the internet, but they didn't imagine it would be used in an EU project. There may be a potential impact, so you can't use it per-se. We need to take some safeguards, not just on the Internet and if we are going to process it further, how can we overcome these issues?

Challenges in Personal Data Processing

We need compatible further processing. Even if the data is provided for another project, we must go back to the subject if it is to be used for further processing. We have to inform all subjects.

Comment – Claire

Data can be impacted by sample collection process and unanticipated bias. We need to investigate bias and be very careful developing tools as they may bias the collected data.

Irmak, KUL

However, if a data set makes it impossible to contact all the subjects and it would prove a disproportionate effort, then you have to state that on your web-site or publication. It depends on who is processing it and the number.

Conclusion

Direct collaboration with WPs has ensured the sound ethical and legal compliance of datasets. Legal and ethical monitoring was extended to other work packages, which was strengthened by closer collaboration. Policy recommendations are transferable to other projects.

WP4, *'Impact Assessments of AI Technologies'* – Irina M (CBRNE Ltd)

Assessing the ethical, and legal challenges in work package 4.3. This is a continuous ethics and law evaluation of AI solutions, looking at ethical concerns and challenges along with possible solutions.

Broad Task

This is a particularly broad task as it has to consider the AI Act itself, Policy Recommendations and the Fundamental Rights Impact Assessment (FRIA). We needed to focus, monitor ongoing developments and consider:

- ALIGNER 4.2 – Methods and Guidelines for ethical and law assessment
- ALIGNER 3.2 – Risk Assessment of AI Technologies for EU LEAs

Fundamental Rights

WP 4.2 focuses on the fundamental rights that might be vulnerable to ethical and legal risks. These include:

- The presumption of innocence and right to a fair trial
- Equality and Non-discrimination
- Freedom of Expression and Information
- Right to respect for private and family life

This contrasts with the technical risks examined in 3.2. and we couple these two instruments and methodologies.

Scenario Cards

We have developed scenario cards in relation to various AI technologies. These provide:

- Analysis of background documents
- Identify potential fundamental rights
- Identify potential technical risks
- Synthesise
- Identify potential mitigation measures
- Summarise

Can this be expanded and is it useful to LEAs, both during the procurement and also deployment of AI technologies?

The Scenario cards looking at different technologies (FOI) are different from the FRIA template (CBRNE & KU Leuven).

Are the FRIA and technical risk assessment feasible and useful?

Comment – Andrew

This is a valuable approach which works out well and is user friendly. It is presented in a very logical way and will be good as long as the data is valid.

Comment – Irina M (CBRNE Ltd)

It is important to have a 'human in the loop' of the decision flow, to have an oversight, especially in law enforcement. It is important to have oversight on decision making, to verify the decision and check through other means.

Comment – Pieter

I like this… it's a good idea, especially in the procurement stage – very valuable. To deploy maybe would require a bit more research. The FRIA is really quite useful. Whom do you envisage making these decisions in the future? An independent third party? It could have quite an impact.

Comment – Donatella C (KUL)

I don't think third party, due to the finer understanding of procurement and deployment of the equipment, so perhaps an internal team. But you would still have individual third party checks at another stage. It is difficult to have definitive answers - so an internal team are more likely able to review, with their technical and other expertise. So, a wide skilled team.

Comment – Pieter

Possibly you might split the procurement and deployment teams, so procurement might be more possible for a third-party assessment, such as Europol conducting a technical preliminary assessment. Deployment might be more a domestic law enforcement team, with local national laws and understanding.

Comment – Donatella C (KUL)

We could possibly add aspects to the policy recommendations

Comment – Daniel L (Fraunhofer)

There are technical risks. The design user interface should flag up to the user that it is AI, which reduces the risk aspect during development by design.

Comment – Lindsay C (CBRNE Ltd)

Regarding the initial look at AI tools on the market, Policy Recommendation 3 relates to Article 71 of the AI Act and the maintaining of an EU database. The Artificial Intelligence Office will be a critical node and could be a central knowledge point for P&LEAs looking to procure an AI system. The policy

recommendations suggest the EU maintain their relationship between providers, P & LEAs and that this can be further developed.

Comment – Monika

It's very useful to get an understanding of end – users. We need experts from very different fields, who can see what is important. It is helpful to be in this dialogue and a good start for the scenario cards. These are easy and practical for end – users.

Comment – Donatella C (KUL)

At some of these points P & LEA will have to answer some of these questions. But we need to understand the technical obligations and ensure the right information is available.

In conclusion:

- Background documents are not always sufficient
- A multidisciplinary team is needed
- There is no clear cut division between ethics, law and technical aspects
- Eight to nine hours are needed for a theoretical assessment
- Collaboration with providers may be essential

<u>Final Conclusion – Daniel L (Fraunhofer)</u>

TAKE NOTE…

The final ALIGNER event will be on 25th September 2024 in Leuven Belgium …

Thank you for the discussions…