

**GDPR**

# Regulating Processing of Personal Data

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CA349 IT Architecture | DCU  
Slides available at: <https://harshp.com/research/presentations>

# Harsh(vardhan J. Pandit)

## An Introduction

- Assistant Professor - ADAPT Centre - Dublin City University
- Postdoctoral Fellowship: knowledge graph for DPIA / GDPR
- PhD in Computer Science (2020) - Representation of activities involving personal data and consent for GDPR information
- Chair of W3C Community Groups: Data Privacy Vocabularies and Controls Community Group (DPVCG) and Consent (ConsentCG)

# GDPR<sup>1</sup>

**World-Changing EU law that regulates Processing of Personal Data**

1. What is meant by Personal Data ?
2. What is meant by Processing ?
3. How is data is being processed? (what/how/where...)
4. Who is involved? (whose data, processed by whom)
5. How to check processing is following the rules of GDPR?

[1] <https://eur-lex.europa.eu/eli/reg/2016/679/oj>

# Personal Data

GDPR

# Personal Data

## Some “definitions” from across the globe

‘personal data’ means **any information relating to an identified or identifiable natural person** (‘data subject’); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person;

**GDPR Art.4(1)**

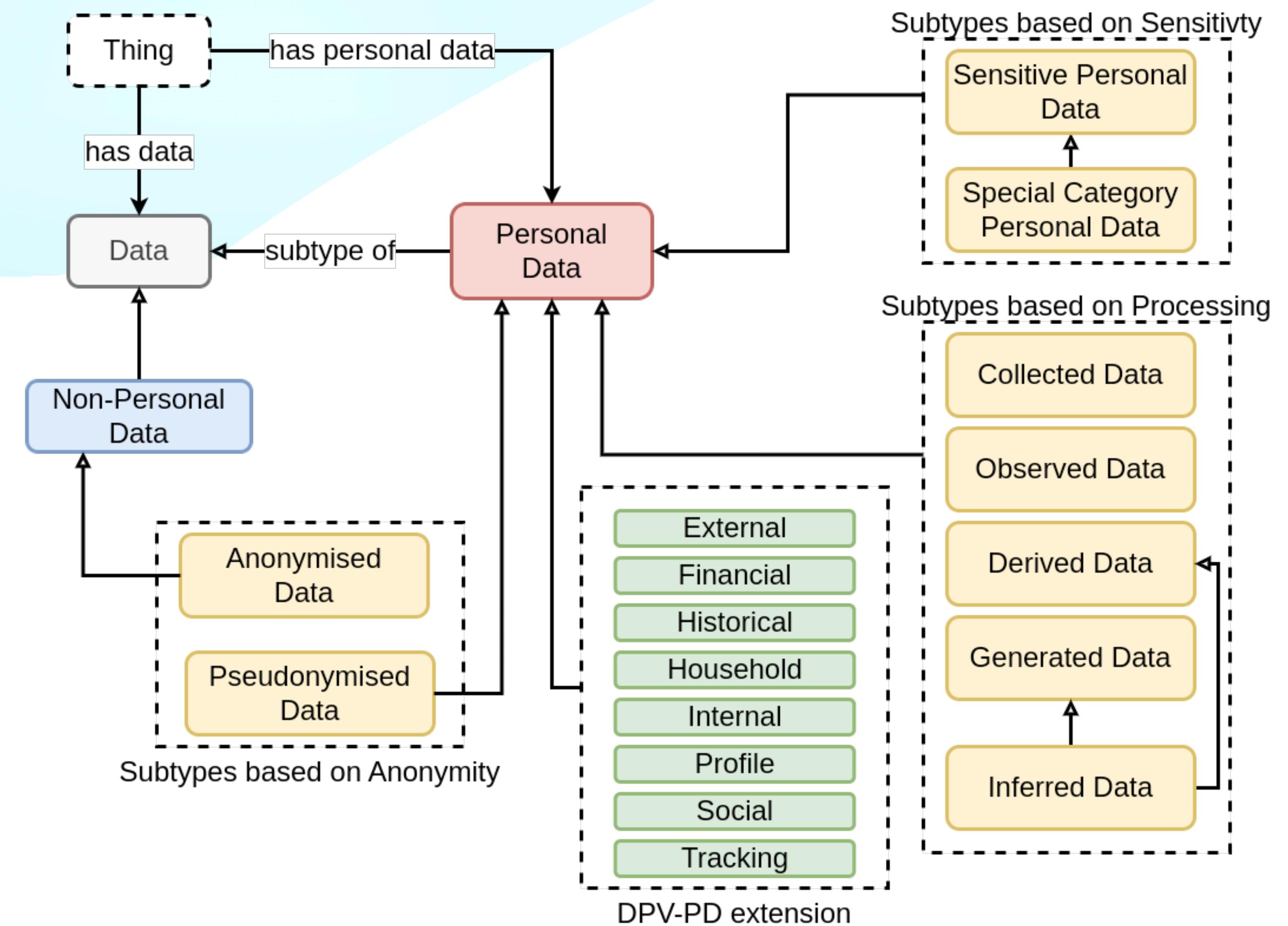
any information that (a) **can be used to identify the PII principal to whom such information relates, or**  
**(b) is or might be directly or indirectly linked to a PII principal**

**ISO 29100:2011**

“Personal information” means information that **identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly**, with a particular consumer or household.

**CCPA 1798.140 (o)(1)**

# Data Personal Data



# Personal Data

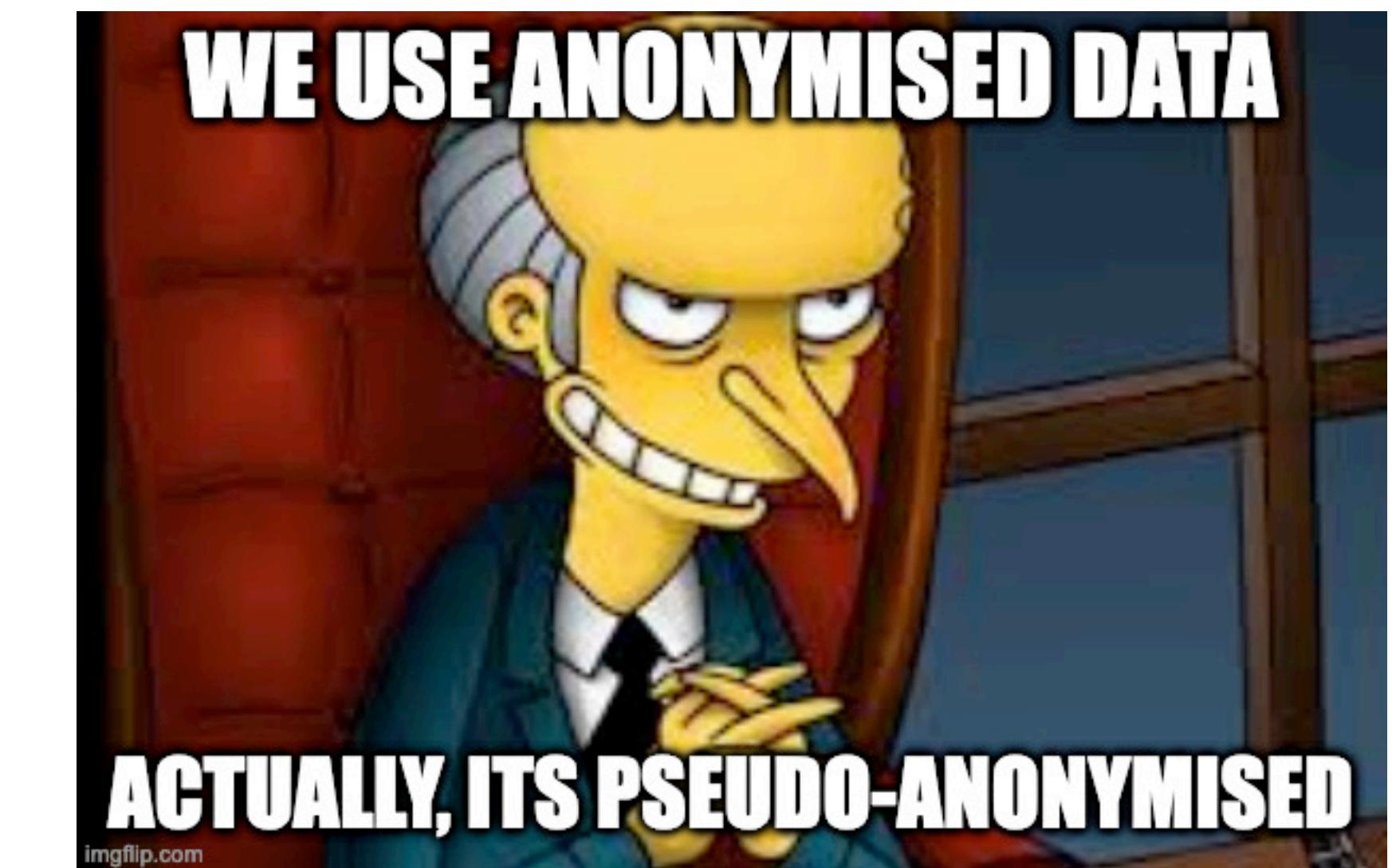
## Identifiers, and Identifiability

1. Identifiers: Harsh (name), xyz@email.com (email)
2. Non-identifiers: Black (hair), Brown (eyes), 1.66m (height), etc.
3. For a room full of people, combine non-identifier to uniquely identify a person (me) – thus creating an identifier !!!
4. Useful technique for **fingerprinting**, **profiling**, **tracking**

# Q: When is Personal Data not ‘Personal’ anymore?

**Ans: When it is (completely) anonymised**

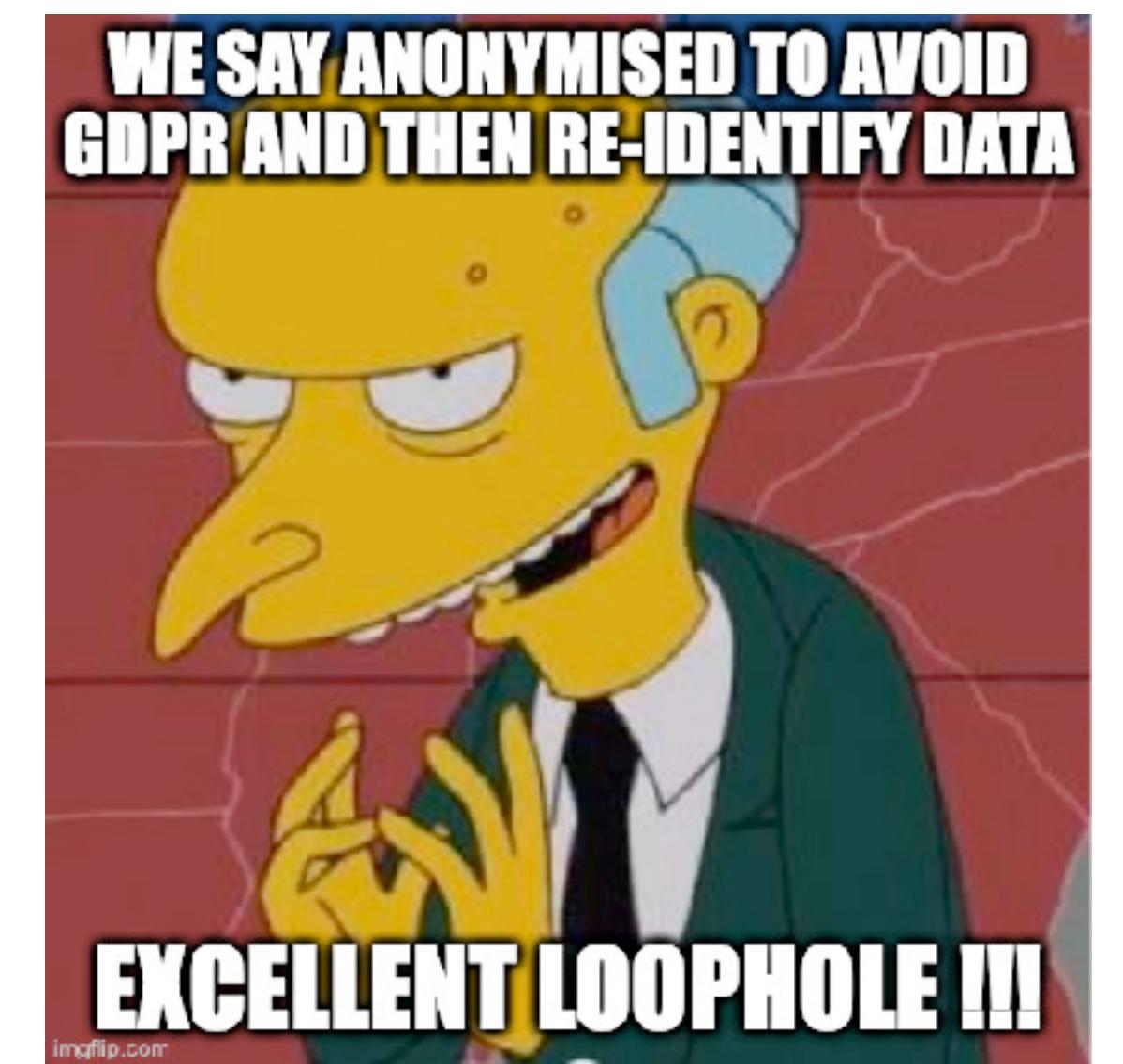
- Anonymisation is the removal of (some) ‘identifying’ attributes from data
- Merely using “**anonymisation**” does not produce anonymised data
- It produces ‘**pseudo-anonymised**’ data, which is still personal data
- ‘Completely anonymised’ if it is **not identifiable**
- E.g.
  - Your exact location = personal data
  - approx. house = still personal data
  - approx. area = still personal data, but less
  - City = still personal data, but lesser
  - Country = anonymised, kind of



# Q: When is Anonymised Data not Anonymised?

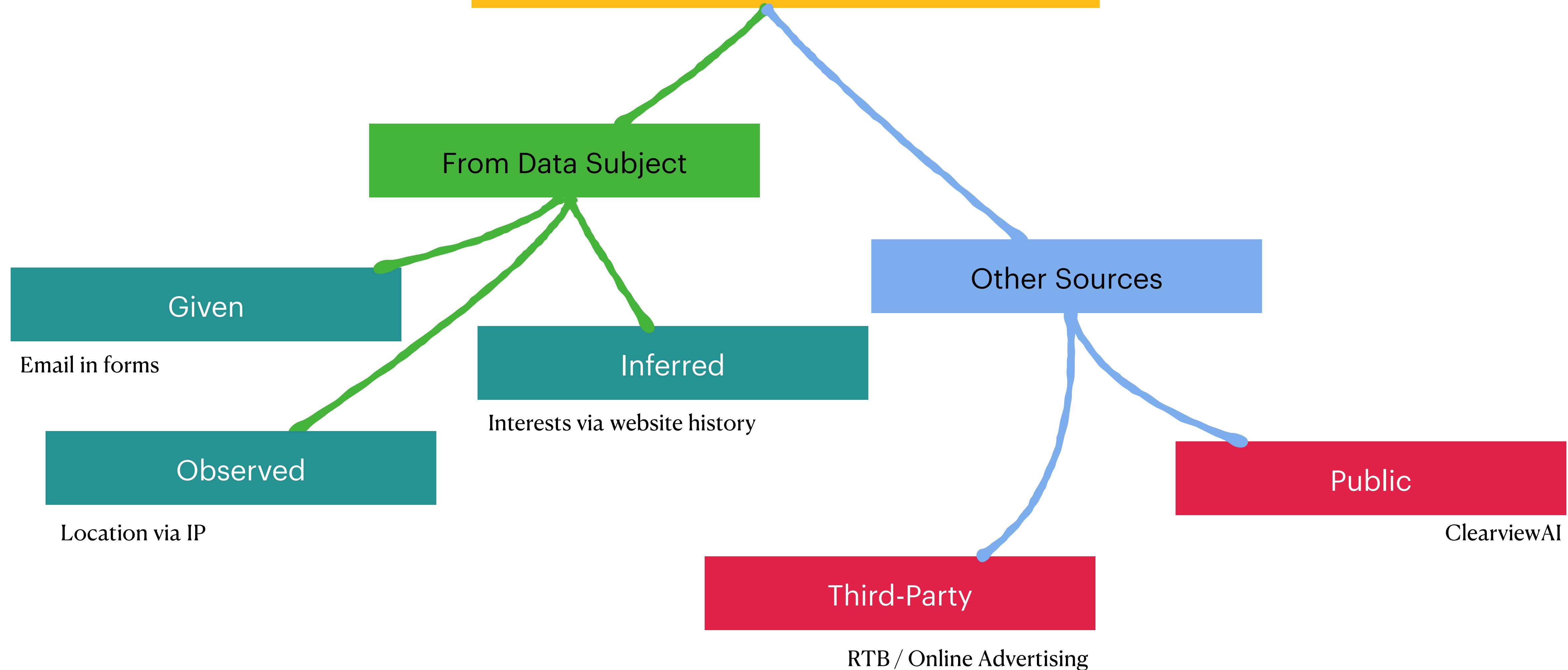
**Ans: When it is possible to 're-identify' using any (practical) means possible**

- Data is anonymised, i.e. all identifiers like names and emails are removed
- But using a 'combination' of remaining data points, a person is still identified
- Since **re-identification** is possible, its not '**fully anonymised**'
- 'Exploits'
  - Aggregated location – person's routines are unique
  - Voting and voters data
  - Fingerprinting - browser configurations, preferences
  - GDPR applies to all the above since it is 'personal data'



# Personal Data

ISO 29184:2020



# Personal Data: Sensitive, and Special

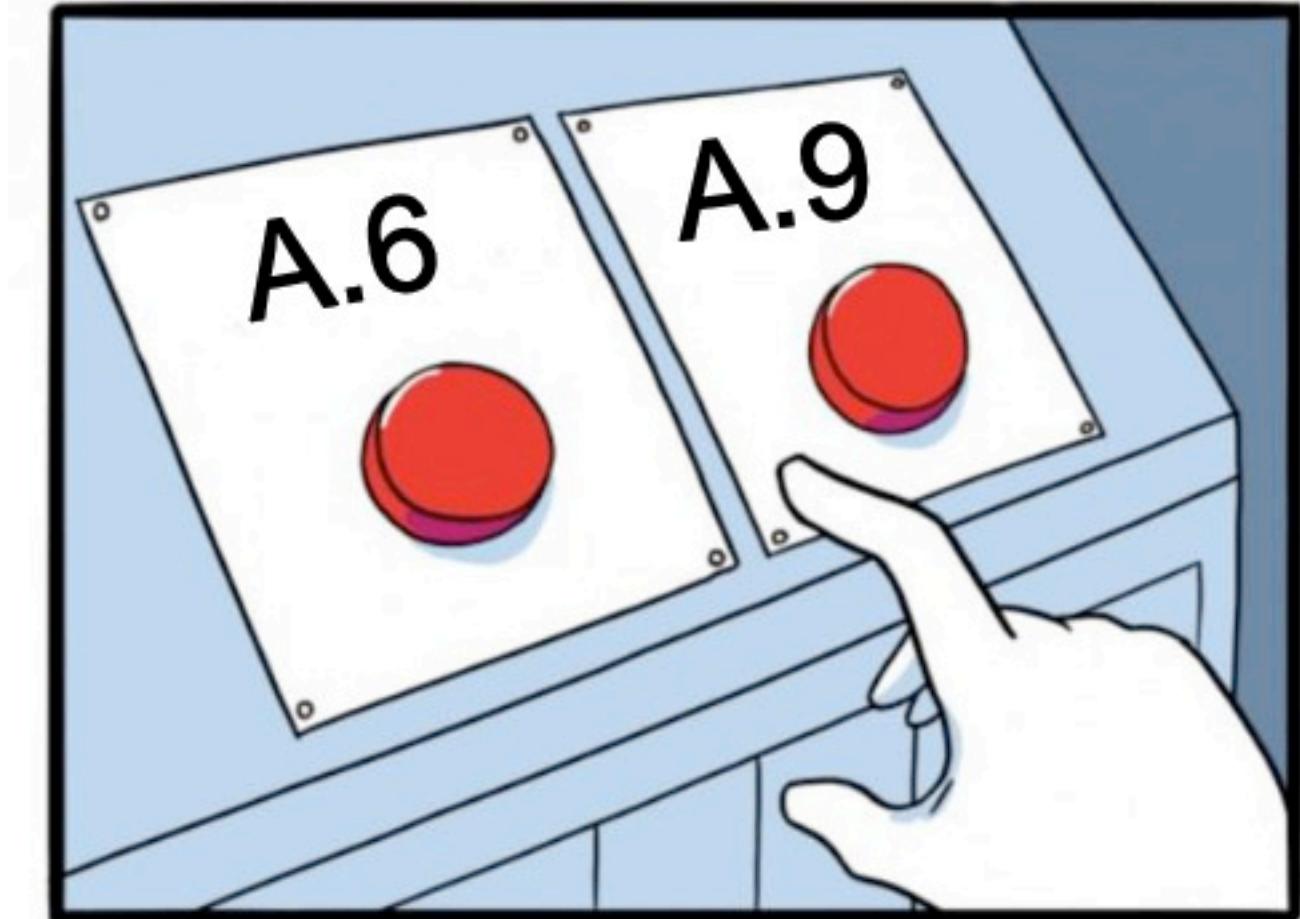
**Special category personal data is to GDPR what Ferrero Rocher is to chocolates**

## Sensitive:

- data that merits additional security
- older term used widely

## Special:

- requires additional/specific legal permissions
- newer term introduced in GDPR



# GDPR Prohibits

**Processing of Special Categories of Personal Data  
and**

**Requires additional obligations via legal basis in Article. 9**

racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation shall be prohibited

# Processing

## GDPR

## GDPR Article 4(11)

‘processing’ means any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction;

Notable alignment with ‘common’ terms used in documents, interfaces, etc.

collect, store, use, share, delete

# Systematic Monitoring Evaluation & Scoring Matching & Combining Automated Decision Making Innovative Use of New Technologies

## GDPR Article.35 Data Protection Impact Assessments

# GDPR applies before Processing starts

## Common Misinterpretations

- Data collected but ‘anonymised’ is not subject to GDPR
- If data isn’t shared, nothing needs to be declared
- Collecting anonymised data and attaching an identifier to it
- Hiding things that require transparency and permission
  - Scale and scope of processing
  - Involvement of special categories
  - Involvement of any automated decision making
  - Creating, sharing, using - profiling



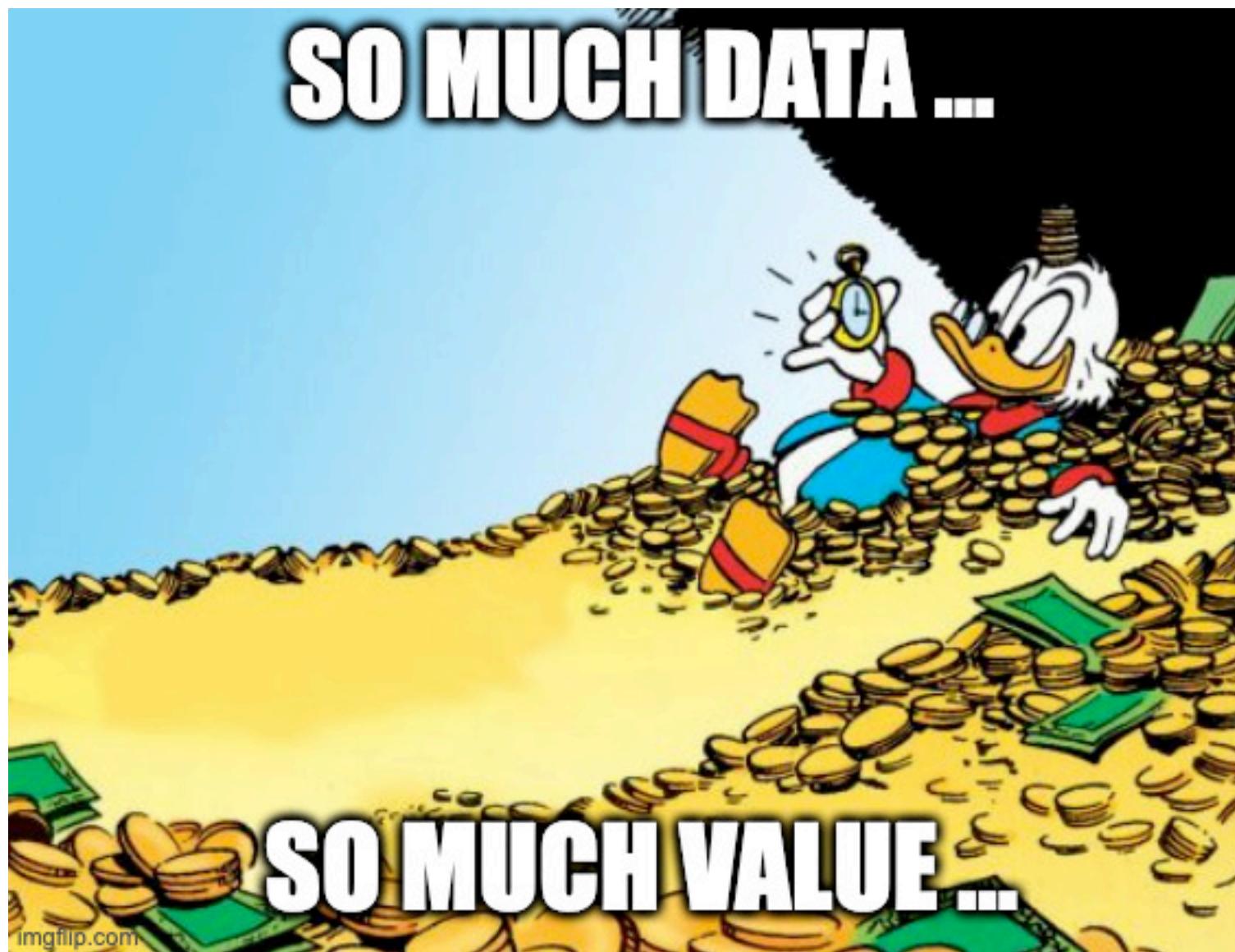
# Purpose

## GDPR

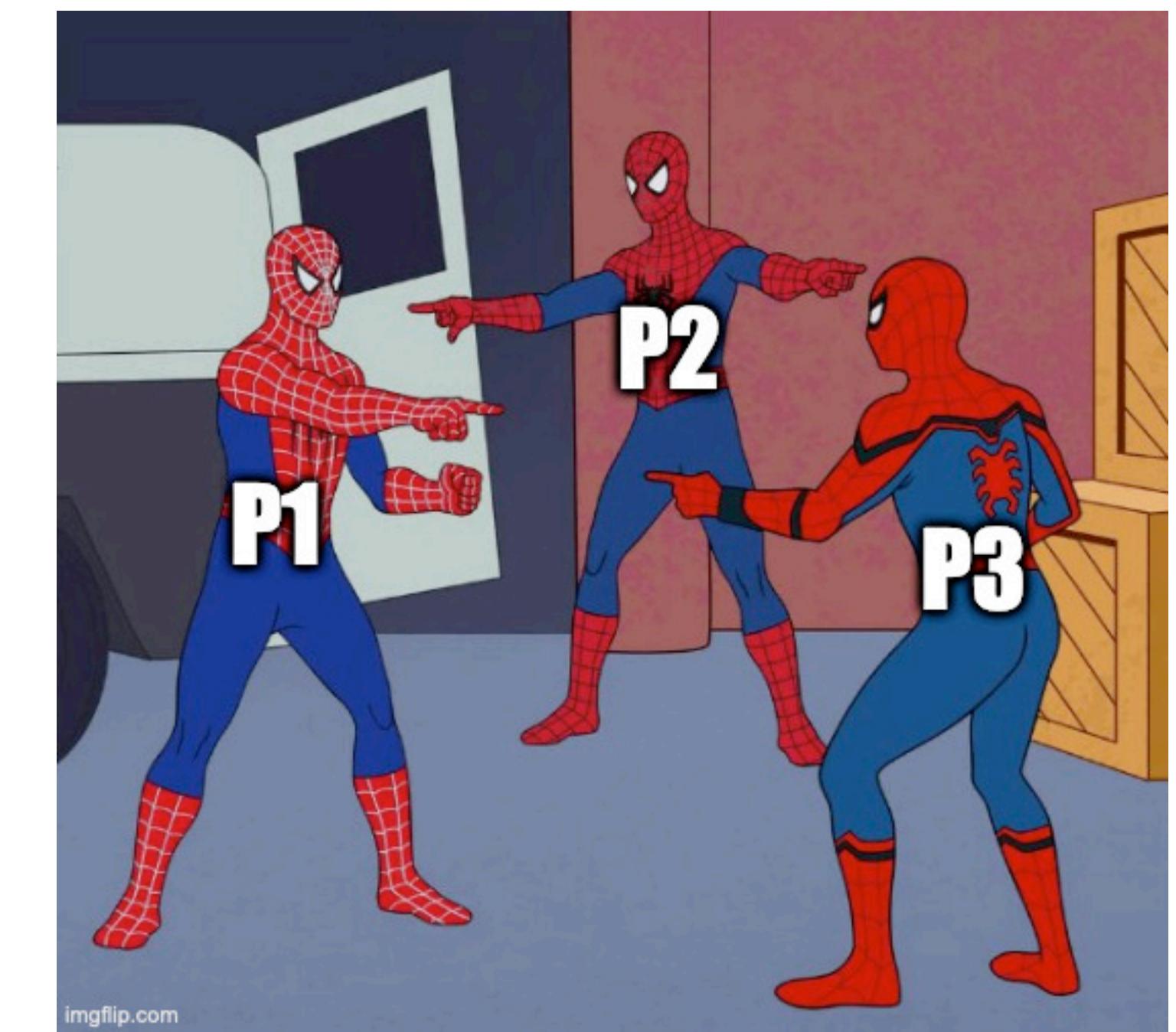
# All Processing in GDPR \*must\* be towards a Goal

Implied when a 'Purpose' is necessary as per Article.5

Every Processing \*must\* have a Purpose



Purposes must be separate from other matter, including other purposes



Purposes must be \*specific\* and \*unambiguous\*

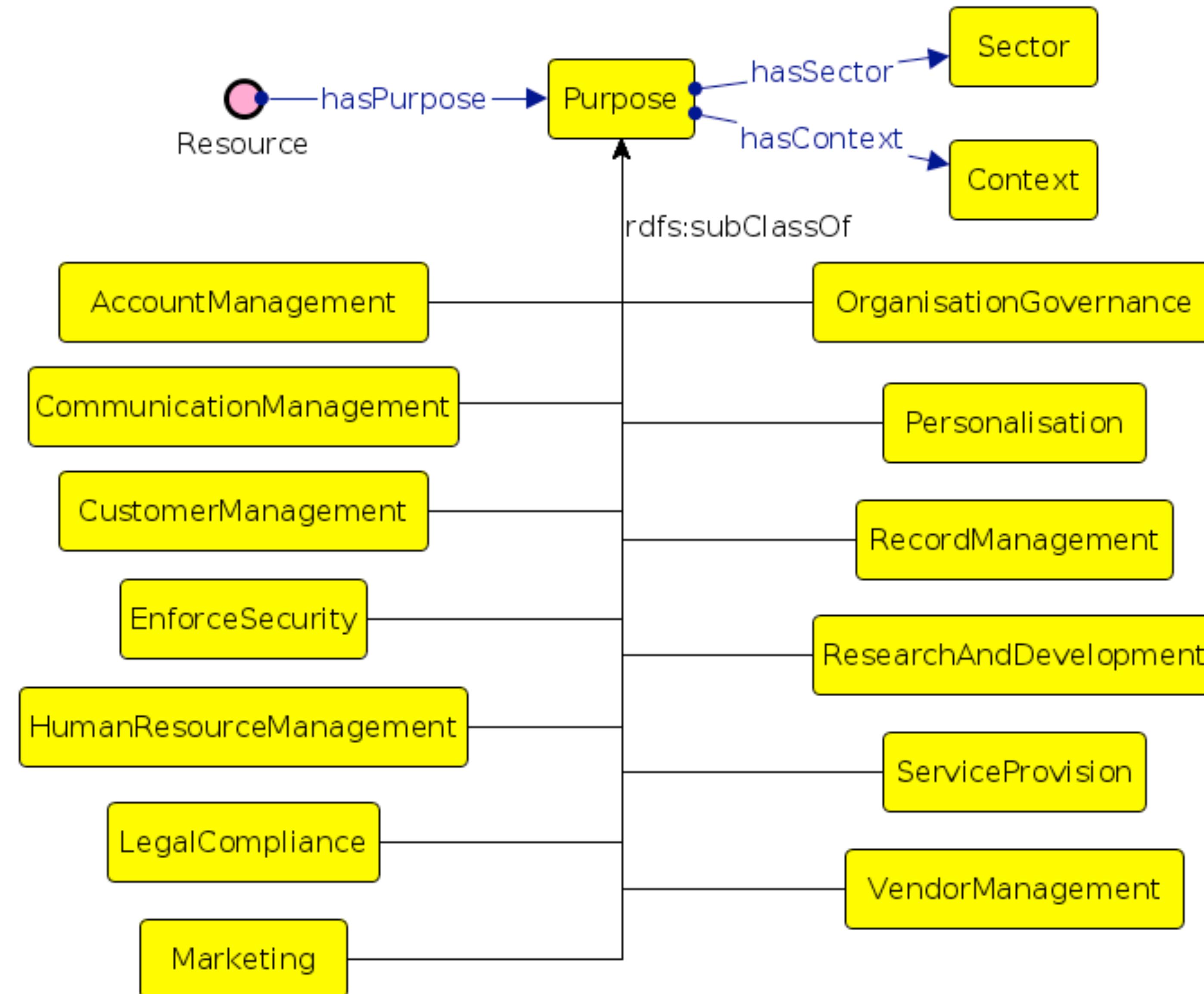
Purposes are intended  
to be human-readable  
and human-  
comprehensible

# Purposes should not be broad and abstract

Purposes should be specific and contextual to their use-case

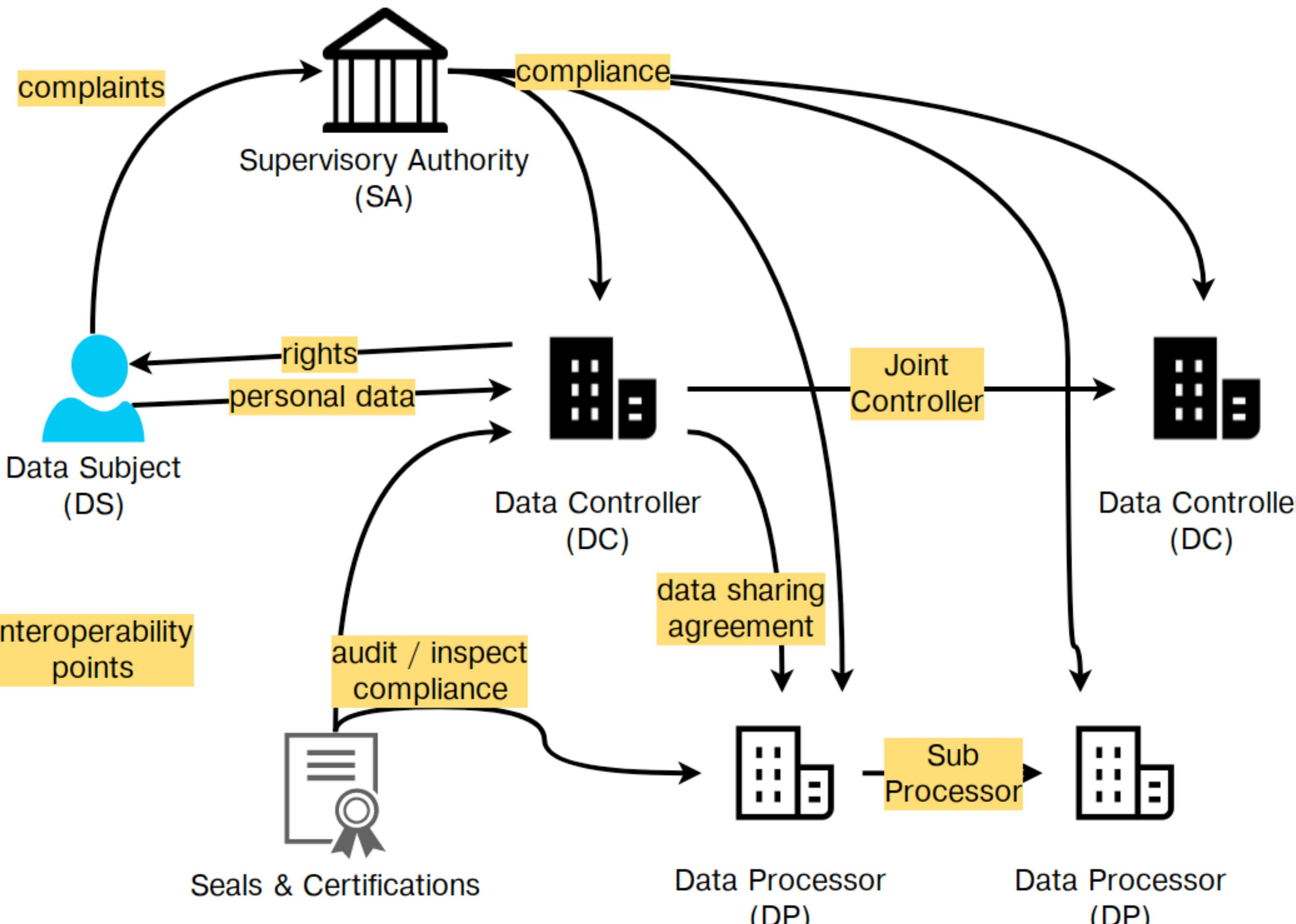
Purposes can be grouped or categorised but not replaced, e.g. with Marketing for 'Sending new product emails'

Purposes don't have to necessarily benefit the data subject e.g. service optimisation



# Actors

**GDPR**



GDPR Data Interoperability Model,

EURAS Annual Standardisation Conference (EURAS) 2018,

Harshvardhan J. Pandit\*, Declan O'Sullivan , Dave Lewis

<https://harshp.com/research/publications/010-gdpr-data-interoperability-model>

Data Controllers are responsible for deciding the 'purpose'

Data Controllers may not even 'touch' the data they 'control'

Data Controllers can 'team up' to become Joint (Data) Controllers

Processors only act on 'orders' given (explicitly) by Controllers

Processors can appoint other (sub-)Processors, still governed by instructions from Controllers

Processors deciding/ processing on their own become Controllers

Data Protection Authorities (DPA) are empowered by GDPR to enforce its obligations on all entities

# Legal Basis & Principles

**GDPR**

# GDPR's Framework of Legal Basis

A.6(1-b)  
Contract

A.6(1-c)  
Legal Obligation

A.6(1-e)  
Public Interest

A.6(1-d)  
Protect vital interests  
of data subject or  
other natural person

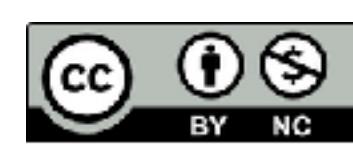
A.6(1-c)  
Official Authority of Controller

A.6(1-a)  
Consent

A.6(1-f)  
Legitimate Interest of Controller

A.6(1-f)  
Legitimate Interest of Third-Party

## Widespread Problematic Occurrences



# GDPR's principles providing a framework for 'responsibility'

## Principles (Article.5)

lawfulness, fairness and transparency  
purpose limitation  
data minimisation  
accuracy  
storage limitation  
integrity and confidentiality  
accountability

## A12-A22 Rights

Transparency (A.12)  
Notice (A.13, A.14) ;  
Object to Processing  
Rectification of Data  
Erasure (Right to be Forgotten)  
Restriction of Processing  
Right of Access  
Data Portability

## Consent (Article.7)

Informed  
Freely Given  
Unambiguous  
Balance of Power(s)  
Right to Withdraw  
Explicit Consent (e.g. for Article.9)

## A77 Right to complaint

Any Data Subject can  
complaint to their Supervisory  
Authority (DPA)  
If DPA is in a different country  
than the company, then the  
DPA will 'lease' and 'co-operate'  
with the DPA of that country

# Cloud

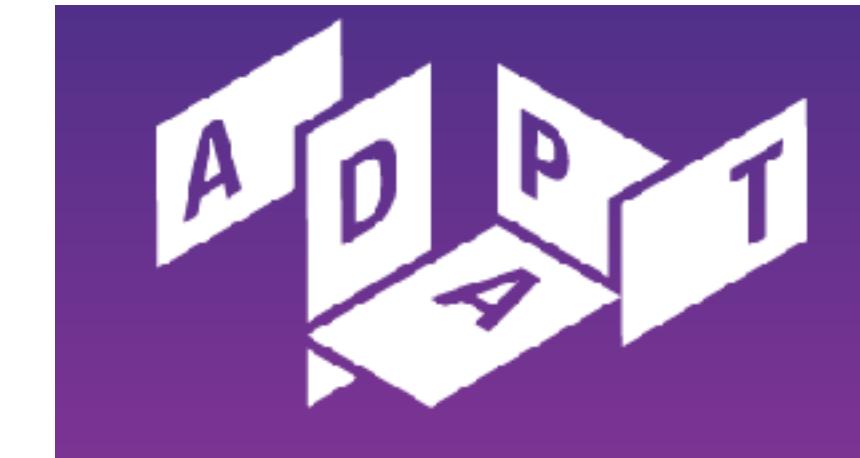
**GDPR**

# What are you doing with the “Personal Data”?

Cloud can be used to collect, store, use, share, delete data

- AI and machine learning
- Compute
- Storage
- Databases
- Data analytics
- Networking
- Developer tools

<https://cloud.google.com/?hl=en>



Google Cloud

# Cloud Security

## Biggest Risks

<https://www.dataprotection.ie/en/dpc-guidance/five-steps-secure-cloud-based-environments>

Cloud-based environments offer many advantages to organisations. However, they also introduce a number of technical security risks which organisations should be aware of such as:

- > Data breaches
- > Hijacking of accounts
- > Unauthorised access to personal data

# Cloud Security

## Measures

<https://www.dataprotection.ie/en/dpc-guidance/five-steps-secure-cloud-based-environments>

Organisations should apply such technical security and organisational security measures in a layered manner consisting of but not limited to:

- Access controls
- Firewalls
- Antivirus
- Staff training
- Policy development

A layered approach to cloud-based security mitigates the risk of a single security measure failing which may result in a personal data breach.



# Choose a Cloud service provider that incorporates GDPR or has the specific measures you are looking for

## ISO/IEC 27001 (Information Security Management)

ISO/IEC 27001 is one of the most widely recognized, internationally accepted independent security standards. Google has earned ISO/IEC 27001 certification for the systems, applications, people, technology, processes, and data centers that make up our shared [Common Infrastructure](#) as well as for Google Workspace and Google Cloud products. You can access these certificates via [Compliance reports manager](#).

## Google Cloud Platform, Workspace, Cloud Identity & Implementation Services: EU Standard Contractual Clauses (Module 2: Controller-to-Processor)

ISO/IEC 27018 is an international standard of practice for protection of personally identifiable information (PII) in Public Cloud Services. Google has been certified compliant with ISO/IEC 27018 for Google Workspace and Google Cloud. You can access these certificates via [Compliance reports manager](#).

## ISO/IEC 27701 (Privacy Information Management)

## Google Cloud Platform, Workspace, Cloud Identity & Implementation Services: EU Standard Contractual Clauses (Module 2: Controller-to-Processor)

### ANNEX II

#### TECHNICAL AND ORGANISATIONAL MEASURES INCLUDING TECHNICAL AND ORGANISATIONAL MEASURES TO ENSURE THE SECURITY OF THE DATA

The data importer will implement and maintain security standards at least as protective as those set out in Appendix 2 of the CDPA (Customers), CDPA (Partners), or a Data Processing Addendum for any Implementation Services, as applicable.

The technical and organisational measures to be taken by sub-processors are described in the "Subprocessor Security" section of that Appendix.

The technical and organisational measures to be taken by the data importer to assist the data exporter in fulfilling its obligations to respond to data subjects' requests for the exercise of their rights under Regulation (EU) 2016/679 are set out in Sections 8 (Impact Assessments and Consultations) and 9 (Access; Data Subject Rights; Data Export) of the CDPA (Customers) or CDPA (Partners), as applicable.

<https://cloud.google.com/terms/sccs/eu-c2p>

# Privacy Notices

## Also called a *Privacy Policy*

<https://www.dataprotection.ie/en/dpc-guidance/five-steps-secure-cloud-based-environments>

For organisations / Advice for small organisations / Make your own privacy notice

## Make your own privacy notice

It's easy to make your own privacy notice, and it's a good way to show people that you care about their information. It's also a key requirement under the UK GDPR to be open with people about how you use their data.

To get started, read our quick guide on [how to write a privacy notice](#) which we've written with the needs of small businesses in mind. When you're ready, our [privacy notice template](#) is free to download and use.

### Also see:

- [How to write a privacy notice and what goes in it](#)
- [Privacy notice template](#)
- [Does my business need a privacy notice?](#)

### Does my business need a privacy notice?

Yes. If your company holds [personal data](#) – which is generally any small business, charity or group that has information about people such as their names and email addresses – you'll need a [privacy notice](#).

### What information do we need in our privacy notice?

The information you need to provide in your privacy notice includes:

- why you're processing people's personal data;
- how long you'll be keeping it for; and
- who you'll be sharing it with.

### Do I need to pay a specialist to write a privacy notice?

No, most small organisations – including small businesses, sole traders and small charities or groups – will be able to make their own privacy notice for free using our simple [template](#).

<https://ico.org.uk/for-organisations/advice-for-small-organisations/make-your-own-privacy-notice/>

# Consent

**GDPR**

**Ever visited a website and  
got blocked by a popup?**

**Was it annoying?  
Why was it there?  
What do you think is the quickest  
way to get rid of it?**



**Before you continue**

Google uses [cookies](#) and other data to deliver, maintain, and improve our services and ads. If you agree, we'll personalize the content and ads you see based on your activity on Google services like Search, Maps, and YouTube. We also have [partners](#) that measure how our services are used. Click "See more" to review your options or visit [g.co/privacymatters](https://g.co/privacymatters) anytime.

[See more](#) [I agree](#)

Consent dialogue on <https://google.ie> MAR-14 2021

Data & personalization

To choose what data is used to make Google services more useful to you, sign in to your Google Account.

[Sign in](#)

When you aren't signed in, some information about your Google activity is saved in a cookie or similar technology on your device to help Google work better for you. [Learn more about cookies](#).

You can use the tools below to manage your experience on this device.

**Google Search personalization**  
The searches you do on this device can help Google improve your search results and show you more relevant ads.

**YouTube Search and Watch History**  
YouTube improves your video recommendations based on what you've already watched or searched for on your current device.

**Make the ads you see more useful to you**  
Control the information Google uses to show you ads

These settings apply when you're using this browser and device.  
[Sign in](#) to control settings for personalized ads across all of your browsers and devices

Please set your preferences

**Ads Personalization Across the Web**  
See more useful ads on YouTube and the 2+ million websites that partner with Google to show ads

[Turn on](#) [Turn off](#)

**Ads Personalization on Google Search**  
See more useful ads when you're using Google Search

Google

English [Sign in](#)

Confirm your choices for cookies and other data

Review the following key points and explore your options on this page. Click "I agree" when you're ready to confirm. You can withdraw your consent anytime with effect for the future.

**Data we process when you use Google**

- When you search for a restaurant on Google Maps or watch a video on YouTube, for example, we process information about that activity - including information like the video you watched, device IDs, IP addresses, cookie data, and location.
- We also process the kinds of information described above when you use apps or sites that use Google services like ads, Analytics, and the YouTube video player.

**Why we process it**

We process this data for the purposes described in [our policy](#), including to:

- Help our services deliver more useful, customized content such as more relevant search results;

[Other options](#) [I agree](#)

There are many privacy controls that you can use, even when you're signed in, to achieve the Google experience that you want. You can review those controls in "Other options" or visit [g.co/privacymatters](https://g.co/privacymatters) anytime.

**Edit Search Settings**  
Control whether or not search results are affected by search activity in this browser.

**Edit Ad Settings**  
Adjust the types of ads you see from Google.

**Edit YouTube Settings**  
Control whether or not your YouTube experience is affected by YouTube watch activity in this browser.

**Learn how Google uses data to improve your experience**

Tip: If you [sign in](#) to your Google Account before agreeing, we'll remember your choice across all of your signed-in devices and browsers.

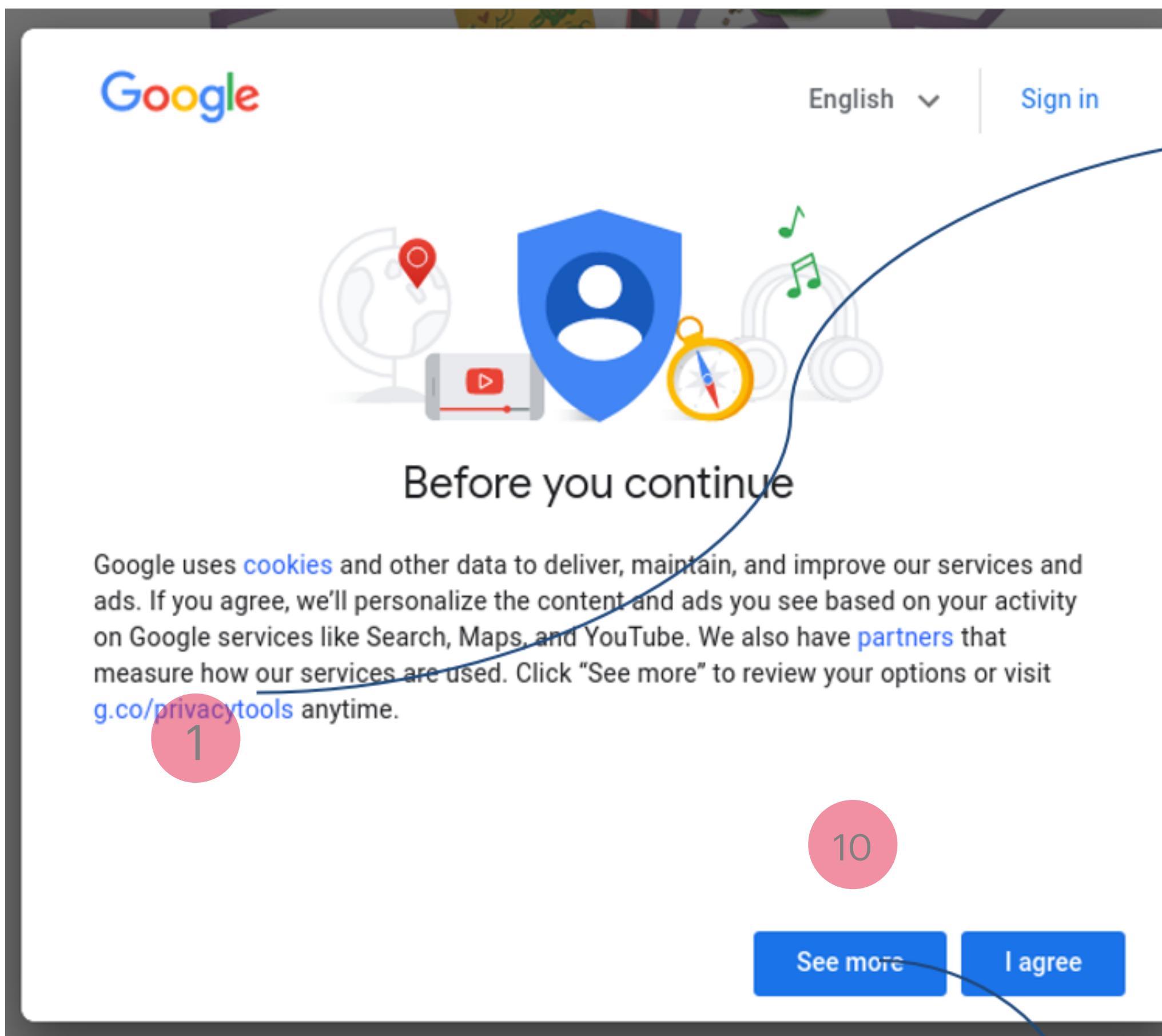
[Other options](#)

Companies are required to show you a "NOTICE" informing what data they collect and how they use it.

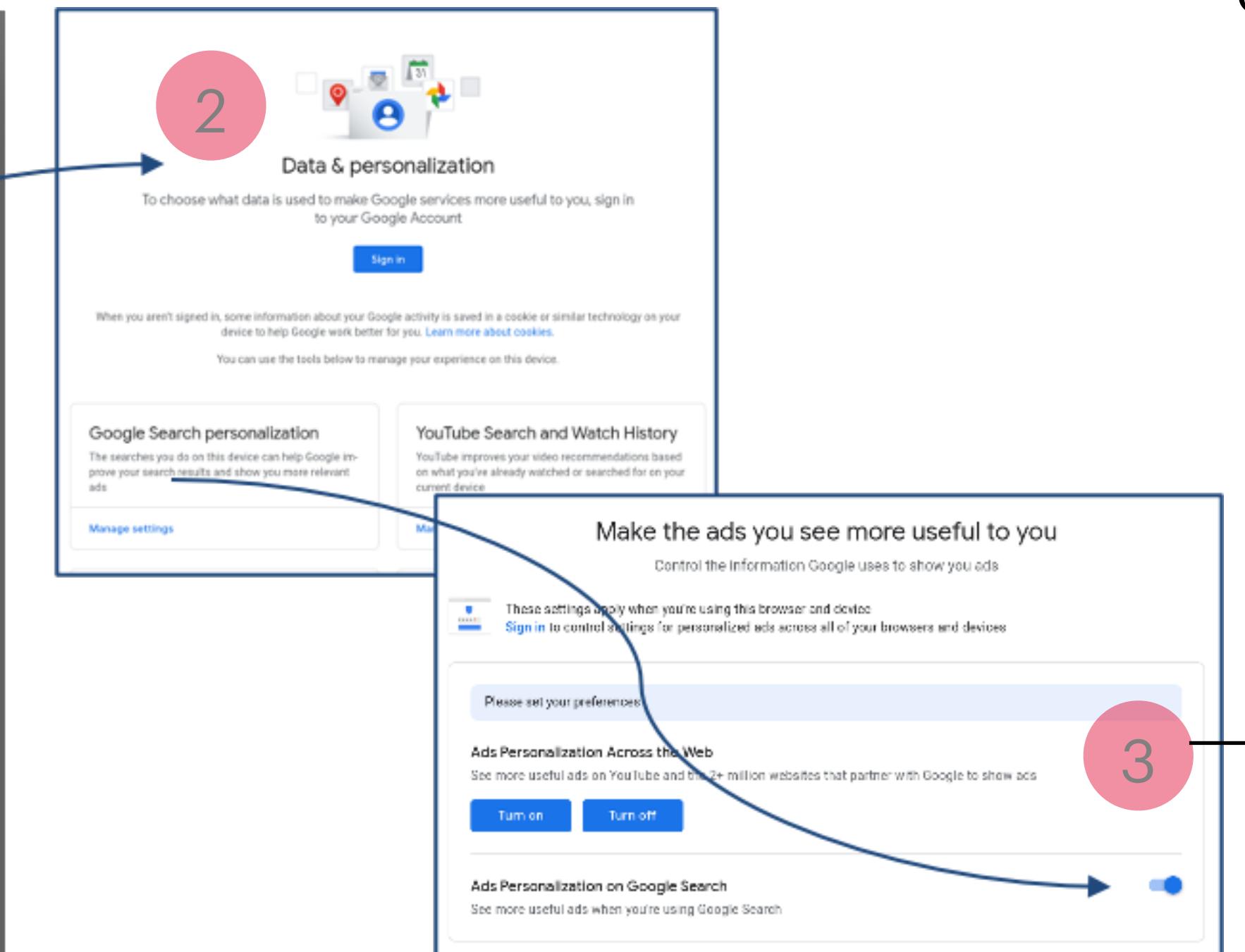
Where this is based on your CONSENT, they need to ask your permission before they can proceed.

Since every website visit collects and uses your personal data, this means there's a notice & consent process every time you visit a website ...





Consent dialogue on <https://google.ie> MAR-14 2021



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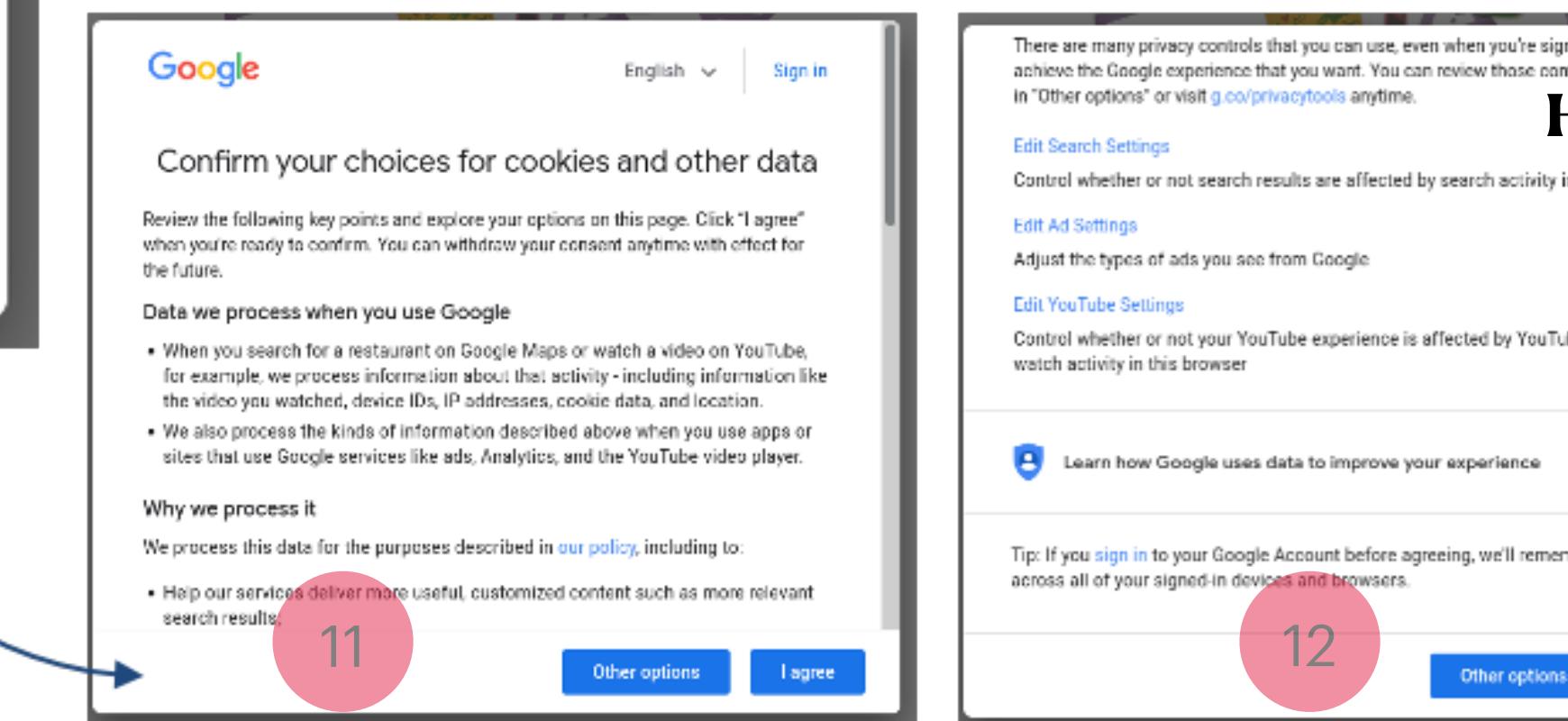
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9

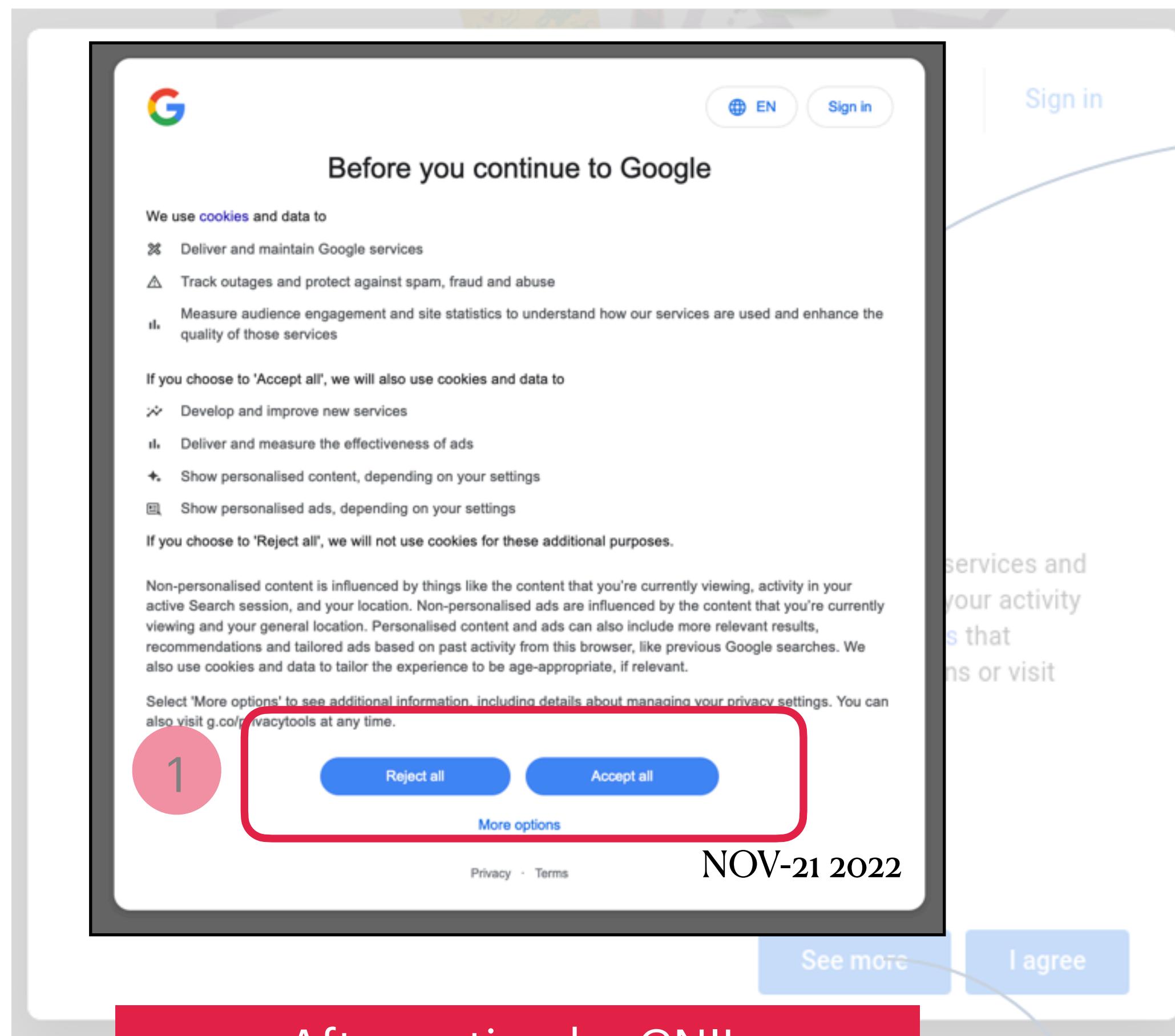
How many clicks to "Accept" ==> 1

How many clicks to "Reject" ==> 3

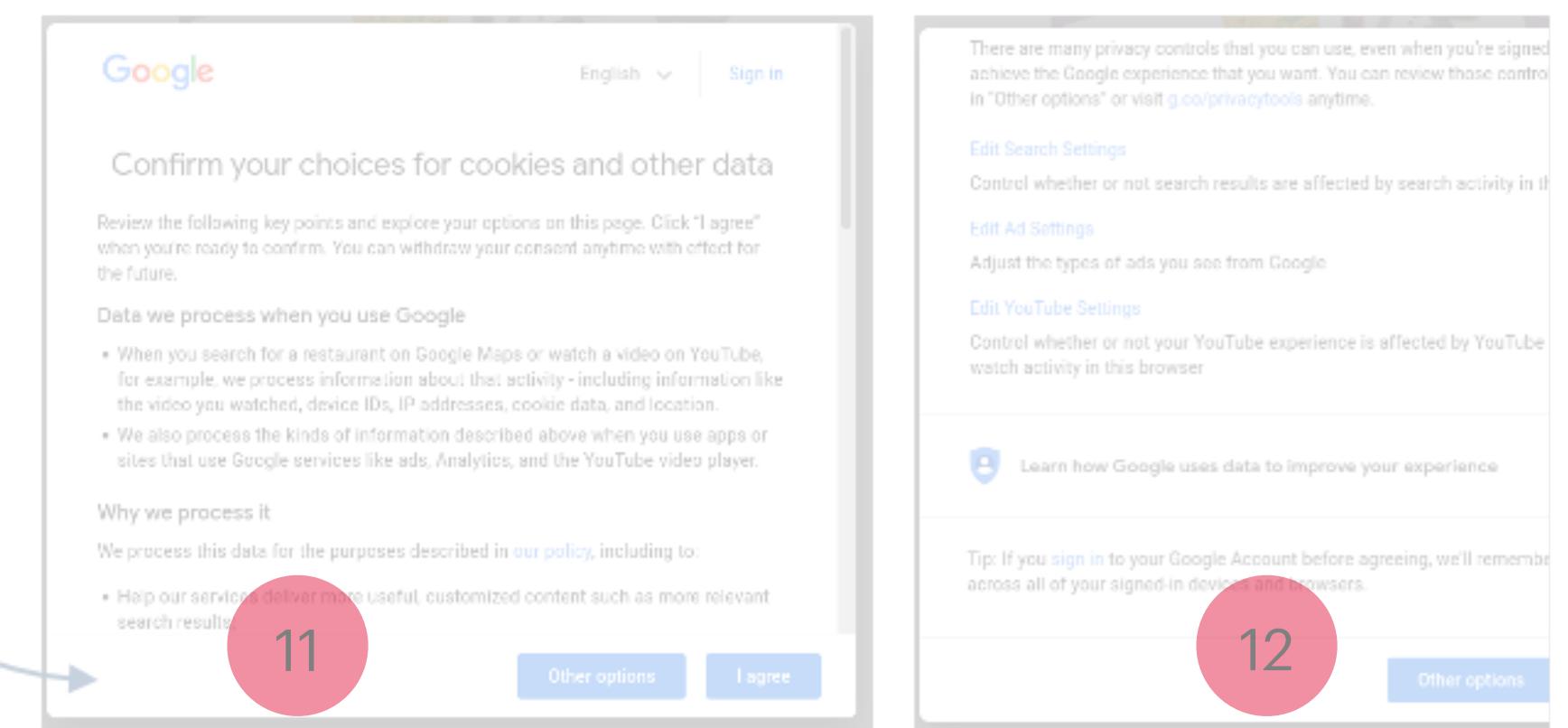
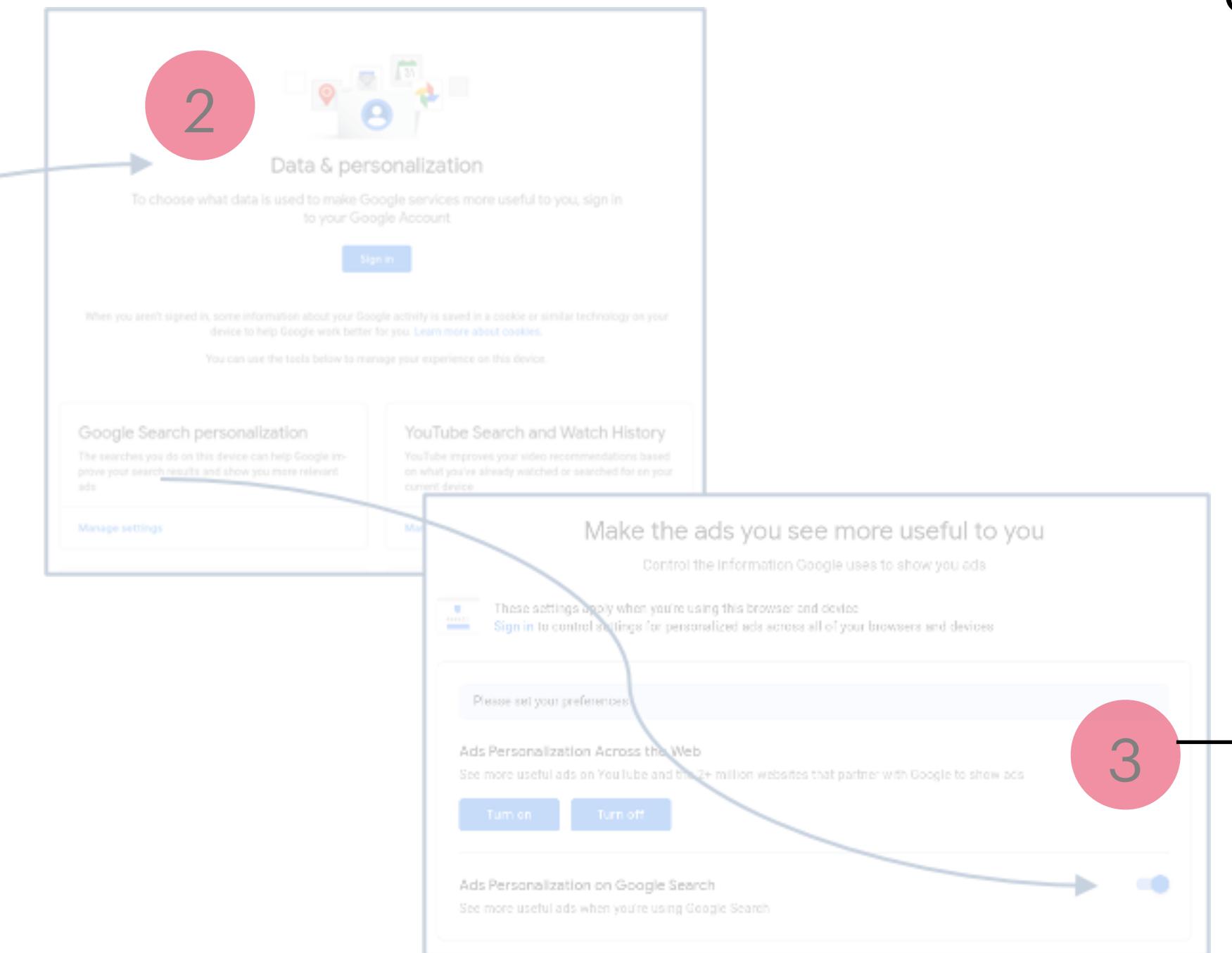
How many clicks to "Truly Reject" ==> 12



Do you think this is:  
LEGAL ?  
ETHICAL ?  
NECESSARY ?



After action by CNIL  
(French Data Protection Authority)



Companies are required to show you a "NOTICE" informing what data they collect and how they use it.

Where this is based on your CONSENT, they need to ask your permission before they can proceed.

Since every website visit collects and uses your personal data, this means there's a notice & consent process every time you visit a website ...

3 → 9

How many clicks to "Accept" ==> 1

How many clicks to "Reject" ==> 2

**Hidden Gotches ? Several**

**Quantcast**

**We value your privacy**

**Data Controller**

**Third Party**

We and our **partners** store and/or access information on a device, such as **cookies** and process personal data, such as **unique identifiers** and standard information sent by a device for **personalised ads** and content, ad and content measurement, and audience insights, as well as to develop and improve products. **Purpose**

**Personal Data Category**

With your permission we and our partners may use **precise geolocation data and identification** through device scanning. You may click to consent to our and our partners' processing as described above. Alternatively you may click to refuse to consent or access more detailed information and change your preferences before consenting.

**Legal Basis = Consent**

Please note that some processing of your personal data may not require your consent, but you have a right to object to such processing. Your preferences will apply to this website only. You can **change your preferences** at any time by returning to this site or visit our privacy policy.

**Right to Withdraw Consent**

**Disagree? Refuse Consent?**

**Options for ...?**

**Agree to statement ? Give Consent ?**

**DISAGREE**

**MORE OPTIONS**

**AGREE**

<https://www.quantcast.com/> THU 17 NOV 2021

What is your first impulse to do here?  
 What button do you think you would have clicked?  
 What button do you think most people click?

GDPR Art 4, 7, 13, 14

Information to be provided in a “Notice”

- Identity of Controller
- Purpose
- Processing Categories
- Personal Data Categories
- Right to Withdraw Consent
- Data Storage Periods
- Data Sharing / Recipients
- Trans-border data flows
- Technical and Org. Measures
- Risks envisioned (sic.)
- Automated Decision Making
- Novel technologies
- Profiling / Surveillance (sic.)

Consent should be:

1. Freely given → without coercion, no obligation
2. Specific → exact and limited in scope
3. Informed → prior knowledge about consequences
4. Unambiguous → clear indication of consenting
5. Revocable/Withdrawable → can be “cancelled”

# Sometimes it outright illegal!!!

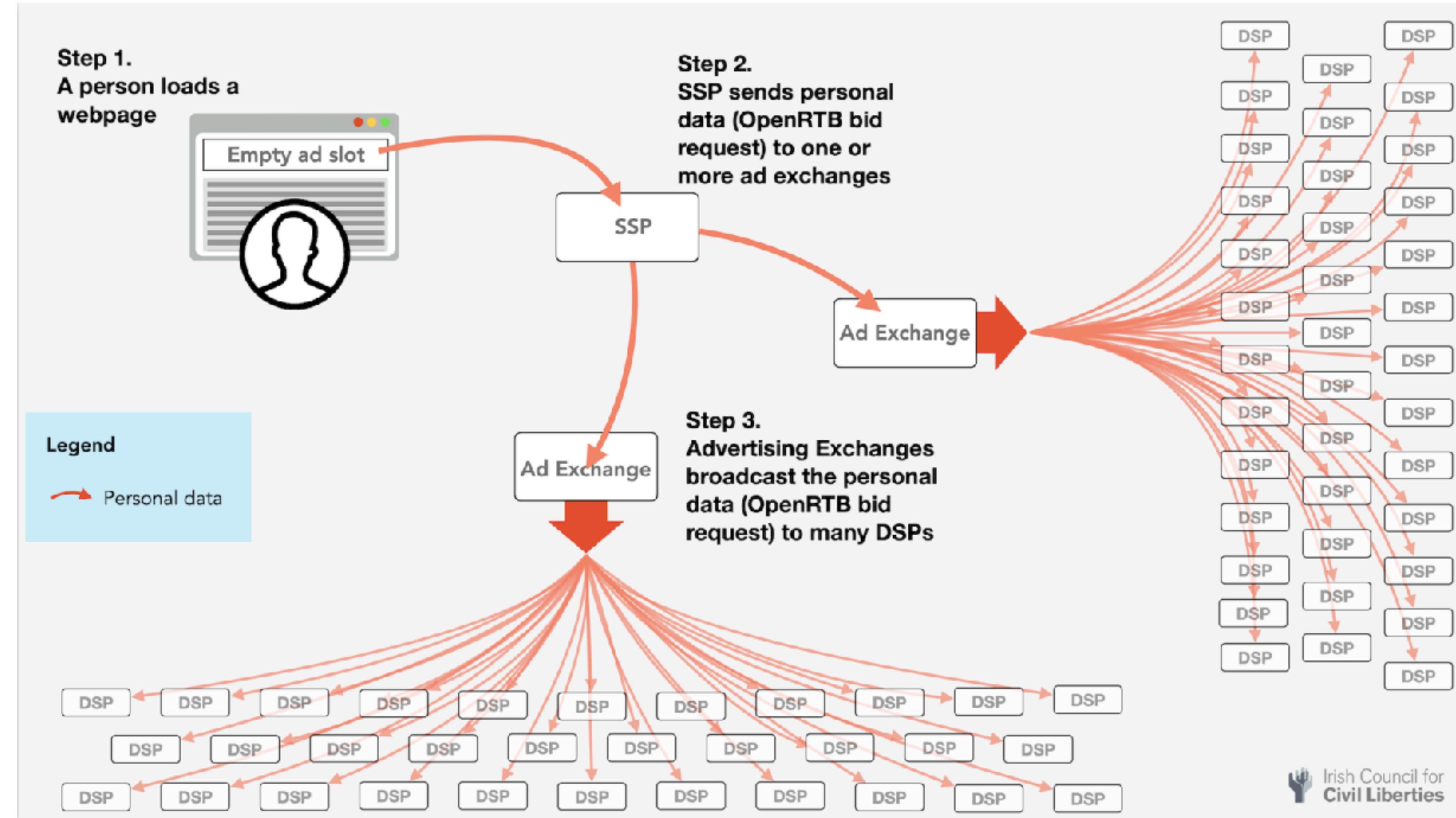
- Consent “assumed” even before you make a choice [1]
- Consent “assumed” even if you click disagree [1]
- Incorrect use of legal base e.g. use Legitimate Interest instead of consent [2]
- Collect consent for ~1000 third parties with a single click [2]
- Make it difficult to withdraw consent [2]
- Keep fighting court cases instead of fixing obviously illegal practices [3]

[1] For example, see Nouwens, Midas, et al. "Dark patterns after the GDPR: Scraping consent pop-ups and demonstrating their influence." *Proceedings of the 2020 CHI conference on human factors in computing systems*. 2020. <https://people.csail.mit.edu/ilaria/papers/Midas-MITCHI2020.pdf>

[2] Matte, Célestin, Natalia Bielova, and Cristiana Santos. "Do cookie banners respect my choice?: Measuring legal compliance of banners from iab europe's transparency and consent framework." *2020 IEEE Symposium on Security and Privacy (SP)*. IEEE, 2020. <https://hal.inria.fr/hal-03117294/document>

[3] See investigation reports and documents published regarding WhatsApp v DPC Ireland and Facebook/Meta v DPC Ireland (2021)

# Personalised Advertising via Real-Time Bidding



<https://www.iccl.ie/digital-data/iab-europe-cant-audit-what-1000-companies-that-use-its-tcf-system-do-with-our-personal-data/>

# Overview of Personalisation Issues

## Key takeaways

- What data is ‘used’ ??? → Transparency
- What data is ‘needed’? What is ‘necessary’? → Data Minimisation
- What are the sources of ‘data’ ? → Transparency
- Is any data ‘sensitive’ ? Is it ‘special’ ? → Ethical Concerns
- Is data (input/output) ‘accurate’ → Accountability
- Is the output configurable ? → Privacy by Design / Default
- Understand distinctions between *Privacy* vs *Security* vs *Identifiability* vs *Control*

# SOLID: A Decentralised Web

<https://solidproject.org/>

## Centralised

- Companies decide how to collect, store data
- Companies decide how/where to use it
- Companies offer you choices and controls

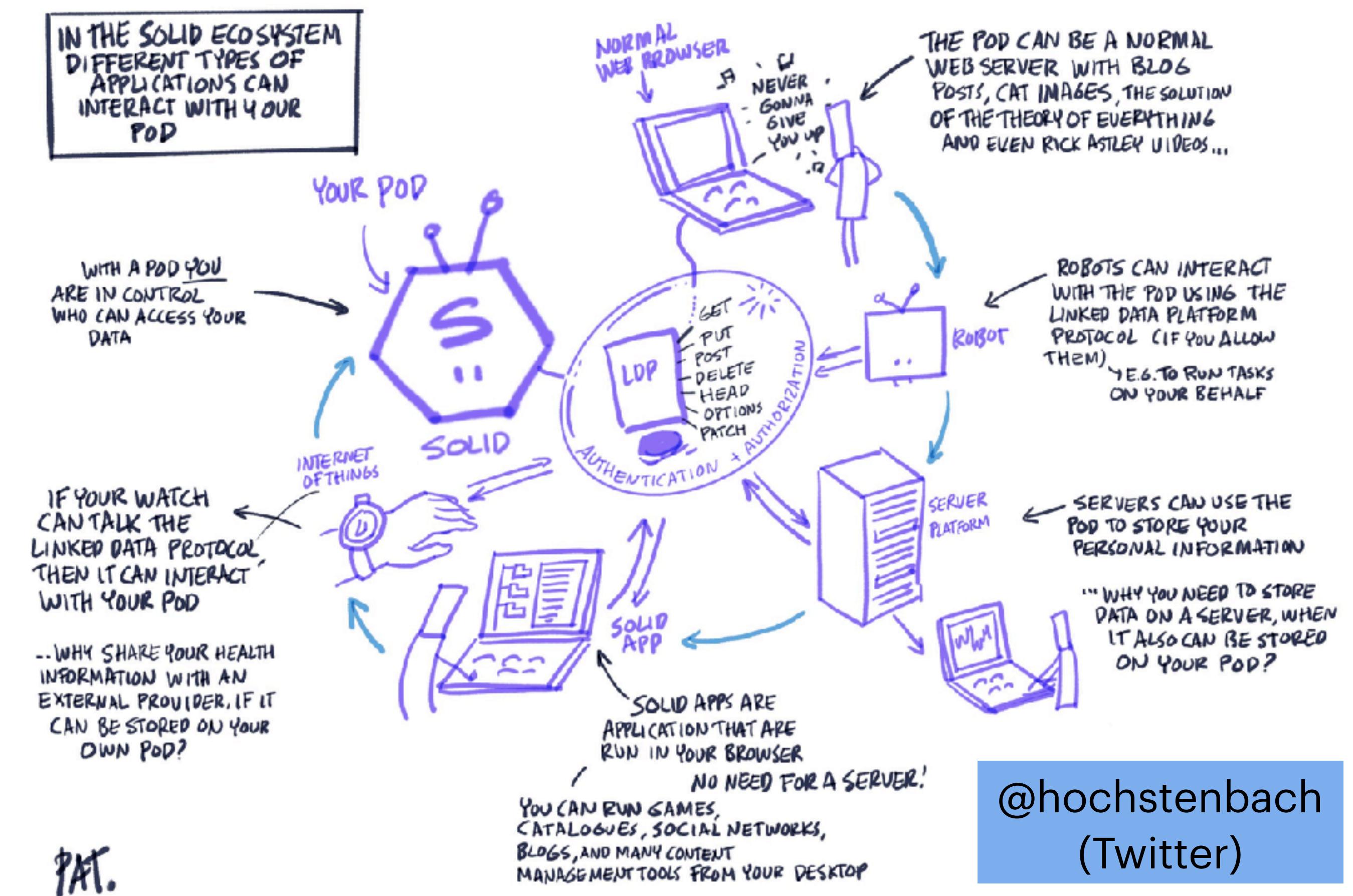
## Decentralised

- You “control” where your data is stored
- You “control” how it is used by apps/services
- You offer choices and controls

## What will SOLID need to work?

- A new way to express privacy and preferences
- User-friendly UI/UX *without dark patterns*
- Legal enforcement to make companies respect negotiation of user preferences and settings

## SOLVEMBER #7 WHAT IS SOLID?



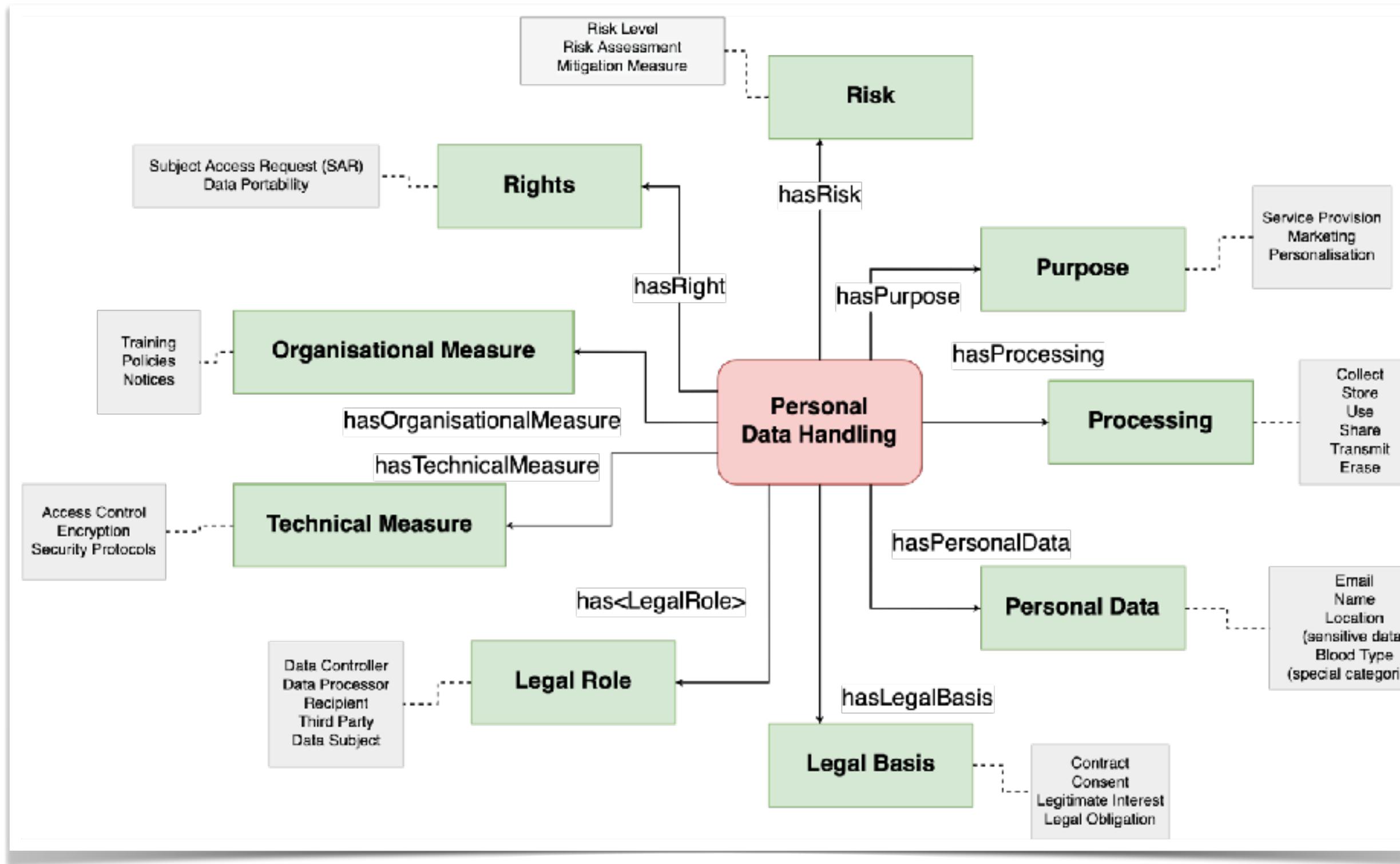
@hochstenbach  
(Twitter)

# What am I working on?

**Privacy Risks, GDPR, Legal Compliance, Semantics**

# Machine-Readable Metadata for Automated Approaches

## Data Privacy Vocabulary (DPV) <https://w3id.org/dpv>



The Data Privacy Vocabulary (DPV) reflects ~5 years of efforts in creating an open resource providing concepts related to personal data processing, privacy, data protection, and GDPR

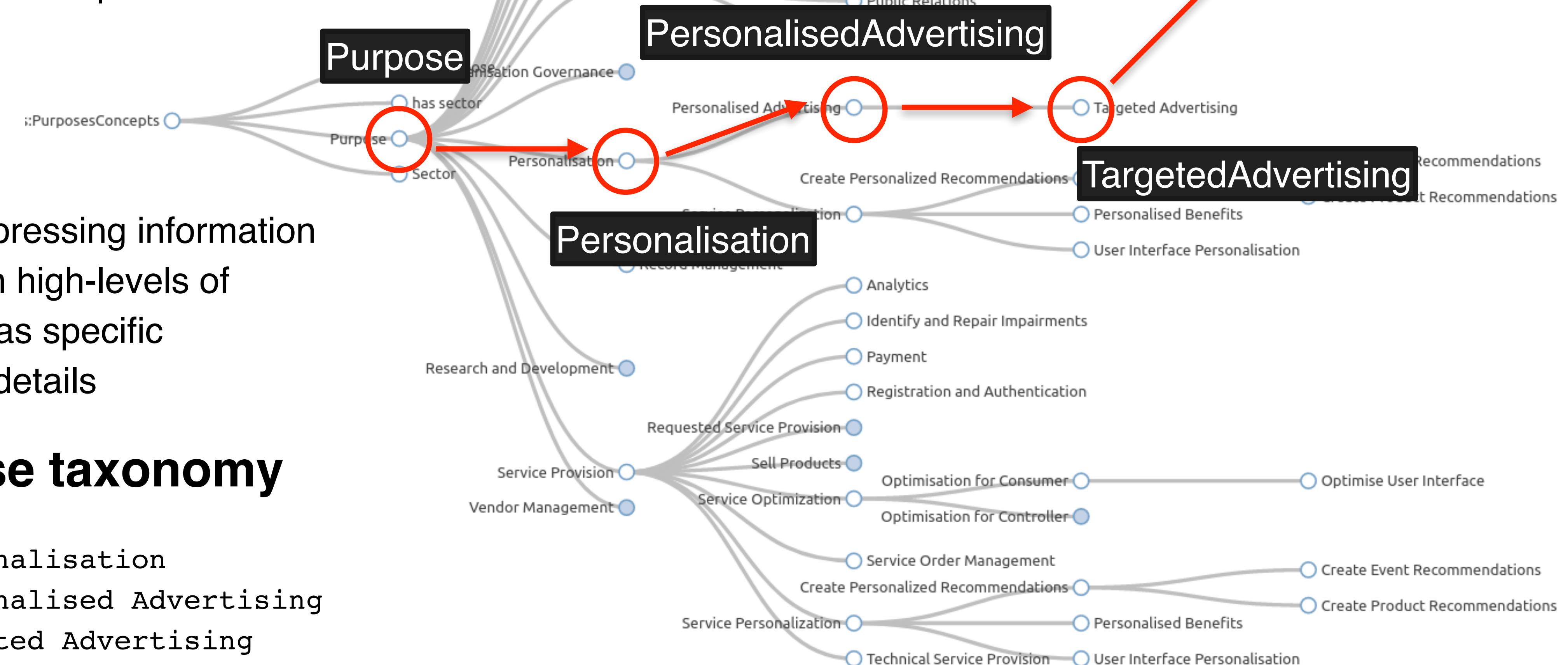
DPV's taxonomies provide semantic interoperability, which enables new, innovative, smart, and automated solutions

Demonstrated usefulness for important use-cases, e.g. ROPA, consent, compliance checking

We're looking to the future! DGA / ePR / AI-Act / Data Spaces

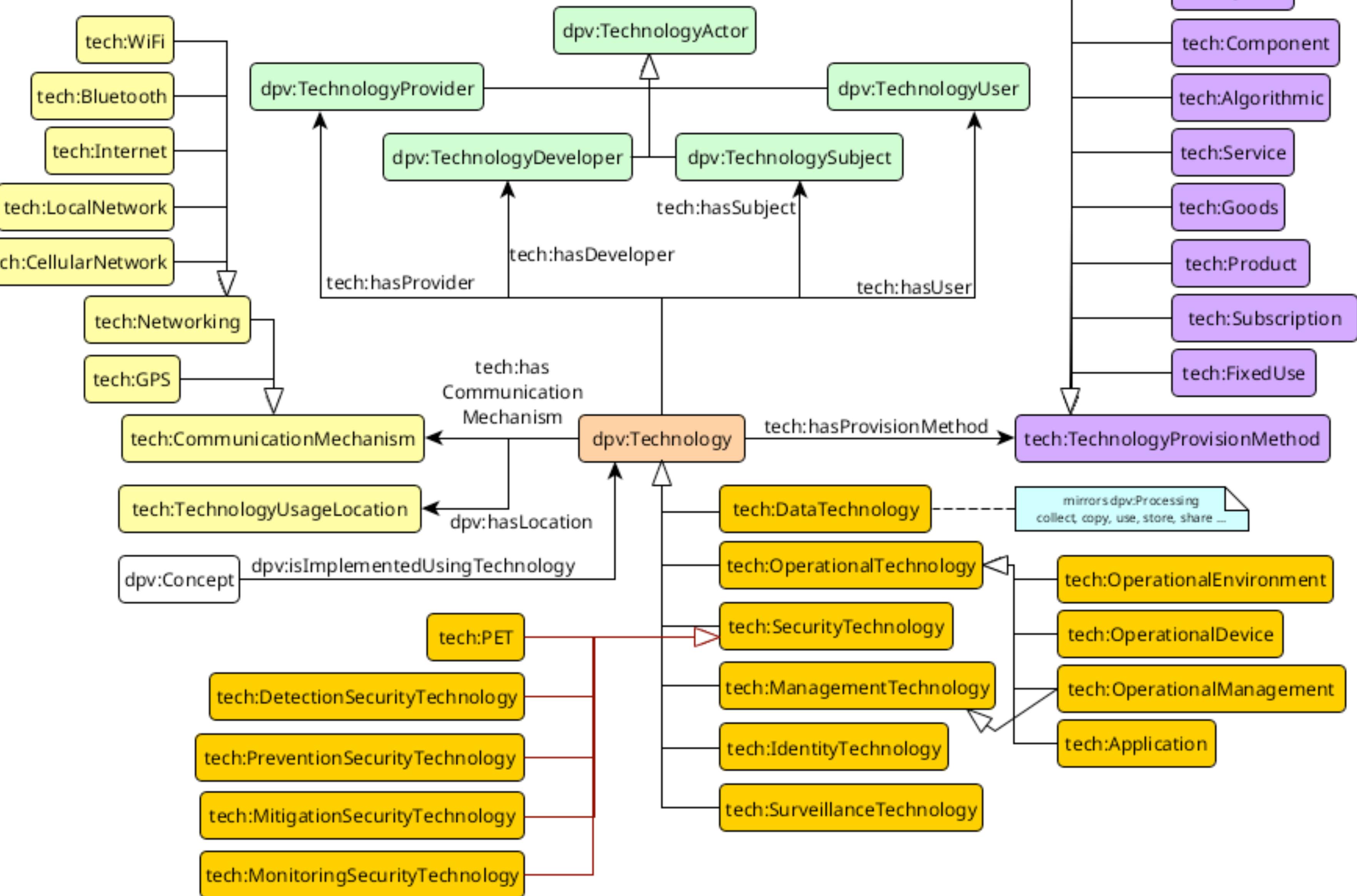
# DPV Taxonomies

DPV provides rich hierarchical trees in top-down fashion that go from abstract to more specific concepts



## E.g. Purpose taxonomy

- Purpose → Personalisation
- Personalised Advertising
- Targeted Advertising



# A ‘Model’ of Technologies

DPV TECH extension  
<https://w3id.org/dpv/tech>

# DPV Applications

## current work

1. Register of Processing Activities (ROPA)
2. Consent Records
3. Compliance Checking
4. Impact Assessments (PIA / DPIA)
5. Data Input/Output Assistance
6. Annotating code / documents
7. Expressing and Evaluating Rules

## work in progress

1. Risk Management
2. Data Breach Records
3. Subject Access Request
4. Data Portability
5. Data Transfers
6. Privacy Policies
7. Standards & Guidelines

# Real-World Use-Cases

## Privacy Policy Analysis

<https://opencourse.adaptcentre.ie/privacy-policy/personalise/demo/policy.html>

### Information We Collect

There are three general categories of information we collect.

data collected from user

#### 1.1 Information You Give to Us.

##### 1.1.1 Information that is necessary for provision of services

We ask for and collect the following personal information about you when you use our service. This information is necessary for the adequate performance of the contract between you and us and to allow us to comply with our legal obligations. Without it, we may not be able to provide you with all the requested services.

data category

data type

- o **Account Information** When you sign up for an account, we require certain information such as your first name, last name, email address, and date of birth.

- o **Profile and Listing Information** To use certain features, we may ask you to provide additional information, which may include your id address, phone number, and a profile picture.

- o **Identity Verification Information** To help create and maintain a trusted environment, we may collect identity verification information (such as images of your government issued ID, passport, national ID card, or driving license, as permitted by applicable laws) or other authentication information.

process

- o **Payment Information** To use certain features of the such as booking, we may require you to provide certain financial information (like your bank account or credit card information) in order to facilitate the processing of payments

consent

##### 1.1.2 Information you choose to give us

You may choose to provide us with additional personal information in order to obtain a better user experience. This additional information



**GDPR**

# Regulating Processing of Personal Data

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