SEVENTH FRAMEWORK PROGRAMME

SECURITY, Collaborative Project

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Best Practice Enhancers for Security in Urban Regions

BESECURE

D5.1 Guidelines for Case Study Interaction Sessions

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EXECUTIVE SUMMARY

Objectives

The aim of Deliverable 5.1 is to provide a general, coherent and structured approach for all case study areas and to align and facilitate the case study progression and results so they can be followed and managed.

Description of the work

In fulfilling this aim, the guidelines consist of three broad sections which are structured in a manner that will facilitate the development of a consistent and effective case study delivery mechanism. It does so through the use of three inter-connected sections:

- Overall approach (Chapter 2): detailing the structure, phases and activities of WP5 in relation to BESECURE as a whole;
- Methodology (Chapter 3): detailing an outline of the research design and re-search questions under-pinning the case studies;
- Practical implementation for case study leaders (Chapter 4): detailing practical guide-lines that permit an effective and efficient delivery of the case study activities.

Results and conclusions

Utilising these inter-connected sections of the guidelines will ensure that the development, management, and progression of the case studies is done in a systematic and effective manner. The guidelines set the parameters for the case study interaction sessions and enable a continuous alignment between the research in the eight case study areas. In addition, the guidelines act as a facilitation mechanism for data and results of the other connected work packages. The guidelines form a common framework to support the case study leaders and their teams not only to plan and perform case study activities that fit with the common WP5 approach, but they also leave enough room to adapt these activities to the local situation in each case study area.

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1. Introduction

In the context of BESECURE, Deliverable 5.1 of the project describes the guidelines for the case study interaction sessions. The guidelines will mainly be used by case study leaders while at the same time informing other Work Packages about the approach of Work Package 5. Chapter 1 of this report provides the context for the guidelines and sets this within the overall aims and objectives of the BESECURE project. The structure of this Chapter includes the following topics: the context of the BESECURE project, the structure of Work Package 5 (WP5) including the case study research that will be conducted within the project, and the purpose of this deliverable in relation to the tasks and objectives of WP5.

1.1. Contextual Overview of the BESECURE Project and Work Package Structure

The project '**B**est practice **E**nhancers for **SEC**urity in **U**rban **RE**gions – **BESECURE'** will work towards a better understanding of urban security through case study research in eight urban areas throughout Europe. BESECURE is designed to enhance urban security policy making and implementation by sharing best practices that have been, and currently are, in use throughout Europe. In facilitating this enhancement, a series of tools and guidelines will be developed in conjunction with current best practice and stakeholder/end user engagement, that will help local and strategic level decision makers to assess the impact of policies and to improve their implementation. The major objectives of the project are:

- **Objective 1 – Knowledge**: To develop a knowledge base for the identification of underlying problems associated with urban zones and to explore best practice in successful urban zones in Europe.

- **Objective 2 – Understand**: To enable an understanding of key indicators of urban security. Metrics will be formulated from which an early warning system for use by policy makers will be developed.

- **Objective 3 – Develop**: To develop a suite of tools and methods that policy makers can use to gain knowledge and understanding of their urban areas and component zones as a well as an early warning system for identifying potential problems that may arise in areas that would otherwise go unnoticed. The project will also deliver capabilities to allow for an examination of the likely effects of policies before implementation.

- **Objective 4 – Transfer**: To facilitate knowledge transfer by utilising a host of dissemination methods and developing a systematic common support methodology.

The BESECURE project will be completed within a framework of eight work packages (WP) as set out below. Each work package consists of a number of tasks, milestones and deliverables.

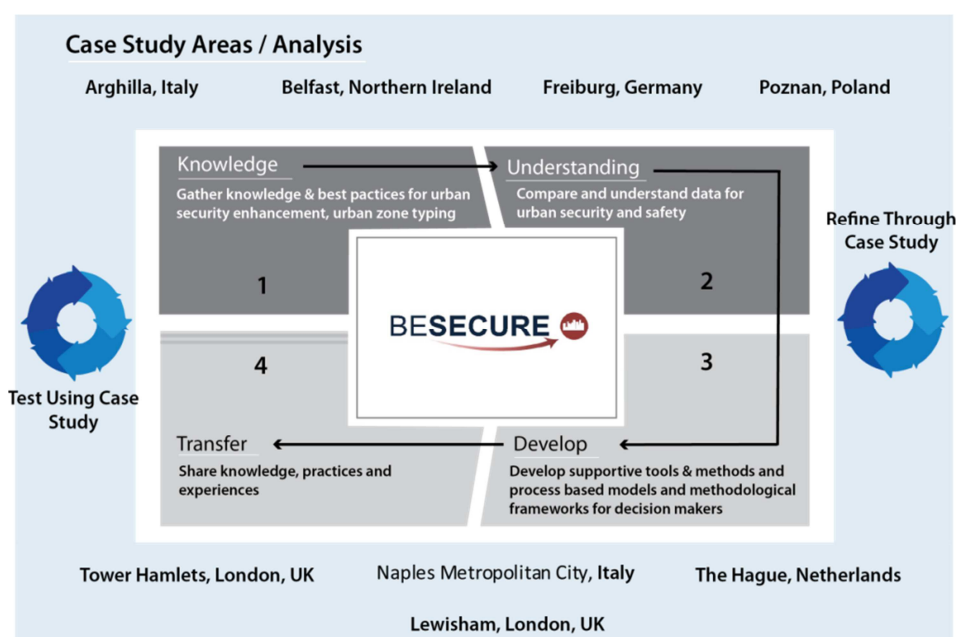| WP1	*A Common Framework of Reference and State-of-the-Art*
WP2	*Identification, Acquisition, Analysis and Management of Data for Urban Security and Safety*
WP3	*Model Building: Security Enhancement, Process and Methods*
WP4	*User Interface*
WP5	*Case Studies*
WP6	*Evaluation and Integration*
WP7	*Dissemination, Exploitation and Education*
WP8	*Project Management*

Figure 1 – Schematic presentation of the BESECURE project

1.2. Contextual Overview of Work Package 5: Objectives, Tasks and Deliverables

In order to fulfil the aim and objectives of the BESECURE project, a series of work packages are used to strategically develop, guide and deliver an effective, efficient and meaningful end product consisting of both knowledge transfer mechanisms and decision support tools for enhancing urban security and safety across Europe. Each work package fundamentally acts as a process within the project to ensure that the end products are achieved in a structured and comprehensive manner. Therefore, each work package has its own objective to facilitate this. In the context of work package 5, this objective is set out below:

To identify strategic policy directives in order to inform the formulation of best practice initiatives. This is achieved by learning from policy makers how to approach security issues, develop options, select and implement, and monitor progress in order to determine best practices for determining drivers (indicators) and actions (policy makers).

Work package 5 achieves this objective by conducting case study research in eight targeted European urban areas that:

- Examine best practices;

- Identify gaps which may exist in policy and practice in relation to undesirable security scenarios;

- Enable partner cities to learn from each other regarding their approach to security issues and provide an opportunity for them to work with the BESECURE consortium in order to test specific elements of the model and metrics and contribute to the monitoring and impact study within their urban zone;

- Provide an evidence base on the use of metrics, which through dissemination will inform policy makers in a variety of distressed environments and urban zones.

WP5 is carried out by a working group that consists of eight case study leaders steering the case study research (the 'field work') and a work package leader who is responsible for the coordination of the case study research as a whole.

There are four tasks and four deliverables defined within WP5. This report, Deliverable 5.1 ('Guideline for case study interaction sessions'), corresponds to Task 5.2 to establish the guidelines for the evaluation sessions in case study areas. The different tasks and deliverables of WP5 and their interrelations are illustrated in Figure 2 below.

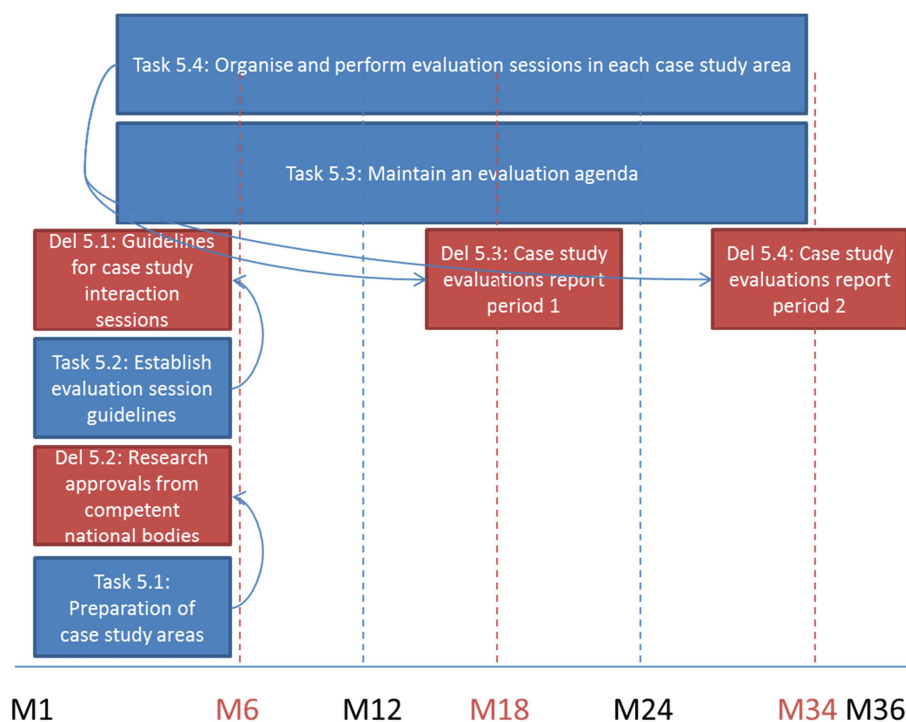Figure 2 – WP5 tasks and deliverables and their interrelation

Each task is led by one of the consortium partners in WP5, and is fulfilled by members of the WP5 working group. The contribution of each WP5 member to tasks and deliverables depends on their role in the WP: work package lead, case study lead or case study support. Deliverable 5.1 stems from the work done under Task 5.2, and is developed by the WP5

working group with contributions and feedback from WP1, WP2, WP5, WP6 and WP7 representatives.

1.3. Purpose and Outline of Deliverable 5.1

> **D5.1) Guidelines for case study interaction sessions:** This report outlines the common guidelines to be followed when interacting with stakeholders, especially concerning evaluation sessions. This report contains the templates and session formats to be used when interacting with the end-users in the case study areas.

The purpose of Deliverable 5.1 (hereafter D5.1) is to provide a general, coherent and structured approach for all case study areas and to align and structure the case study progression and results so they can be followed and managed.

The guidelines consist of three sections, which form the outline of this document:

- Overall approach (Chapter 2) – the structure and phases of WP5 in relation to the activities in the case study areas;

- Methodology (Chapter 3) – an outline of the research design and research questions underlying the case study research;

- Practical Implementation (Chapter 4) – practical guidelines for the case study leaders.

Together, these three sections form the guidelines for case study interaction sessions which enable a continuous alignment between the eight case study areas, as well as a facilitation of data and results to the other related work packages. These guidelines should not be regarded as step-by-step prescriptions on how to perform case study activities, such as interacting with stakeholders – instead, they provide a common guidance framework to case study leaders and their teams during planning and whilst performing case study activities, with enough room to adapt these activities to the local situation in each case study area. Additionally, the guidelines help implement a common approach to case study research in WP5, and consequently facilitate reporting, monitoring and cross-case analysis. Table 1 highlights key terms and concepts used in the guidelines.

Term	Interpretation
Guidelines	A common framework to support case study leaders and their teams in planning, preparing and registering their activities and results and to provide a way to manage and follow case study progression and output.
Case Study	A case study is an empirical inquiry that (for a longer period of time) studies a complex, contemporary phenomenon within its real-life context, especially when the boundaries between the phenomenon and the context are not clearly evident.
Case Study Areas	The eight urban areas in which the case of urban security will be studied
Overall Approach	The structure, phases and activities of case study interaction sessions.

Methodology	A framework that explains both the research design and research questions underlying the case study research.
Interaction Sessions	All activities with stakeholders in the selected urban areas. Interaction activities can be interviews, evaluation sessions, workshops etc.
Stakeholders	Stakeholders are all contacts that have an interest in BESECURE and potential end-users for the BESECURE products. Respondents are people who are involved as participants in the data collection phase of the project by means of an interview or otherwise. Respondents may or may not be stakeholders, and stakeholders may or may not be respondents.
Templates	Pre-defined tables to register results and outputs of key stakeholders and respondents interactions and case study activities.

Table 1 – Key terms and concepts used in this report

2. Overall Approach

This chapter outlines the overall approach of the case study research in relation to the different phases of the project. Particular attention is given to the interactions with stakeholders and how these relate to the overall approach of the case study research. The case study activities (including the stakeholder interactions) will have a different focus in each phase of the project. In this chapter, the shifting emphasis of activities will be discussed along with the iterative character of BESECURE and the mechanisms that facilitate a continuous alignment of the activities in the case study areas as well as with other work packages.

2.1. Interaction Sessions

To be able to offer guidelines on case study interaction sessions, it is essential to have a clear image on what interaction sessions are, and how they take place within the case study research in all eight selected urban areas. Since it is the role of Work Package 5 in the BESECURE project to provide for the interactions with the stakeholders, in our case study approach different type of interactions can be defined. Broadly speaking, there are three types of interaction sessions that take place within WP5:

- **Research sessions** – aimed at obtaining relevant data from the stakeholders in order to gain insights into the local security challenges, policies and practices.

- **Development sessions** – used to identify the interests and needs of local stakeholders with regard to the end-products of BESECURE.

- **Evaluation sessions** – organized to validate the (preliminary) outcomes of the project and to test the usability of the end-products.

These interaction sessions can take many shapes and forms such as interviews, observations, focus groups, workshops, and so on (more information about the formats for interaction sessions is provided in Chapter 4). It is important to note that these three types of interaction sessions are strongly interrelated and in practice, most of the interactions with stakeholders will contain components from more than one interaction type. For example, an interview with a local policy advisor can be used to gather information about a specific policy directive whilst at the same time, the policy advisor might provide some information about the type of support that he/she would like to receive from the BESECURE products.

As these different types of interactions are strongly related and constantly shifted between they can be presented in the form of a cycle as in Figure 3 below.

Figure 3 – Different types of stakeholder interactions

2.2. Iterative Approach

The different types of interaction sessions (research, development and evaluation) broadly correspond with the general approach of the BESECURE project. Within BESECURE three main phases have been defined (with a duration of approximately one year each). From phase to phase, the emphasis of activities shifts from gathering information (Phase 1), to gathering information & evaluating preliminary results (Phase 2), to evaluating and implementing the final results (Phase 3). Within each of these phases a cycle of planning, researching, development and evaluation will take place, and as such BESECURE employs an iterative approach. This iterative approach, in relation to the different types of interaction sessions, is presented in Figure 4 below.
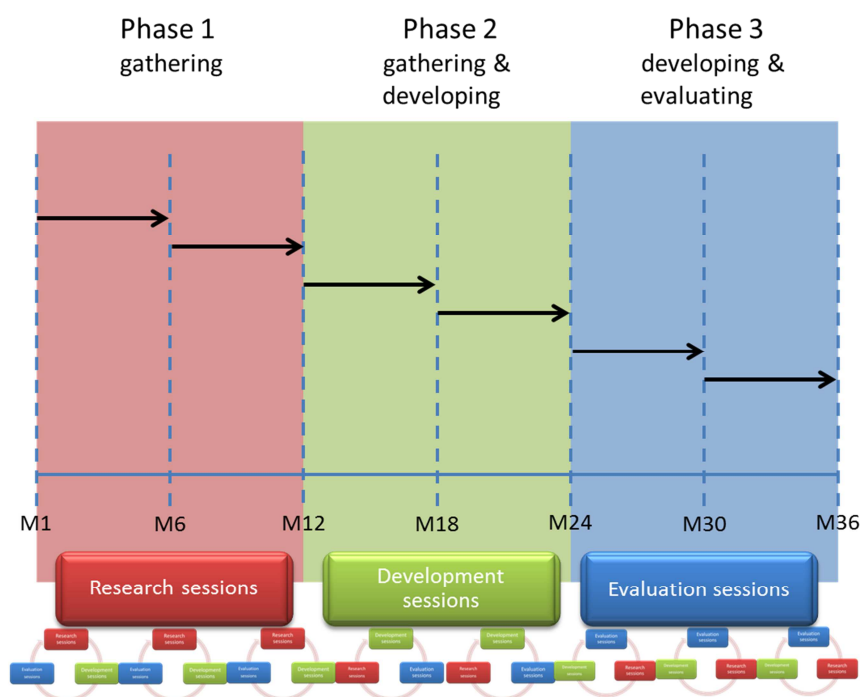

Figure 4 – Iterative approach in relation to the interaction sessions

In line with this iterative approach, the emphasis in the interaction sessions within WP5 will also shift with each phase (see Figure 4) but the different type of interactions will always be there in some extend. In practice, this means that stakeholder interactions in Phase 1 will predominantly be research-oriented, whereas the focal point in Phase 3 will be on evaluation. Apart from the distinction of the three main phases, it is important to note that within each phase, the activities will also shift from exploration to validation of (preliminary) results.

2.3. Alignment of Case Study Focus

To be able to structure the activities in the different phases of the project, there needs to be a mechanism to (re)align the work in different cases (and work packages) depending on the insights that are gained from the case study research, and analysing and comparing the data. The case study areas that have been selected for the BESECURE project display a great variety of urban characteristics and security issues. For the purpose of cross-case analysis it is essential to establish a structured approach for data-collection. This does not mean that the focus in all case study areas needs to be similar in every respect; rather they represent a broad variety within a family of cases. The commensurability of these cases lies in the connections between the cases and the fact that they will be studied using the same generic framework of boundary conditions as established in WP1 in Deliverable 1.1 (D1.1) of the project.

A proposed mechanism to be able to steer and focus the case study research is to define connections and differences in a so-called connection board. During the WP5 technical meeting in July 2012, the connections and differences between all eight case study areas were discussed for the first time. An initial overview of common themes and characteristics shows that there are several themes that run across all case study areas, while other themes are relevant in a selection of the case study areas (see Figure 5 for a rough overview of the connection board that was the result of the meeting).

This overview in a connection board form serves as a basic starting point for the data gathering within the individual case study areas in Phase 1, as well as for the cross-case analysis. For instance, the overview shows that in most case study areas there are problems related to youth groups, anti-social behaviour or repeat offenders. It makes sense to focus our research activities on those topics because this will draw out relevant data in relation to the question why certain policies or practices work (or not) in combination with certain urban zone characteristics. In a similar vein, focusing on certain issues or characteristics that are unique to a few of the case study areas (such as the presence of organised crime or the organisation of large-scale events) will add to the depth and richness of our understanding of urban zone characteristics in relation to urban security.

Case Study **Connections** and *Differences*

	Belfast	The Hague	Freiburg	London Tower Hamlets	London Lewisham	Napels	Reggio di Calabria	Poznan	
Belfast		ASB (youth) Riots Car Crime Repeat offenders	Problems with students Pubs, clubs	Community cohesion (BME in LTH, Protestant/ Catholic in Belfast)	ASB (alcohol/ drugs) Residential burglary Ethnic diversity	–	Social housing low income Org. crime Drug dealing Natural hazards	Tourism Car crime Urban planning problems	**Belfast**
The Hague	Riots Neighb. renewel Nightlife Urban design Terrorism		High crime rates Nightlife Probl. station area Low perception of insecurity	Multicult. comm. (muslim) Crime rates Deprivation Repeat offenders	ASB youth, alcohol, drugs, crime (burglary), repeat offenders, ethnic diversity, Socio-economic deprivation	Micro crime, socio-economic deprivation ASB (youth) Level of organised crime, natural hazards	Low crime zones, built environm. Role of housing org. in policy Level of organised crime Natural hazards	Organisation of large events in relation to safety perception. Similar size popul. Infra enhancement	**The Hague**
Freiburg	Political crimes Problems with students, nightlife, alcohol Deprivation areas Terrorism	ASB (youth/ alcohol), Prostitution, Graffiti Demonstrations burglary, riots (sports events)		Imported crime Comm. cohesion Social housing, ASB approaches Terrorism, poverty, integration of Muslim pop.	ASB (youth, drugs, alcohol), crime, prevention teams, Youth gangs crime, Organised crime Ethnic diversity Youth unempl.	Conflicts in use of space, tourism, high crime rates Natural hazards Organised crime Unemployment & low level of educ.	Segregation issue (bad image of areas) Unused open spaces Natural hazards, Organised crime	Tourism, Imported crime, decaying crime, low unemploym., org. of events, public transp. (Critical) Infrastr.	**Freiburg**
London Tower Hamlets	Percep. terrorism (external vs home grown), Hate crime, Socio-Econ. Deprivation Student probl.	ASB (youth), deterioration physical space, special events/ security in intern. zone	'Segregation' one of richest and beautiful city in country, low perception of unsafety		ASB (youth, drugs, alcohol), youth violence repeat offenders	Sub neighbourh. of large city, overlapping EU, national and local instit., safety/ security issues, internal econ.	Public housing, low income & education, crime, low care public spaces. Natural hazards rel. to built env.	Security in 2012 events	**London Tower Hamlets**
London Lewisham	Public order, Hate crime, socio-econ. deprivation, obtaining buy-in from users. Terrorism	Ethnic diversity, ASB (youth, drugs, alcohol), repeat offenders, youth violence	Good political structures, connections within key partners	Ethnic diversity, many levels of poverty, high ASB rates, similar key stakeholders		Low educational levels, immigrant population, wide spread crime, social deprivation	Low income populations, low levels of education, real danger	Focus on large scale events	**London Lewisham**
Napels	Similarities with historical center, Safety not only percept. but real. Religion-based sectarian violence, size of area	Repeat offenders International zone/connections	Micro crime, contacts with city council Crime is not just perceived in Napels	ASB No violent extremism in Napels, religious belief not a problem	High level crime, ethnic minorities, deprivation wealthy commercial businesses		unemployment and micro crime, organised crime. Historical landmarks, productive activities	Unemployment rate, Transportation in Napels is good	**Napels**
Reggio di Calabria	public order issue, safety not only percept. but real, Religion-based violence, size of area	Prostitution. ASB (alcohol, drug), Det. physical space. Area size, international zone, security investments	Micro crime, contacts city council, increasing segregation Crime is not just perceived	ASB, community cohesion, ethnic diversity, deprivation Terrorism and extremism	ASB (youth, drugs, alcohol), crime affects property value, low education, ethnic diversity, public housing	Micro and macro crime, social deprivation, decay of built and public space, housing maintenance and safety		Transport org. energy service, unemployem rate Accessibility and quality infrastr. Low perception emergency	**Reggio di Calabria**
Poznan	Big events, celebrations. Academic city	Large international events, soccer events (+ riots)	Academic city	Organisation of big events	Organisation of big events	–	–		**Poznan**
	Belfast	The Hague	Freiburg	London Tower Hamlets	London Lewisham	Napels	Reggio di Calabria	Poznan	

Enlarged detail:

ASB (youth, alcohol, drugs), crime (burglary), repeat offenders, ethnic diversity, socio-economic deprivation	Micro crime, socio-economic deprivation ASB (youth) Level of organised crime, natural hazards
ASB (youth, drugs, alcohol), crime, prevention teams, Youth gangs crime, Organised crime Ethnic diversity Youth unemployment	Conflicts in use of space, tourism, high crime rates Natural hazards Organised crime Unemployment & low level of education

Figure 5 – Case Study Area Connection Board

The selection of topics will be an on-going discussion within WP5 as well as the entire BESECURE project. By updating the connections and differences on a regular basis, the focus for case study activities can easily be reviewed and realigned. Throughout the project, the results in each case study area will be monitored by the WP5 leader (in interaction with the case study leaders) as well as by WP6 (responsible for the cross-case analysis), picking up on relevant patterns for cross-case analysis that emerge. Based on these patterns, as well as on the progress in other work packages, WP6 will regularly give direction to the case study leaders regarding the focus for the next phase. This will take place at least every 6 months, but this may be more frequent. For instance, if it appears that The Hague and London Lewisham show a similar policy directive aimed at dealing with anti-social behaviour from youth groups, they will be asked to further explore this in their areas or even arrange field visits between the areas to actively pursue this line for cross-case examination. This does not mean, however, that research activities are limited to the topics provided by WP6. Each case study lead will operationalise the common framework in their work plan (Task 5.1) to fit with their local situation.

3. Methodology

Chapter 3 discusses the case study methodology, which focuses on the research design and underlying research questions for the case study research. By research design we mean the logic that links the method for data collection and analysis to the central questions of a study. The challenge of coordinating data collection and analysis within eight different case study areas, whilst at the same time ensuring that there is enough ground for cross-case comparisons, requires a clear and common understanding of the research design and the underlying research questions. This will also guarantee an alignment with the way the case study research is embedded in the broader BESECURE project. In order to establish a common understanding with regard to the methodology, this chapter will start with some theoretical backgrounds and explanations about case study research.

3.1. Research Design

3.1.1. Case Study Research Design

A case study is an empirical inquiry that (usually during an extended period of time) studies a complex, contemporary phenomenon within its real-life context. Case study research often relies on qualitative methods, although quantitative data can be included as well. Adopting a case study design is especially suitable when the boundaries between the phenomenon that is studied and the context are not clearly evident (Yin 1994 [1984]). For the BESECURE project, the phenomenon that is studied – urban security – is strongly embedded in its context, particularly considering the tension between the perception of (in)security and the actual level (or 'objective') aspects. This means that a case study research design is a good way to create a knowledge base that reflects the embedded nature of the phenomenon under study.

Based on the literature on case study research (e.g. Yin 1994 [1984]), this research design can generally be characterized as follows: case study research can be exploratory, descriptive, and explanatory, and is mostly qualitative instead of quantitative. Most of the time (a combination of) different research methods are used, such as interviews, observations and document analysis. Usually there are a lot of variables involved in a case study, making case studies generalizable in an analytic sense (expanding and generalizing theories), not in a statistical sense (generalizing to populations or universes). Translating/generalizing the results of case study research requires a structured approach. Treating the data in an unstructured manner is a possible pitfall, as are various types of bias.

Given these main characteristics of the case study research design, the 'case' to be studied in the BESECURE project is the phenomenon of what is called 'urban security'. This means that the case is not dependent upon a single (type of) event or an entity or even a group of individuals, but a complex set of issues, actors and indicators. D1.1 provides an initial common view on the definition, scope and boundaries of the phenomenon under study that forms the point of departure for this project. The term *urban security* will have a different connotation in each of our case study areas, and our approach needs to be mindful of the different interpretations of the term. So, although the different case study activities converge on the topic of *urban security*, we need to permit idiosyncratic interpretations of the term in each case study area. Nevertheless, we need a common way of performing and reporting case study activities if we want to allow cross-case analysis, and eventually arrive at

valuable conclusions and useful facilities for policy makers throughout Europe. This is where a common research model (Section 3.1.3) and properly crafted research questions (Section 3.2) come into play, together with a clear distinction between the *case setting* and the *units of analysis*. Table 2 provides an overview of some of the key methodological terms that are used in this report.

Term	Interpretation
Methodology	Framework that explains both the research design and research questions.
Research design	The choice for a specific research approach that fits with the objects of study and the type of research questions. In this work package the chosen approach is *case study*, therefore we speak of a 'case study research design'.
Case	The phenomenon that is being studied. In this study, urban security is the case.
Research question	The operationalization of the phenomena under study into logical and manageable questions. Usually there is a breakdown of the research problem into a few central research questions (corresponding to the aims of the study) and a further breakdown of each central question into several sub-questions that guide the data-collection and analysis.
Research method	The technique by which data is collected.
Case setting	The site or sites in which a case is studied. In this project the case setting consists of the eight urban areas in which the case of urban security will be studied.
Unit of analysis	The categories of entities that are studied in order to answer the research questions. In our study, possible units of analysis are best practices, policies, interventions.

Table 2 – Methodological terms used in this report

3.1.2. Case Setting and Units of Analysis

By case setting we mean the sites – or in our study the urban areas – in which the case of urban security will be studied. A common mistake is to view a location or site as a case and multiple sites as a 'multiple case study research design'. When – as in our study – the object of study is a phenomenon which is studied in different locations, we are in fact talking about a single-case study design that is conducted at multiple sites.

Now that we have defined urban security to be the 'case' and the eight different European case study areas that have been selected for the BESECURE project to be the 'case settings', we need to make clear what the units of analysis are for this study. In other words, what are the 'things' we will be looking for whilst exploring the phenomenon of urban security? At this point, we have identified four main units of analysis (no particular order). It may very well be that other units of analysis emerge during the project.

- **Urban zone characteristics**. Institutional, economic, societal and environmental factors that characterize an urban area.

- The **security issues** that are present in a particular area, such as problems with drug-use, riots, lack of community cohesion, and so on.

- The **policies and policy initiatives** that are used or developed in an area. Are there policies that focus on particular security issues? Which policies are currently being developed? How are implemented policies being evaluated?

- **Practices and interventions** used to address security issues. What actions are undertaken? What are the effects of these actions? Who is involved? In relation to practices it is interesting to study what practices are considered to be 'best' practices (or 'worst' practices?).

3.1.3.   Research Model

With the definition of the case, the case settings and the main units of analysis, our research model is almost complete. This research model is a schematic presentation of the way the units of analysis and the case settings inter-connect with each other (Figure 6). In our view, both the units of analysis and the case settings consist of three different levels: a macro-level, a meso-level and a micro-level. Throughout the case study research, data will be collected at all these levels, and it is important to zoom in and out of these layers to move beyond the data at each separate level and create an in-depth understanding of the (possible) interrelations between these levels. For instance, micro-level events can indirectly trigger policy changes at the meso-(or even macro-) level. If the focus is limited to only one level, these relationships can be missed. Figure 6 represents a schematic view of these levels in relation to the research design. A further discussion on these levels and how this shapes the focus of our project is provided in D1.1.

It is important to keep in mind that this research model is intended to be a "mental map" to remind ourselves to look at our data beyond a single level and recognize this in the results or in the strategies or structures we are studying.
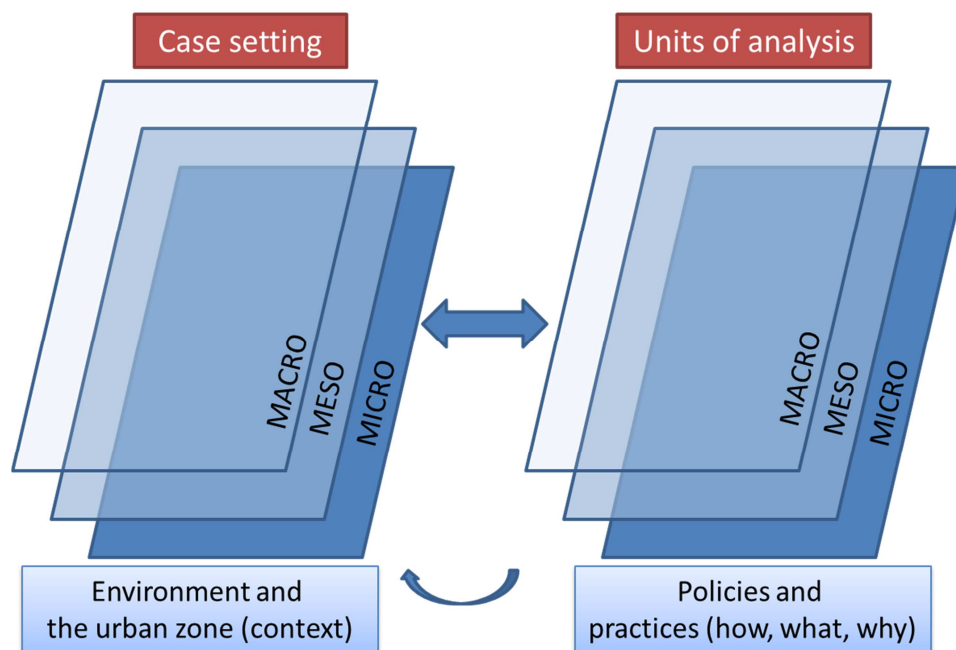
Figure 6 – Schematic presentation of the research design containing the units of analysis and case settings

3.2. Research Questions

A case study research design is especially suitable if the central research questions are 'what', 'how' or 'why' questions (Yin 1994 [1984]). For the case study research, the research questions represent the logical breakdown of the central objectives of BESECURE in relation to the role of the case study research in achieving these objectives. This means that at this point in time we can formulate three central research questions for the case study research. Although these questions might be subject to revision or expansion as the project develops, for now each of these questions corresponds with one of the phases in the BESECURE approach:

1. What kinds of policies and practices related to urban security issues – in terms of objective (real number of incidents concerning crime, harassment, litter etc.) and subjective (perception of) security? In what kind of situations do they work? And what make them work?

2. What kind of support do the end users (policy and decision makers) need to improve policy development and implementation in the area of urban security?

3. How does the designed tool/product support end users in the best possible way? What alterations are needed?

These central research questions are the last main element of the case study research approach. In the next Chapter, the practical implementation of this approach in each of the case study areas is discussed.

4. Practical Implementation for Case Study Leaders

In Chapter 4, we will provide practical guidelines for the main research activities that will be conducted in all case study areas. These practical guidelines are built around the use of standard templates to be used in different steps of the case study research. Because it is important to allow for the local particularities of each case study area, these guidelines merely provide some basic principles for the research activities. The case study work plans that have to be written by all case study leaders as part of Task 5.1 provide a more detailed overview of the activities for each specific area. The iterative approach of the BESECURE project, combined with close interactions between the case study leaders and other work packages, guarantees that the activities in all case study areas are continuously geared to one another.

4.1. Process Design for Case Study Activities

To structure the activities and stakeholder interactions within and across cases, and to manage and register the results, we provide a basic process design for preparing, performing and processing the case study activities in each case study area (Figure 7). This process is built around the use of standard templates for different steps in the process. These templates are based on a set of guiding principles with regard to stakeholder management, data management, and ethical considerations. Not only will these templates support the case study leaders to prepare and process the data gathered in their case study area, but at the same time, the templates facilitate the use of the results for purposes beyond WP5 (for instance in relation to the best practice database or the cross case analysis). Furthermore, by filling out these templates, the case study leaders are supported in creating and maintaining an overview of all case study activities in their area, which will help with their coordination tasks and providing input for quarterly reports drafted by the WP5 leader.
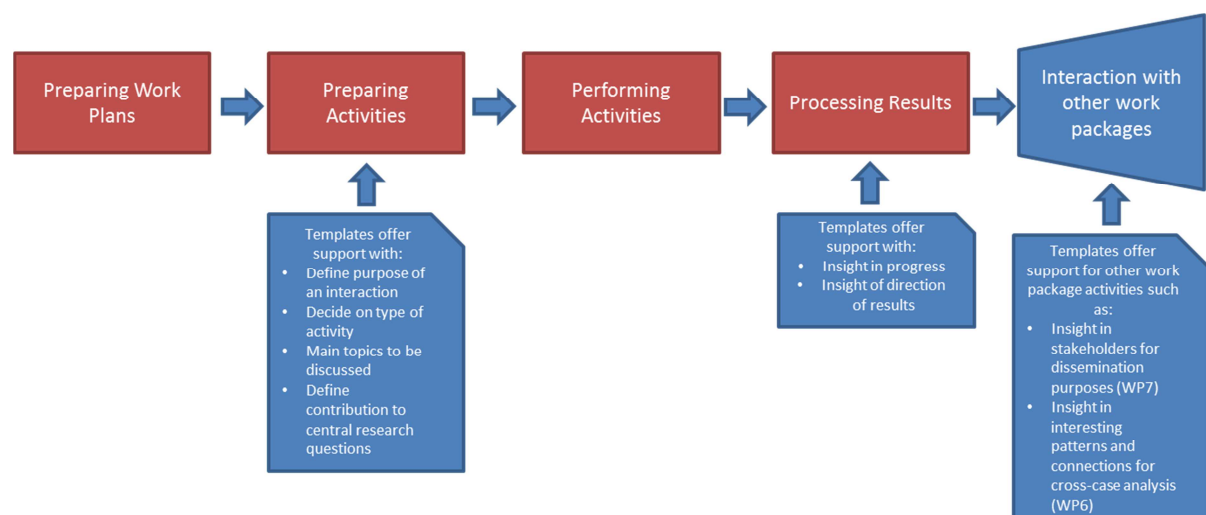
Figure 7 – Process design of case study activities and use of templates in different steps

4.1.1. Preparing the Work Plans

The first step in the process is to develop a work plan for the case study activities of the upcoming phase. The research model presented in the previous chapter, along with the boundary conditions from D1.1 provide the starting point for the work plan in each case study area. As explained, the research model consists of the research design, the setting, the main units of analysis and main research questions. Based on this common approach, each case study leader has to draw up an initial work plan of the case study research (Task 5.1). In line with the iterative approach of BESECURE, within work package 5 it has been agreed to draw up six-monthly work plans in preparation for each (sub)phase of the project, building on the findings of the previous phase as well as the cross-case analysis.

As part of the preparation of the work plan an operationalization of the research questions into more detailed questions that fit with the local setting is required. In order to aid this process of operationalization, a first breakdown of the central research questions into sub questions is provided here. These questions constitute the common point of departure for all case study areas. It is important to note that these are still very broad, are not exhaustive and need a further operationalization into questions that will guide the research activities. Furthermore, these questions will likely be revised or expanded as the project progresses.

Operationalization of Central Research Question 1

- What are the main (institutional, economic, societal, environmental) characteristics of the urban zone?
- What kind of data is available on the case setting and unit of analysis?
- Who are the key stakeholders involved in urban security?
- What does the decision making process regarding urban security policies and implementation look like?
- Which actors are involved in the decision making process regarding urban security?
- What kind of data or input do decision makers use?
- Which security policies are currently used or being developed?
- Which practices related to urban security issues are used?
- How are security policies implemented?
- Which actors are involved in the implementation of security policies and practices?
- Which security policies or practices do stakeholders consider to be most effective in increasing security?
- What possible indicators (according to respondents or other sources) make a specific security policy or practice effective (or not)?
- How is a specific security policy or practice evaluated?
- What are (dis)advantages of specific security policies or practices?
- Who are possible end-users of the BESECURE products?
- ….

Operationalization of Central Research Question 2

- What kind of developments do stakeholders expect in relation to urban security?

- What are gaps or problems in the current policy making process?

- What are gaps or problems in the current strategy implementation process?

- What kind of information or signals do the end users need?

- What do the end-users expect from the BESECURE product?

- …

Operationalization of Central Research Question 3

- Does the designed BESECURE product (prototype) meet the end-users' needs?

- What improvements are possible?

- …

4.1.2. Preparing an Activity

The proposed templates (see Section 4.4) offer support to all case study leaders for the preparation of a case study activity. They are intended to structure the activities of all case study areas whilst at the same time leaving room for the local team to develop an approach that fits with the local situation. Clearly, the templates do not offer any interview questions because those will, to a certain extent, vary from stakeholder to stakeholder and from case to case. It does help focus the researcher on the aims of each activity within the broader scheme of things, and to decide on a type of activity that fits with these aims. In other words, the interaction template helps define what the purpose is of an interaction, what the main topics should be that need to be discussed, and how the selected activity will contribute to answering one or more of the central research questions.

4.1.3. Performing the Activity

The next step in the process is to perform the actual activity – i.e. conducting the interview, facilitating a workshop, collecting a document. Because of the careful preparations, the researcher who performs the activity will have a clear idea of the purpose and focus of the activity, and will also be attuned to the aspects of stakeholder management and ethical aspects of the interactions.

4.1.4. Processing the Results

By always immediately filling in the templates after each activity, for each stakeholder and for each piece of data, the BESECURE consortium will have access to an up-to-date overview of all case study activities and insight into the progress and direction of the results. This will make it possible to search and retrieve relevant data for subsequent analyses (such as the cross case analysis that will be coordinated by WP6 or when new insights/hypotheses are developed that require further analysis). Storing our data and results in a meticulous manner is also part of our ethical responsibilities. The templates as presented here will be

made available as a spread sheet or automated form to ensure that the information is easily transferrable into another format for analysis.

4.1.5. Interaction with other Work Packages

Beside supporting the preparatory and processing steps within WP5, the templates will also support the interactions with other work packages. For instance, the elaborate system of stakeholder management (including information about their needs, their level of interest and potential end-users) will be of use for the product development (WP3 and WP4) and dissemination (WP7) activities. The interactions with WP1 and WP2 with regard to the focus of the research activities and development and refinement of indicators of urban security will benefit from this structured procedure for keeping track of the results. Similarly, WP6 can use the filled-out templates to follow-up on interesting patterns and connections for the coordination of the cross-case analysis. Finally, the ethical considerations are in line with the ethical management that is part of WP8.

4.2. Guiding Principles for the Case Study Process Design

4.2.1. Stakeholder Management

The case study research conducted in WP5 is intended to gather in-depth data from different European urban areas in order to come to a location-specific understanding of urban security that can be transferred to other urban areas. Furthermore, the case study research will focus on the needs of potential end-users by organising evaluation sessions with different stakeholders, such as local policymakers and policy advisors. As such, the case study research plays an important role in the overall aim of BESECURE to support local policymakers in the creation, enhancement and implementation of security policies in urban zones. Because of the nature of the tasks of WP5, most – if not all – stakeholder interactions will take place within WP5. Much of the work within WP5 deals with establishing and maintaining relevant contacts in the case study areas, so as to ensure that the products being developed within the project are aligned with stakeholder interests. This means that there needs to be a conscious and careful procedure for managing stakeholder contacts within the project. For this reason we have formulated the following guiding principles for stakeholder management:

- **Describe the nature of the relationship with each stakeholder.** Has the stakeholder agreed to participate in the project or to grant access to certain data (documents, respondents, *in situ* observations, and so on)? Is this a written or verbal agreement? Are there any restrictions to the access?

- **Identify the main point of contact within the project for this stakeholder.** The person who initiated the contact might not want other BESECURE members to approach their contacts without knowing about it.

- **Register whether or not the stakeholder is a potential end-user of the BESECURE products.** This helps to decide which stakeholders to approach in the testing and evaluation stage of the product development.

- **Use the BESECURE promotion material for stakeholder interactions.** It is important to articulate the objectives and aims of BESECURE in a consistent and uniform way.

Refer stakeholders to the project website, and make sure to check in with WP7 (Dissemination) about other promotion material and events. Promotion material possibly needs to be translated to local languages to ensure the best possible engagement of local stakeholders.

4.2.2.   Data Management

In order to create a research atmosphere that is conducive to the level of ambition of the BESECURE project, it is essential that all partners work according to clear procedures with regard to how data are managed. As we will be collecting large amounts of data in different formats, organizing the data in a structured manner will make it easier to retrieve relevant data at a later point. This means that it should be easy to find a certain piece of data or that it is possible to filter out data on a specific topic. In addition, for ethical reasons, it is important to be clear about where each piece of data was obtained and whether or not it is confidential or restricted. To summarize, the following guiding principles are formulated in relation to data management:

- **Name all documents in a uniform format:** "YYMMDD_TYPE_SOURCE_TITLE" With 'type' being the type of document (news article, report, photograph, etc.), the 'source' is the author, organization or magazine/newspaper, etc. and the 'title' obviously will be the title of the document or the first few words of the title. In particular documents that will be shared throughout the consortium it is important to use a uniform system.

- **Fill in a data template that summarises the key topics and relevant outcomes.** When all data is registered in this way, it is possible to conduct various searches in our database in order to retrieve all the relevant data. The templates will be available as spread sheets in order to make it easier to use them for analytic purposes.

- **Note the level confidentiality of a document.** Some documents will be publicly available, while others are confidential and obtained through one of our stakeholders. It is important to always follow these restrictions. All raw data (interview recordings, transcripts, observation notes, etc.) is confidential and should be treated in a confidential manner.

4.2.3.   Ethical Considerations

All activities in WP5 need to be in accordance to the ethical statement and code of conduct developed in WP8 (D8.2). For WP5 this is particularly important with regard to the confidentiality of data, the privacy and informed consent of research participants, research integrity, and the relations with our stakeholders. The following guiding principles articulate the ethical considerations of WP5:

- **All research participants need to sign an informed consent form.** A standard informed consent form is part of D8.2. This will need to be adapted to fit with the type of participation that is requested from a certain respondent.

- **Stakeholder interactions will always take place via the BESECURE member who is the main contact.** The person who initiated the contact might not want other BESECURE members to approach their contacts without knowing about it.

- **Agreements (written or verbal) with regard to access to data will be respected at all times.** It is important that it is clear to all parties involved what is agreed upon and the extent of the granted access.

- **Stored data that is to be disseminated in the consortium must be anonymised.** Any documents that are to be disseminated in the consortium must be anonimised prior to transfer. In such cases, names, detailed job descriptions or other identifying information need to be removed from the source documents (e.g. storing notes, minutes or interview transcripts) and replaced with identifiers. The original names and information will be stored in a secured location with restricted access.

- **Confidential data will not be shared beyond the small team of researchers or the consortium.** Depending on the level of confidentiality, certain pieces of data will be shared only among those partners actually working on that particular case study. Data marked confidential will not be shared outside the consortium.

4.3. Types of Case Study Activities

The main focus in this report is on the activities that involve interactions with stakeholders. In Chapter 2 the three main types of interaction sessions have been introduced (research, development and evaluation). The format of the different interaction sessions will differ for each phase and for each situation. Following the iterative approach of BESECURE, the emphasis in the first phase of the case activities will be on data collection, and there will roughly be four types of data collection (and closely related forms of activities): document analysis, (group) interviews, questionnaires, and observations. In the later phases of the project, there will be a shift in focus from data collection towards validation, development and evaluation. It is to be expected that some of the stakeholder interactions that will take place during these phases will require a different format such as a workshop or focus group. In the planning and selection of case study activities in each phase, it is important to have a clear idea of the focus and purpose of the different activities in order to make sure enough ground is covered. During each phase the templates can be adjusted according to the change of focus in the activities and corresponding research questions. A general overview of the focus and purpose of different types of case study activities is provided in the next two sections.

4.3.1. Document Analysis

An important source of data will come from an analysis of different types of documents[1] from the case study areas. Although there are certain types of documents that are likely to be available for all case study areas, the type of access to stakeholders and their willingness to share information will be of influence on the body of data that is available in each area. In the following table an overview of document types and their various manifestations is shown along with the purpose for the BESECURE project. Evidently, the table is far from exhaustive, but it provides an initial idea with regard to the purpose and focus of the document analysis. In the work plan for each case study area, an initial, more specified overview of available documents will be provided, which will be adjusted as the research progresses.

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[1] The term 'document' is meant here in the broadest sense of the word, thus including a large variety of sources such as policy documents, reports, media articles, minutes of meetings, photographs, webpages, audio or video files, etc.

Document Type	Focus	Purposes
Policy and Strategy Documents	Urban Security Policies; Strategy; Implementation	Tracing evolution of policies
Minutes	Meetings by task groups etc.; Meetings by policy advisors; Local parliament meetings; Meetings of relevant bodies, etc.	Following (on-going) or reconstructing (finished) decision making processes; Insight into politics/debates;
Reports	Plans of action (by governmental bodies, organisations or institutions); Communication and agreements between parties; Evaluations of practices and policies; Analyses of certain problems or issues Academic papers and reports	Insight into relations between different stakeholders; Insight into local problems; Insight into evaluative practices; Insight into effects of policies and practices
Newspaper/Media Articles	Occurrences of incidents; Background articles; Opinion pieces; Websites/forums/blogs	Insight into local problems; Insight into public discourses; Identifying stakeholders or relevant policies/practices for further research
Brochures/Leaflets	Information about policies Communication towards public	Insight into interaction with public; Community involvement
Photographs/Video/Social Media	View of neighbourhoods, 'policies-in-action', events, etc.	Bringing the stories to life; Insight into physical manifestations of problems and policies

Table 3 – Focus and purpose of document analysis

4.3.2.   Interaction Sessions

There are several types of interaction sessions with stakeholders and respondents[2] that will be used to collect data, and to develop and evaluate the output of BESECURE. The main interaction types that will be used are interviews, observations, and evaluation sessions/workshops, but there will possibly be different interactions emerging throughout the project (for instance in relation to the testing of prototype versions of some of the BESECURE products as developed in other work packages). The case study interactions will take place with different (groups of) stakeholder(s) and respondent(s), and each activity will have a different purpose. In the table below, an initial outline of the different types of interactions, the prospective respondents and purpose of the interactions is provided. This table is not exhaustive but gives an idea of how to approach and structure the interactions in relation to the work plan for the case study. In the work plans of all case study areas an

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[2] In this guideline we distinguish between *stakeholders* – all contacts that have an interest in BESECURE and potential end-users for the BESECURE products – and *respondents* – people who are involved as participants in the data-collection phase of the project by means of an interview or otherwise. Respondents can also be stakeholders, but there will be stakeholders who are not respondents.

initial plan for interaction sessions in the first phase of the project will be provided. In later stages of the project other interactions will be added, based on the results in the first phase.

Interaction Type	Focus	Purposes
Interviews & Focus Groups	Policy Advisors; Governmental representatives; Key actors from relevant institutions/organisations; Neighbourhood workers (police, youth workers, etc.); Citizens	Insight into urban security policies and (worst + best) practices; Insight into local network of stakeholders; Insight into needs of different stakeholders; Insight into problems and urban landscape; Insight into decision making process
Observations (including *in situ* conversations)	Field visits with neighbourhood workers; Meetings; Events	Insight into problems and urban landscape; Evidence of policies in practice; Insight into decision making process
Workshops	Policy Advisors; Other relevant stakeholders (to be determined)	Validating knowledge base; Development of tools; Evaluation of tools

Table 4 – Focus and purpose of interaction sessions

4.4. Templates

In this section, the three basic templates are presented. At this point, there are three basic types of templates for stakeholder management, data management and for interaction sessions. These templates are to be used by the Case Study leaders and their teams. Although the three templates cover most of the work foreseen in WP5, there might be additional templates added at a later stage. Each template contains a number of questions that are divided into several categories that relate to the guiding principles of stakeholder management, data management and ethical considerations:

- **General Information [Gen.]** – General information about the date, the researcher, the case study to which this entry belongs, and a short description of the entry.

- **Registration [Reg.]** Depending on the level of confidentiality, certain pieces of data will be shared only among those partners actually working on that particular case study. Data marked confidential will not be shared outside the consortium.

- **Ethical Considerations [Eth.]** – This section deals with the ethical aspects of each particular entry. The person who initiated the contact might not want other BESECURE members to approach their contacts without knowing about it.

- **Specific Questions [Spec.]** It is important that it is clear to all parties involved what has been agreed upon and the extent of the granted access.

- **Analysis [An.]** When storing notes, minutes or interview transcripts names and other identifying information need to be removed and replaced with pseudonyms. The original names and information will be stored at a secured location with restricted access.

The latest versions of these templates are at any time available for download at the BESECURE document sharing environment.

Stakeholder Template

Cat.	Question	Answer
Gen.	This template is filled in by	[name of person and institute]
Gen.	Date	[yyyy.mm.dd]
Gen.	Case Study	[Belfast/Freiburg/Poznan/…]
Gen.	Short description of stakeholder	[name, institution, position]
Reg.	Where and under which name are the contact details of this stakeholder stored?	[enter details in order to be able to retrieve the information]
Reg.	Who has the lead in the contact with this stakeholder?	[BESECURE member who has initiated or manages the contact]
Eth.	What was the entry point to this stakeholder? Describe any relevant info on how initial contact was made.	[If there is a 'history' with this stakeholder, it should be clear]
Eth.	Has the stakeholder been informed about the terms of their participation and has an informed consent form been signed?	[info about all kinds of agreements, contracts and restrictions with regard to the extent of the access]
Spec.	What is the relevance of this stakeholder? Describe how this stakeholder can be a part of BESECURE in general and specifically for your case study	[What network are they a part of, which access do they provide, which data can they provide, etc.?]
Spec.	What is the level of interest of the stakeholder for BESECURE?	[Do their needs/wishes fit with our aims? What aspects of BESECURE are they particularly interested in, which parts not?]
An.	Is the stakeholder a potential End-User? If so, what are their main interests/needs	[Will they be able and interested in using our products?]
An.	Is there any indication of a relevant pattern for cross case analysis? (i.e. similar entry points in other case areas)	[Do we have similar contacts in other case study areas?]

Template 1 – Stakeholder template

4.4.1. Data Template

Cat.	Question	Answer
Gen.	This template is filled in by	[name of person and institute]
Gen.	Date	[yyyy.mm.dd]
Gen.	Case Study	[Belfast/Freiburg/Poznan/…]
Gen.	Short description of data	[type of file, title, language etc.]
Reg.	Where and under which file name are these data stored?	[enter details in order to be able to retrieve the information]
Eth.	How/where were the data obtained?	[provide information about the source and owner of the data
Eth.	What is the level of confidentiality? Who may have access?	[confidential (only team), restricted to consortium, public]
Spec.	What are the data about?	[keywords, topics]
Spec.	What is the main point of interest of this piece of data? Which research questions are addressed?	[summary of main findings]
An.	What are the most interesting findings in these data?	[short summary of main results in relation to broader case study and BESECURE questions, new hypotheses derived from this, etc.]
An.	Is there any indication of a relevant pattern for cross case analysis?	[similar results, security problems, policies, type of documents, etc. as collected in this or other case study areas?]

Template 2 – Data template

4.4.2. Interaction Template

Cat.	Question	Answer
Gen.	This template is filled in by	[name of person and institute]
Gen.	Date	[yyy.mm.dd]
Gen.	Case Study	[Belfast/Freiburg/Poznan/…]
Gen.	Short description of interaction	[type of interaction, location, etc.]
Reg.	Has a stakeholder template been filled out for this/these respondent(s)?	[Yes/No (because… it is not a relevant stakeholder)]
Reg.	Where and under which file name are the files of this interview/workshop/… stored?	[enter details in order to be able to retrieve the information]
Eth.	Did the respondent(s) sign a consent form? If not, why?	[yes, still waiting for it, refuses, etc. also indicate how to deal with it]
Eth.	How is the interview/workshop/… documented (voice-recording, notes, …)?	[voice recording, full transcript, minutes, notes, partial transcript, etc.]
Eth.	Is/are the respondent(s) anonymised in the transcript?	[yes, no, because… respondent does not mind being identified, …]
Spec.	Who is/are the respondent(s)?	[name, function, institute]
Spec.	Has there been any previous interaction with this/these respondent(s)? What kind of interaction?	[this is first, previous interview, this is follow up from, etc.]
Spec.	What is the main point of interest of this interview/workshop/…? Which research questions are addressed? Why is this/these respondent(s) selected?	[aim of this session is to…]
Spec.	What are the main topics (to be) discussed with this/these respondent(s)?	[keywords, topics]
An.	What are the most interesting results from this interview/workshop/…?	[short summary of main results in relation to broader case study and BESECURE questions, new hypotheses derived from this, etc.]
An.	Is there any indication of a relevant pattern for cross case analysis?	[similar results, security problems, policies, type of documents, etc. as collected in this or other case study areas?]

Template 3 – Interaction template

References

Yin, R.K. 1994 [1984], *Case Study Research. Design and Methods,* 2nd edn, Sage,
Thousand Oaks.