

# Privacy: Conceptual Frameworks

Giulia Fanti

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(Modified from slides by Anupam Datta)

# Administrative

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- ▶ **Waitlist**
  - ▶ I don't control it
  - ▶ Sorry 😞
- ▶ **No recitation on Friday**
- ▶ **HWI will be released on Friday**

# Today

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- ▶ **Fair Information Practices Principles**
  - ▶ ...and case studies of real privacy policies
- ▶ **Philosophical and Legal Studies of Privacy**
  - ▶ ...and some connections to technical work

# Fair Information Principles

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- ▶ Task: Critically read the entire privacy policy of a Web services company.
  1. Try to find one example of a piece of the policy that maps to each principle.
  2. Can you find examples of principles that are not reflected in the policy?
  3. Can you find examples of policy clauses that reflect a principle that is not included in these principles?
  4. Are there policy clauses that could be more restrictive or less restrictive with respect to information use in order to better adhere to the principles?
  5. Are there parts of the policy that are too vague? If so, suggest alternatives.
  6. Are there conflicts in policies of service pairs owned by the same company?

# Fair Information Principles

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## ▶ **Collection Limitation**

- ▶ There should be limits to the collection of personal data and any such data should be obtained by lawful and fair means and, where appropriate, with the knowledge or consent of the data subject.

## ▶ **Data quality principle**

- ▶ Personal data should be relevant to the purposes for which they are to be used, and, to the extent necessary for those purposes, should be accurate, complete and kept up-to-date.

# Fair Information Principles

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## ▶ **Purpose specification**

- ▶ The purposes for which personal data are collected should be specified not later than at the time of data collection and the subsequent use limited to the fulfilment of those purposes or such others as are not incompatible with those purposes and as are specified on each occasion of change of purpose.

## ▶ **Use limitation principle**

- ▶ Personal data should not be disclosed, made available or otherwise used for purposes other than those specified in accordance with Paragraph 9 except: (a) with the consent of the data subject; or (b) by the authority of law.

# Fair Information Principles

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## ▶ **Security safeguards principle**

- ▶ Personal data should be protected by reasonable security safeguards against such risks as loss or unauthorized access, destruction, use, modification or disclosure of data.

## ▶ **Openness principle**

- ▶ There should be a general policy of openness about developments, practices and policies with respect to personal data. Means should be readily available of establishing the existence and nature of personal data, and the main purposes of their use, as well as the identity about usual residence of the data controller.

# Fair Information Principles

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## ▶ **Individual participation principle**

- ▶ An individual should have the right:
  - ▶ (a) to obtain from a data controller, or otherwise, confirmation of whether or not the data controller has data relating to him;
  - ▶ (b) to have communicated to him, data relating to him
    - ▶ within a reasonable time;
    - ▶ at a charge, if any, that is not excessive;
    - ▶ in a reasonable manner; and
    - ▶ in a form that is readily intelligible to him;
  - ▶ (c) to be given reasons if a request made under subparagraphs (a) and (b) is denied, and to be able to challenge such denial



# Fair Information Principles

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- ▶ (d) to challenge data relating to him and, if the challenge is successful, to have the data erased; rectified, completed or amended.

- ▶ **Accountability principle**

- ▶ A data controller should be accountable for complying with measures which give effect to the principles stated above.

# Fair Information Principles

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# Examples from Students:

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- ▶ See Google doc for examples:
  - ▶ <https://docs.google.com/spreadsheets/d/IRyo-94NjTROkhvGgXF8X462Khf3rPMuFcrf44-ogHs/edit?usp=sharing>

# Failure of FIPPs

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By Fred Cate

[http://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=1156972](http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1156972)

- ▶ Reduced to only procedural principles (like notice and consent)

So how did we get here?

# Philosophical studies on privacy

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## ▶ Reading

- ▶ Overview article in Stanford Encyclopedia of Philosophy

<http://plato.stanford.edu/entries/privacy/>

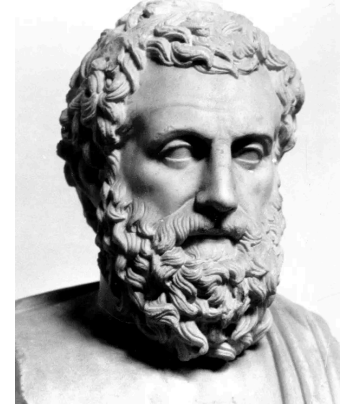
- ▶ Alan Westin, *Privacy and Freedom*, 1967
- ▶ Ruth Gavison, *Privacy and the Limits of Law*, 1980
- ▶ Helen Nissenbaum, *Privacy as Contextual Integrity*, 2004

# Historical View

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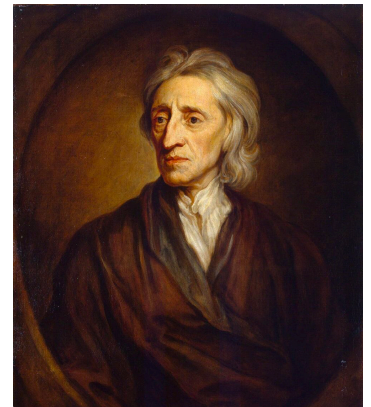
## ▶ Aristotle (~300 BC)

- ▶ Polis – public sphere
- ▶ Oikos – domestic sphere
- ▶ Viewed as distinct spheres



## ▶ John Locke (late 1600s)

- ▶ *Second Treatise on Government*
- ▶ One possesses one's own body
- ▶ Objects that are produced via labor of one's own body also belong to ourselves

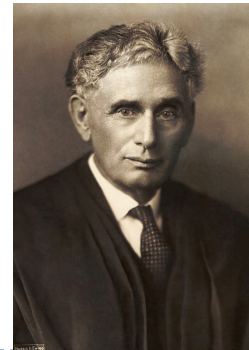


# “The Right to Privacy”

## Samuel Warren and Louis Brandeis (1890)

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- ▶ “The right to be let alone”
- ▶ Key argument: Existing law affords a way to protect the privacy of individuals
- ▶ Focus on impact of new technologies
  - ▶ Photography
  - ▶ Newspapers
- ▶ Not protecting the information itself, but people’s *right to feel protected*





# William Prosser (1960)

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- ▶ Right to privacy upheld in tort law for next 70 yrs
- ▶ Key argument: Four privacy rights have emerged
  - ▶ Intrusion upon a person's seclusion or solitude, or into his private affairs.
  - ▶ Public disclosure of embarrassing private facts about an individual.
  - ▶ Publicity placing one in a false light in the public eye.
  - ▶ Appropriation of one's likeness for the advantage of another
- ▶ Argued that Brandeis and Warren focused on item (2)
- ▶ Three unresolved issues:
  - ▶ Does appearance in public forfeit right to privacy?
  - ▶ Can parts of public records be private?
  - ▶ Does time elapsed affect right to privacy?

# The Constitutional Right to Privacy (1965)

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- ▶ Way back in the 60's...
  - ▶ Director of Planned Parenthood and Yale med school doctor were convicted
  - ▶ ... of disseminating contraceptive information to married people
- ▶ **Griswold vs. Connecticut (1965)**
  - ▶ Supreme court overturned conviction
  - ▶ Chief Justice Douglas: “protecting a zone of privacy covering the social institution of marriage and the sexual relations of married persons”
- ▶ **Hugely influential! This led to:**
  - ▶ Overturned ban on interracial marriage
  - ▶ Dissemination of contraceptives to married and single people
  - ▶ People being allowed to possess obscene material in their homes
  - ▶ Defense of abortion in Roe v. Wade
- ▶ Generally viewed as protecting one's right to make decisions about own family, life, and lifestyle
  - ▶ Idea has spread to non-US countries too (mainly in Europe)
- ▶ Arguments about where/to what this right applies

# Alan Westin (1967)

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- ▶ Privacy and control over information
- ▶ Privacy is useful because: it gives individuals
  - ▶ Preservation of autonomy
  - ▶ Release from role-playing
  - ▶ Time for self-evaluation and protected communication
- ▶ “Privacy is the claim of individuals, groups or institutions to determine for themselves when, how, and to what extent information about them is communicated to others”
- ▶ Advocates for prohibiting surveillance, except in the case of national security and major crimes
- ▶ Relevant when you give personal information to a web site; agree to privacy policy posted on web site
- ▶ May not apply to your personal health information

# Two common views of privacy

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Control over one's  
own **information**

Control over one's  
own **actions**

# “Privacy and the Limits of Law”

## Gavison 1980

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- ▶ Privacy as limited access to self (a private sphere)

“A loss of privacy occurs as others obtain information about an individual, pay attention to him, or gain access to him. These three elements of *secrecy*, *anonymity*, and *solitude* are distinct and independent, but interrelated, and the complex concept of privacy is richer than any definition centered around only one of them.”

- ▶ Basis for database privacy definition discussed later

# “Privacy and the Limits of Law”

## Gavison 1980

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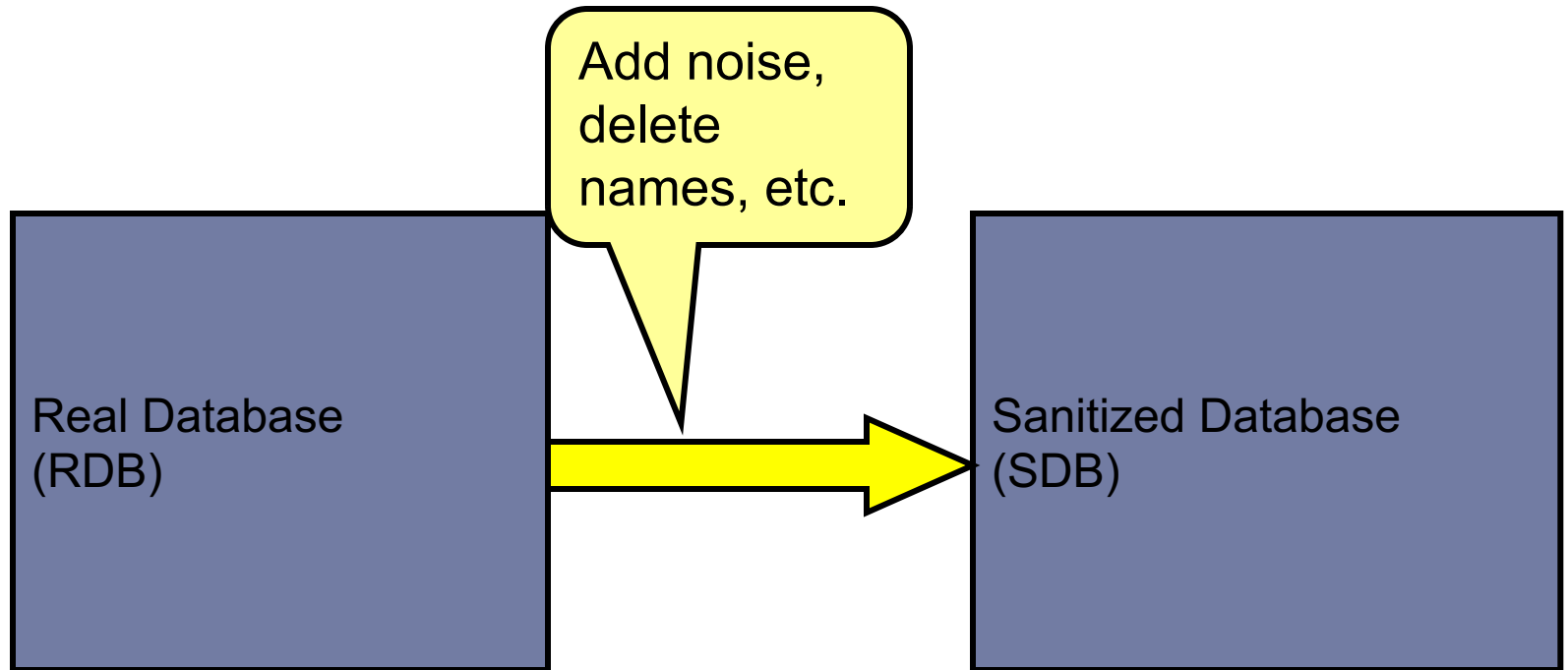
- ▶ On utility

“We start from the obvious fact that both perfect privacy and total loss of privacy are undesirable. Individuals must be in some intermediate state – a balance between privacy and interaction ... Privacy thus cannot be said to be a value in the sense that the more people have of it, the better.”

- ▶ This balance between privacy and utility will show up in data privacy as well as in privacy policy languages, e.g. health data could be shared with medical researchers

# A Connection to Database Privacy

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Health records

Census data

Protect privacy

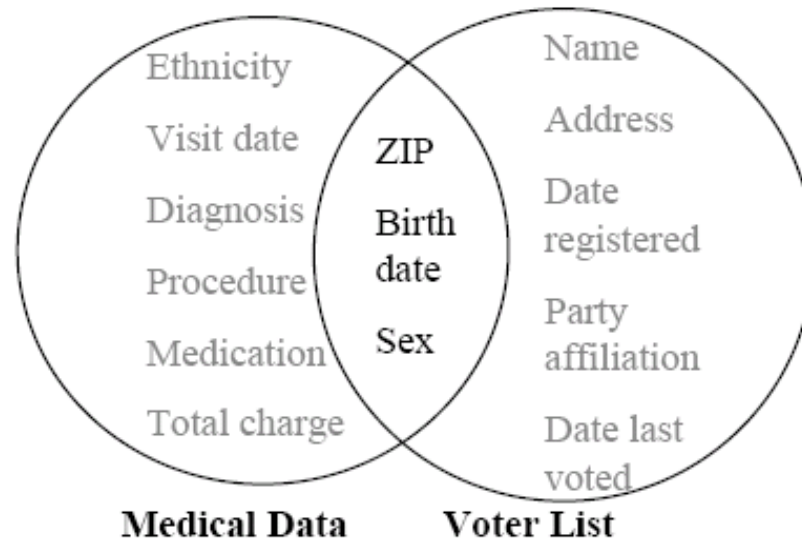
Provide useful  
information  
(utility)

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# Re-identification by linking

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Linking two sets of data on shared attributes may uniquely identify some individuals:



Examples:

- ▶ [Sweeney] Medical data
- ▶ 87% of US population uniquely identifiable by 5-digit ZIP, sex, dob
- ▶ [Acquisti]: Facebook study



# K-anonymity

	Non-Sensitive			Sensitive
	Zip Code	Age	Nationality	Condition
1	13053	28	Russian	Heart Disease
2	13068	29	American	Heart Disease
3	13068	21	Japanese	Viral Infection
4	13053	23	American	Viral Infection
5	14853	50	Indian	Cancer
6	14853	55	Russian	Heart Disease
7	14850	47	American	Viral Infection
8	14850	49	American	Viral Infection
9	13053	31	American	Cancer
10	13053	37	Indian	Cancer
11	13068	36	Japanese	Cancer
12	13068	35	American	Cancer

Figure 1. Inpatient Microdata

	Non-Sensitive			Sensitive
	Zip Code	Age	Nationality	Condition
1	130**	< 30	*	Heart Disease
2	130**	< 30	*	Heart Disease
3	130**	< 30	*	Viral Infection
4	130**	< 30	*	Viral Infection
5	1485*	≥ 40	*	Cancer
6	1485*	≥ 40	*	Heart Disease
7	1485*	≥ 40	*	Viral Infection
8	1485*	≥ 40	*	Viral Infection
9	130**	3*	*	Cancer
10	130**	3*	*	Cancer
11	130**	3*	*	Cancer
12	130**	3*	*	Cancer

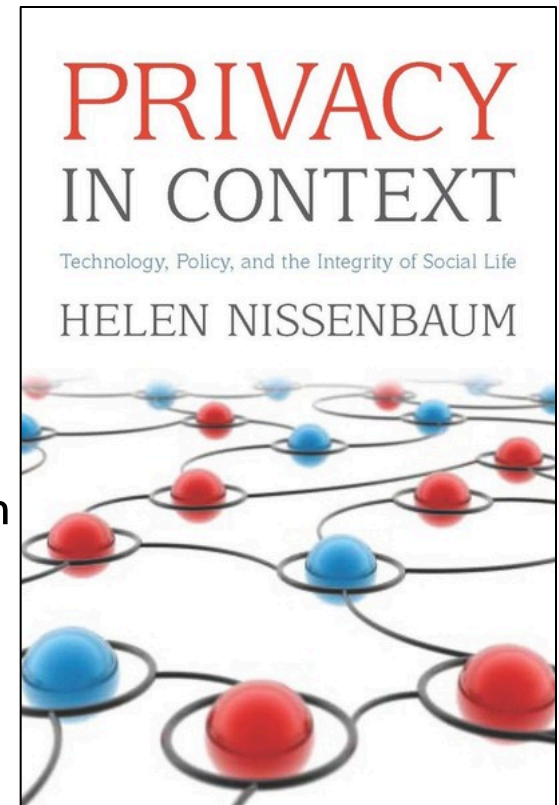
Figure 2. 4-anonymous Inpatient Microdata

# Contextual Integrity

[Nissenbaum 2004]

## PRIVACY AS CONTEXTUAL INTEGRITY

- ▶ Philosophical framework for privacy
- ▶ Central concept: *Context*
  - ▶ Examples: Healthcare, banking, education
- ▶ What is a context?
  - ▶ *Set of interacting agents in roles*
    - ▶ Roles in healthcare: doctor, patient, ...
  - ▶ *Informational norms*
    - ▶ Doctors should share patient health information as per the HIPAA rules
    - ▶ Norms have a specific structure (descriptive theory)
  - ▶ *Purpose*
    - ▶ Improve health
    - ▶ Some interactions should happen - patients should share personal health information with doctors



# Informational Norms

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“In a context, the flow of information of a certain type about a subject (acting in a particular capacity/role) from one actor (could be the subject) to another actor (in a particular capacity/role) is governed by a particular transmission principle.”

Contextual Integrity [Nissenbaum2004]



# Privacy Regulation Example (Gramm-Leach-Bliley Act, 1999)

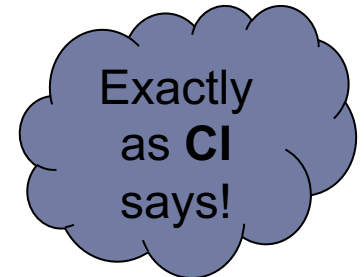
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Sender role

Subject role

Financial institutions must notify consumers  
if they share their non-public personal **Attribute**  
information with non-affiliated companies, **Recipient role**  
*but the notification may occur either before  
or after the information sharing occurs*

**Transmission principle**



# Global differences (Newman, 2008)

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- ▶ **U.S., several Asian countries developed limited system**
  - ▶ Self-regulation by industry, government
  - ▶ Motivating theme: *industry cannot thrive without the freedom to access data*
  - ▶ Patchwork legislation
- ▶ **Europe developed comprehensive system**
  - ▶ Consumer protection, often at the expense of industry interests
  - ▶ Motivating theme: *people will not participate in the economy unless they believe their interests are being protected*
- ▶ **EU Data Protection Initiative (1995) now adopted by 27 EU nations**
  - ▶ Spread to much of industrialized world, except US

# Privacy Laws in the US

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- ▶ **Privacy Act of 1974**
  - ▶ FIPP Principles for collection, use, dissemination of PII by federal agencies
  - ▶ Exceptions: Census, law enforcement, “routine uses in gov’t agency”
- ▶ **HIPAA (Health Insurance Portability and Accountability Act, 1996)**
  - ▶ Protecting personal health information
- ▶ **GLBA (Gramm-Leach-Bliley-Act, 1999)**
  - ▶ Protecting personal information held by financial service institutions
- ▶ **COPPA (Children’s Online Privacy Protection Act, 1998)**
  - ▶ Protecting information posted online by children under 13
- ▶ **FOIA (Freedom of Information Act, 1966)**
  - ▶ Requires full or partial disclosure of previously unreleased information controlled by US government
  - ▶ Not explicitly privacy-related... why did I include it?
- ▶ **“Respect for Context” included in Consumer Privacy Bill of Rights 2012**

# Consumer Privacy Bill of Rights 2012

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<http://www.whitehouse.gov/sites/default/files/privacy-final.pdf>

- ▶ **Respect for Context:** Consumers have a right to expect that companies will collect, use, and disclose personal data in ways that are consistent with the context in which consumers provide the data.
- ▶ **Accountability:** Consumers have a right to have personal data handled by companies with appropriate measures in place to assure they adhere to the Consumer Privacy Bill of Rights.

# Tasks before next class (1 / 2)

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- ▶ Read the HIPAA Privacy Rule

Summary of the privacy rule

<https://www.hhs.gov/sites/default/files/privacysummary.pdf>

Full text:

<https://www.hhs.gov/sites/default/files/ocr/privacy/hipaa/administrative/combined/hipaa-simplification-201303.pdf>

- ▶ Think about at least these questions:
  - ▶ What are the common concepts in the 80+ clauses of the privacy rule?
  - ▶ How would you categorize the clauses?
  - ▶ How are the clauses combined to form the entire rule?



# Tasks before next class (2/2)

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- ▶ Try to request your data from a service provider
  - ▶ Social media
  - ▶ Cellular provider
  - ▶ Government agency
  - ▶ Alternative: Prepare a FOIA Request (to be submitted to instructors)
- ▶ If you are requesting your own data:
  - ▶ Can you delete it?
  - ▶ What is the process like?
- ▶ Share updates with the class
  - ▶ This may take a while

**Despite promises to stop, US cell carriers are still selling your real-time phone location data**

Zack Whittaker [@zackwhittaker](#) / 9:30 am EST • January 9, 2019

 Comment