## **ETICHIS & PRIVACY**

#### Anna Monreale

Università di Pisa



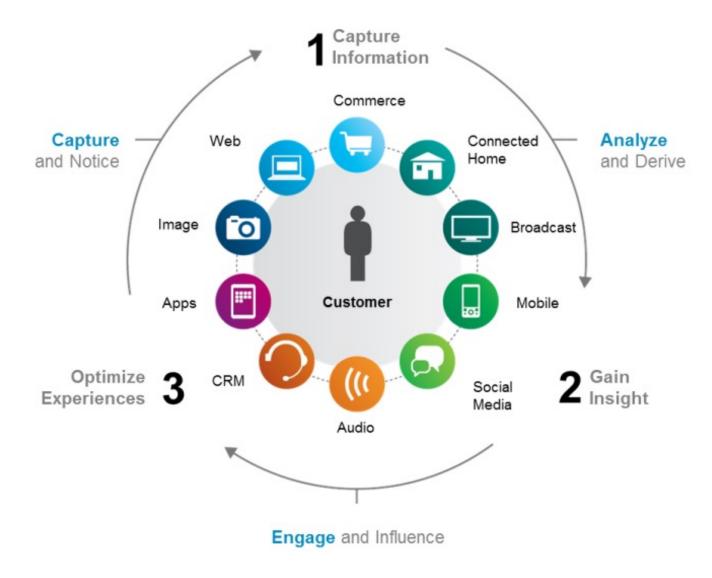
Knowledge Discovery and Delivery Lab (ISTI-CNR & Univ. Pisa) www-kdd.isti.cnr.it

### Our digital traces ....

- We produce an unthinkable amount of data while running our daily activities.
- How can we manage all these data? Can we get an added value from them?

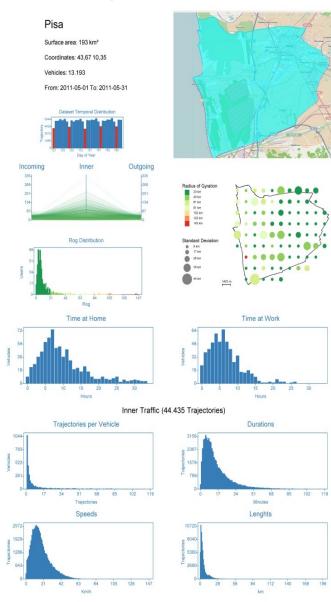


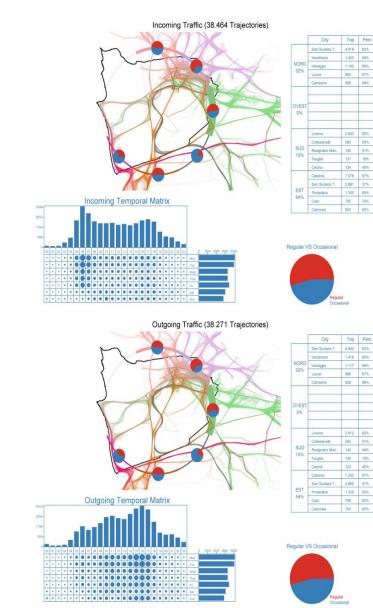
## Big Data: new, more carefully targeted financial services



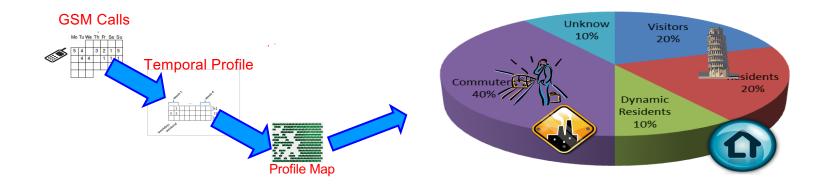
#### Mobility atlas of many cities

119



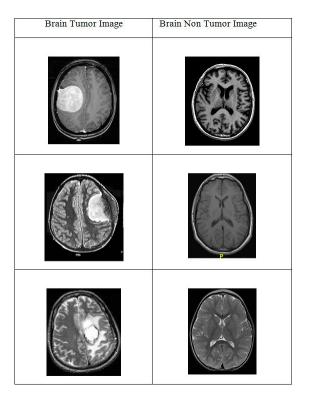


# A Sociometer based on Mobile Phone Data for Real Time Demographics





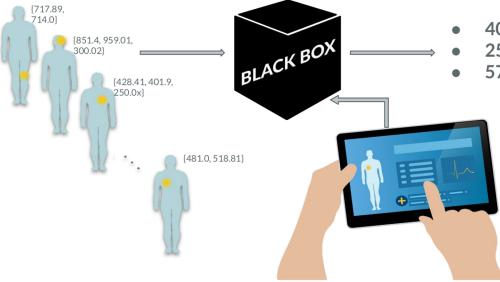
### AI in healthcare





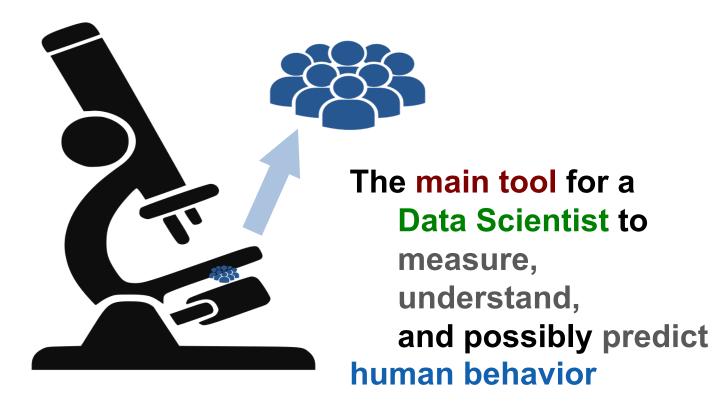


#### AI in healthcare



- 401.0, Hypertension
- 250.0x, Diabetes
- **571.8**, Nonalcoholic liver disease

AI, Big Data Analytics & Social Mining



#### Artificial Intelligence: what is it now?

From encoding intelligent behavior

## To **discovery** and **capture** intelligent behavior from **data**

Especially (but not only) personal data



- Learning from many examples
- Provide support for decision making
  - Enabling nowcasting, what-if simulations based on big data analytics & modeling

#### Learning from experience

- Data mining & machine learning + big data are the fulcrum of AI
- Big data = record the (human) experience
- IoT will facilitate this trend

## Data Scientist needs to take into account ethical and legal aspects and social impact of data science & Al



## EU Ethics Guidelines for AI – (2019)

Human-centric approach: Al as a means, not an end

Trustworthy AI as our foundational ambition, with three components



## Requirements

#### 1. Human agency and oversight

- Fundamental rights
- Human agency
- Human oversight

#### 2. Technical robustness

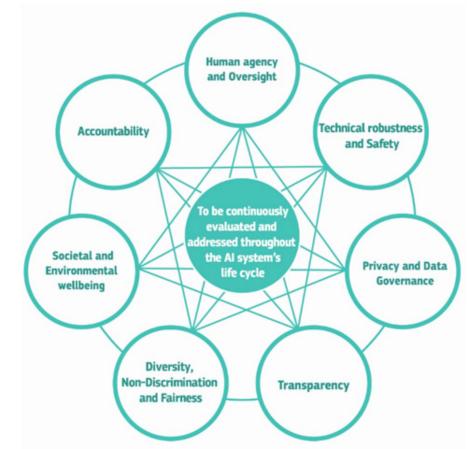
- Resilience to attack and security
- Safety
- Accuracy
- Reliability and reproducibility

#### 3. Privacy and data governance

- Privacy and data protection
- Quality and integrity of data
- Access to data

#### 4. Transparency

- Traceability
- Explainability



## Requirements

#### 5. Diversity, non-discrimination and fairness

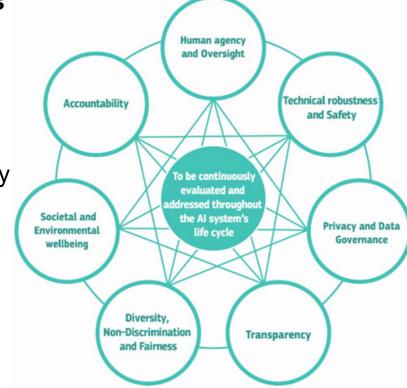
- Avoidance of unfair bias
- Accessibility and universal design
- Stakeholder Participation

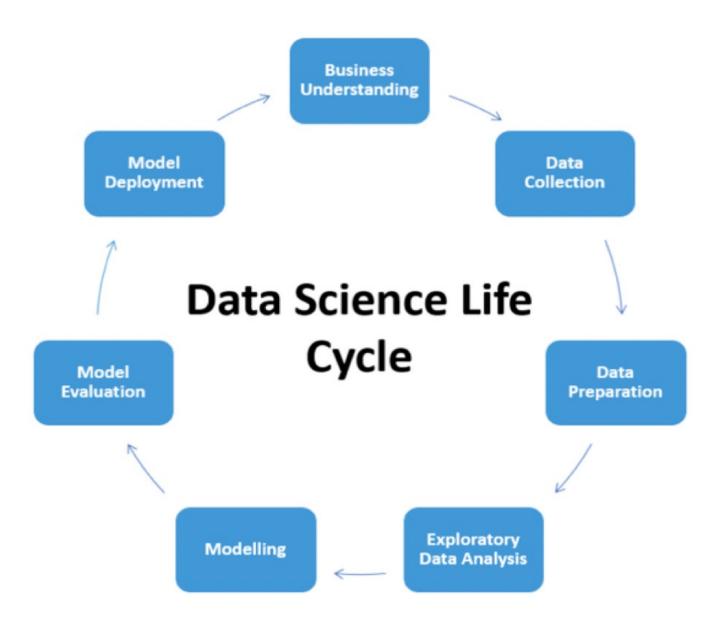
#### 6. Societal and environmental well-being

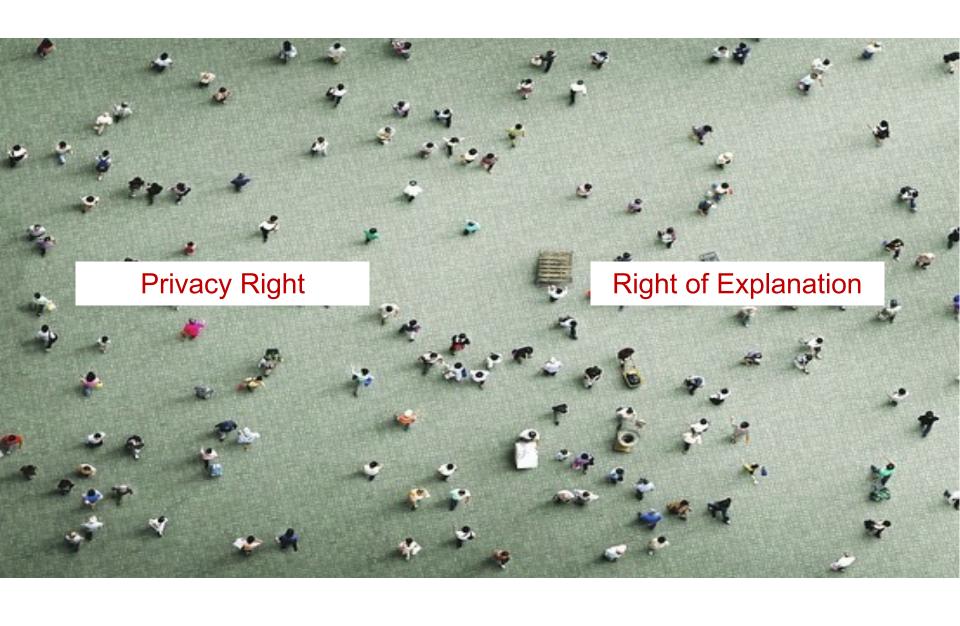
- Sustainable and environmentally friendly AI
- Social impact
- Society and Democracy

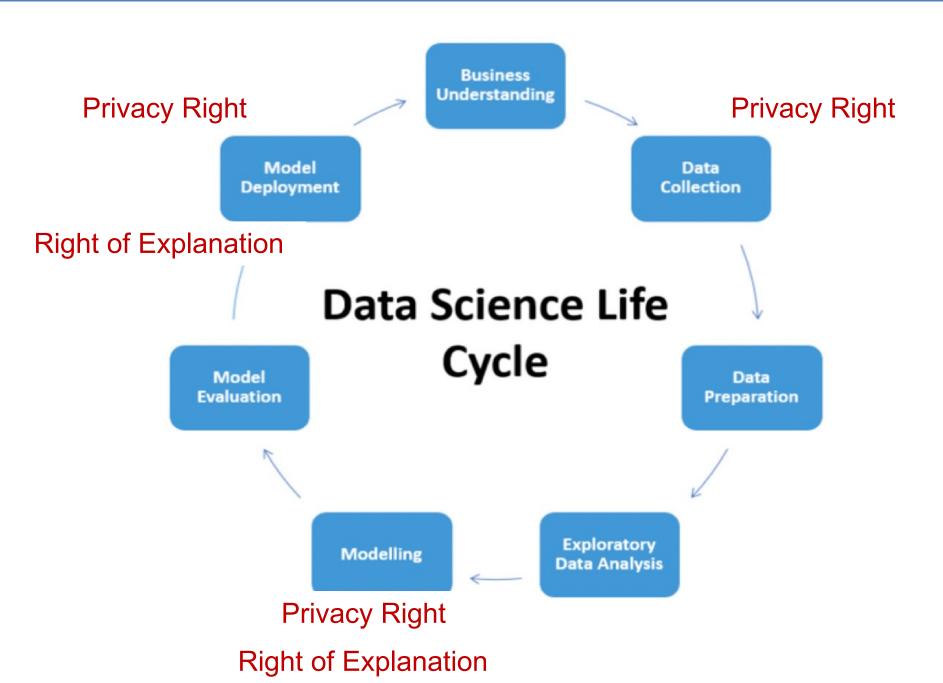
#### 7. Accountability

- Minimisation and reporting of negative impacts
- Auditability
- Minimisation and reporting of negative impacts
- Trade-offs









PRIVACY & DATA PROTECTION

#### EU Legislation for protection of personal data

- European directives:
  - Data protection directive (95/46/EC)
  - ePrivacy directive (2002/58/EC) and its revision (2009/136/EC)
- General Data Protection Regulation (May 2018) <u>http://eur-lex.europa.eu/legal-</u> <u>content/EN/TXT/HTML/?uri=CELEX:32016R0679&from=IT</u>

#### **EU: Personal Data**

- Personal data is defined as any information relating to an identity or identifiable natural person.
- An identifiable person is one who can be identified, directly or indirectly, in particular by reference to an identification number or to one or more factors specific to his physical, physiological, mental, economic, cultural or social identity.

#### **Personal Data**

- Your name
- Home address
- Photo
- Email address
- Bank details
- Posts on social networking websites
- Medical information,
- Computer or mobile IP address
- Mobility traces

. . . . . . . . .

## **Sensitive Data**

- Sensitive personal data is a specific set of "special categories" that must be treated with extra security
  - Racial or ethnic origin
  - Political opinions
  - Religious or philosophical beliefs
  - Trade union membership
  - Genetic data
  - Biometric data

#### EU Directive (95/46/EC) and GDPR

#### • GOALS:

- protection protection of individuals with regard to the processing of personal data
- the free movement of such data
- User control on personal data
- The term "process" covers anything that is done to or with personal data:
  - collecting
  - recording
  - organizing, structuring, storing
  - adapting, altering, retrieving, consulting, using
  - disclosing by transmission, disseminating or making available, aligning or combining, restricting, erasing, or destroying data.

#### Anonymity according to 1995/46/EC

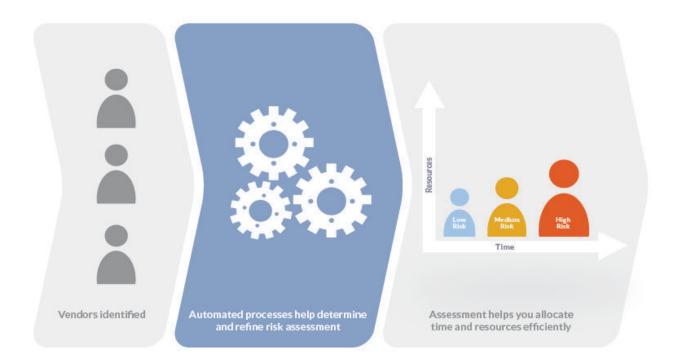
- The principles of protection must apply to any information concerning an identified or identifiable person;
- To determine whether a person is identifiable, account should be taken of all the means likely reasonably to be used either by the controller or by any other person to identify the said person
- The principles of protection shall not apply to data rendered anonymous in such a way that the data subject is no longer identifiable

## **Privacy by Design Principle**

- Privacy by design is an approach to protect privacy by inscribing it into the design specifications of information technologies, accountable business practices, and networked infrastructures, from the very start
- Developed by Ontario's Information and Privacy Commissioner, Dr. Ann Cavoukian, in the 1990s
  - as a response to the growing threats to online privacy that were beginning to emerge at that time.

#### **Privacy Risk Assessment**

 GDPR requires that data controllers maintain an updated report on the privacy risk assessment on perosnal data collected



# PSEUDONYMIZATION & ANONYMIZATION

#### **Anonymization vs Pseudonimization**

- Pseudonymization and Anonymization are two distinct terms often confused
- Anonymized data and pseudonymized data fall under very different categories in the regulation
- Anonymization guarantees data protection against the (direct and indirect) data subject re-identification
- Pseudonymization substitutes the identity of the data subject in such a way that additional information is required to re-identify the data subject

### **Pseudonymization**

Substitute an identifier with a surrogate value called token



Substitute unique names, fiscal code or any attribute that identifies uniquely individuals in the data

#### **Example of Pseudonymization**

Name	Gender	DoB	ZIP Code	Diagnosis
Anna Verdi	F	1962	300122	Cancro
Luisa Rossi	F	1960	300133	Gastrite
Giorgio Giallo	М	1950	300111	Infarto
Luca Nero	Μ	1955	300112	Emicrania
Elisa Bianchi	F	1965	300200	Lussazione
Enrico Rosa	Μ	1953	300115	Frattura



ID	Gender	DoB	ZIP CODE	DIAGNOSIS
11779	F	1962	300122	Cancro
12121	F	1960	300133	Gastrite
21177	Μ	1950	300111	Infarto
41898	Μ	1955	300112	Emicrania
56789	F	1965	300200	Lussazione
65656	Μ	1953	300115	Frattura

## **Properties of a Surrogate Value**

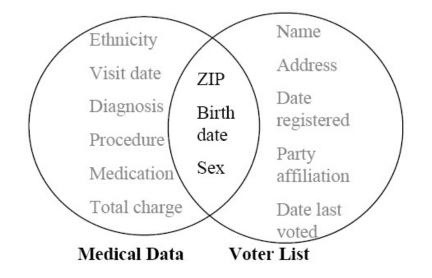
- Irreversible without private information
- Distinguishable from the original value

# Is Pseudonymization enough for data protection?

## Pseudonymized data are still Personal Data!!

#### **Massachussetts' Governor**

- Sweeney managed to re-identify the medical record of the governor of Massachussetts
  - MA collects and publishes sanitized medical data for state employees (microdata) left circle
  - voter registration list of MA (publicly available data) right circle
  - looking for governor's record
  - join the tables:
    - 6 people had his birth date
    - 3 were men
    - 1 in his zipcode



Latanya Sweeney: *k-Anonymity: A Model for Protecting Privacy.* International Journal of Uncertainty, Fuzziness and Knowledge-Based Systems 10(5): 557-570 (2002)

## **Linking Attack**

#### Governor: birth date = 1950, CAP = 300111

ID	Gender	YoB	ZIP	DIAGNOSIS
1	F	1962	300122	Cancer
3	F	1960	300133	Gastritis
2	Μ	1950	300111	Heart Attack
4	Μ	1955	300112	Headache
5	F	1965	300200	Dislocation
6	Μ	1953	300115	Fracture

Which is the disease of the Governor?

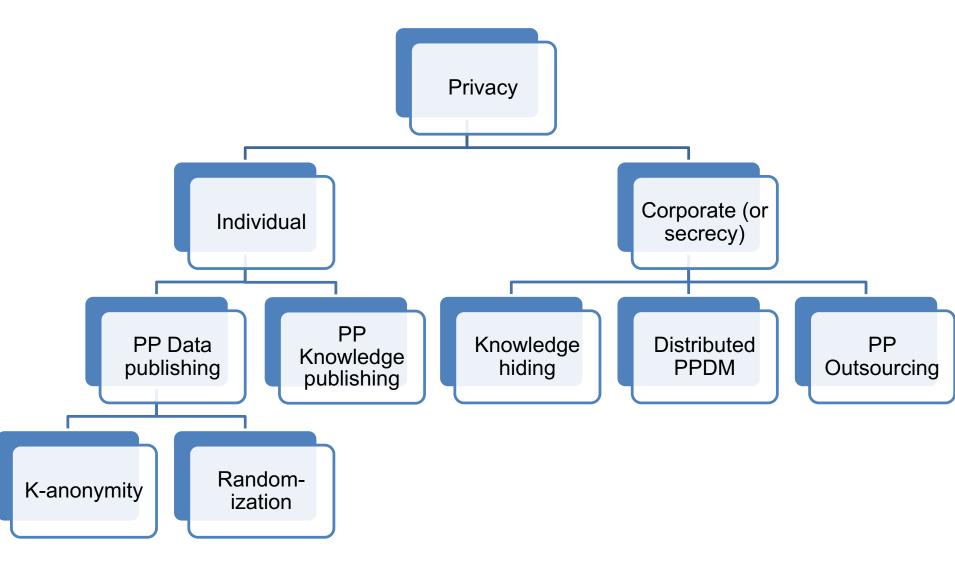
## Making data anonymous

k.anonymiky Governor: Birth Date = 1950, CAP = 300111

ID	Gender	YoB	ZIP	DIAGNOSIS
1	F	[1960-1956]	300***	Cancer
3	F	[1960-1956]	300***	Gastritis
2	М	[1950-1955]	30011*	Heart Attack
4	Μ	[1950-1955]	30011*	Headache
5	F	[1960-1956]	300***	Dislocation
6	М	[1950-1955]	30011*	Fracture

Which is the disease of the Governor?

## **Ontology of Privacy in Data Mining**



## **Attribute classification**

Identifiers	C	Sensitive		
ID	Gender	YoB	ZIP	DIAGNOSIS
1	F	1962	300122	Cancer
3	F	1960	300133	Gastritis
2	Μ	1950	300111	Heart Attack
4	Μ	1955	300112	Headache
5	F	1965	300200	Dislocation
6	М	1953	300115	Fracture

### **K-Anonymity**

- k-anonymity hides each individual among k-1 others
  - each QI set should appear at least k times in the released data
  - linking cannot be performed with confidence > 1/k
- How to achieve this?
  - Generalization: publish more general values, i.e., given a domain hierarchy, roll-up
  - Suppression: remove tuples, i.e., do not publish outliers. Often the number of suppressed tuples is bounded
- Privacy vs utility tradeoff
  - do not anonymize more than necessary
  - Minimize the distortion

## Vulnerability of K-anonymity

ID	Gender	DoB	ZIP	DIAGNOSIS
1	F	1962	300122	Cancer
3	F	1960	300133	Gastritis
2	Μ	1950	300111	Heart Attack
4	Μ	1950	300111	Heart Attack
5	Μ	1950	300111	Heart Attack
6	Μ	1953	300115	Fracture

### /-Diversity

- Principle
  - Each equivalence class has at least / well-represented sensitive values
- Distinct *I*-diversity
  - Each equivalence class has at least / distinct sensitive values

ID	Gender	DoB	ZIP	DIAGNOSIS
1	F	1962	300122	Heart Attack
3	F	1960	300133	Headache
2	Μ	1950	300111	Dislocation
4	М	1950	300111	Fracture
5	Μ	1950	300111	Heart Attack
6	Μ	1953	300115	Headache

## **K-Anonymity**

- Samarati, Pierangela, and Latanya Sweeney. "Generalizing data to provide anonymity when disclosing information (abstract)." In PODS '98.
- Latanya Sweeney: k-Anonymity: A Model for Protecting Privacy. International Journal of Uncertainty, Fuzziness and Knowledge-Based Systems 10(5): 557-570 (2002)
- Machanavajjhala, Ashwin, Daniel Kifer, Johannes Gehrke, and Muthuramakrish- nan Venkitasubramaniam. "*I*-diversity: Privacy beyond *k*-anonymity." *ACM Trans. Knowl. Discov. Data* 1, no. 1 (March 2007): 24.
- Li, Ninghui, Tiancheng Li, and S. Venkatasubramanian. "t-Closeness: Privacy Beyond k-Anonymity and I-Diversity." ICDE 2007.

### Randomization

#### Original values x<sub>1</sub>, x<sub>2</sub>, ..., x<sub>n</sub>

– from probability distribution X (unknown)

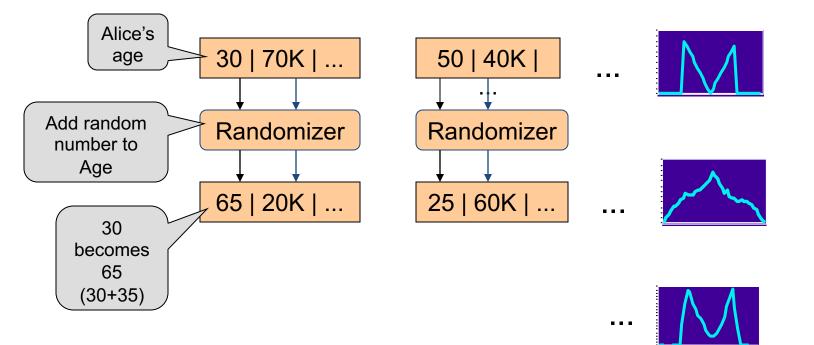
#### • To hide these values, we use $y_1, y_2, ..., y_n$

- from probability distribution Y
  - Uniform distribution between  $[-\alpha, \alpha]$
  - Gaussian, normal distribution with  $\mu = 0, \sigma$
- Given
  - $-x_1+y_1, x_2+y_2, ..., x_n+y_n$
  - the probability distribution of Y

#### Estimate the probability distribution of X.

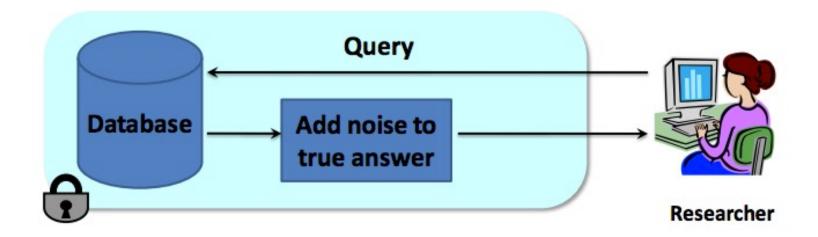
R. Agrawal and R. Srikant. Privacy-preserving data mining. In Proceedings of SIGMOD 2000.

### **Randomization Approach Overview**



## **Differential Privacy**

 The risk to my privacy should not increase as a result of participating in a statistical database



- Add noise to answers such that:
  - Each answer does not leak too much information about the database
  - Noisy answers are close to the original answers

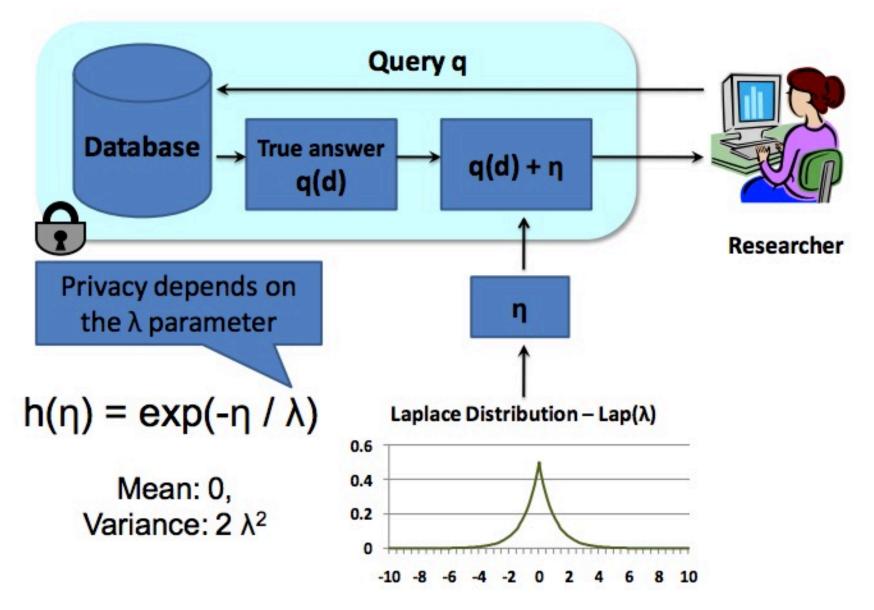
Cynthia Dwork: Differential Privacy. ICALP (2) 2006: 1-12

## Attack

Name	Has Diabetes
Alice	yes
Bob	no
Mark	yes
John	yes
Sally	no
Jack	yes

- 1) how many persons have Diabetes? **4**
- 2) how many persons, excluding Alice, have Diabetes? 3
- So the attacker can infer that Alice has Diabetes.
- Solution: make the two answers similar
- 1) the answer of the first query could be 4+1 = 5
- 2) the answer of the second query could be 3+2.5=5.5

### **Differential Privacy**



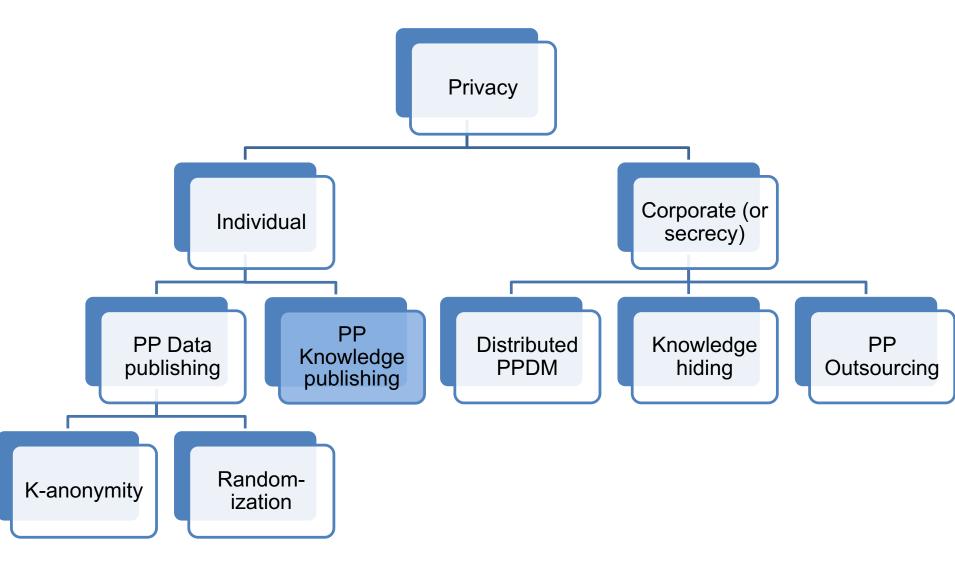
### Randomization

- R. Agrawal and R. Srikant. Privacy-preserving data mining. In Proceedings of SIGMOD 2000.
- D. Agrawal and C. C. Aggarwal. On the design and quantification of privacy preserving data mining algorithms. In Proceedings of PODS, 2001.
- W. Du and Z. Zhan. Using randomized response techniques for privacy-preserving data mining. In Proceedings of SIGKDD 2003.
- A. Evfimievski, J. Gehrke, and R. Srikant. Limiting privacy breaches in privacy preserving data mining. In Proceedings of PODS 2003.
- A. Evfimievski, R. Srikant, R. Agrawal, and J. Gehrke. Privacy preserving mining of association rules. In Proceedings of SIGKDD 2002.
- K. Liu, H. Kargupta, and J. Ryan. Random Projection-based Multiplicative Perturbation for Privacy Preserving Distributed Data Mining. IEEE Transactions on Knowledge and Data Engineering (TKDE), VOL. 18, NO. 1.
- K. Liu, C. Giannella and H. Kargupta. An Attacker's View of Distance Preserving Maps for Privacy Preserving Data Mining. In Proceedings of PKDD'06

### **Differential Privacy**

- Cynthia Dwork: Differential Privacy. ICALP (2) 2006: 1-12
- Cynthia Dwork: The Promise of Differential Privacy: A Tutorial on Algorithmic Techniques. FOCS 2011: 1-2
- Cynthia Dwork: Differential Privacy in New Settings. SODA 2010: 174-183

## **Ontology of Privacy in Data Mining**



## **New Regulation**

- Privacy by Design
- Privacy Risk Assessment

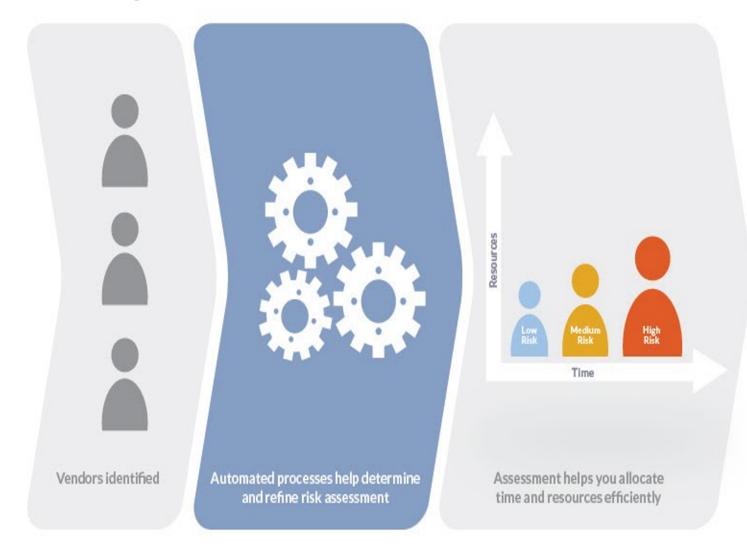
### **Privacy by design Methodology**

- The framework is designed with assumptions about
  - The **sensitive data** that are the subject of the analysis
  - The **attack model**, i.e., the knowledge and purpose of a malicious party that wants to discover the sensitive data
  - The target analytical questions that are to be answered with the data
- Design a privacy-preserving framework able to

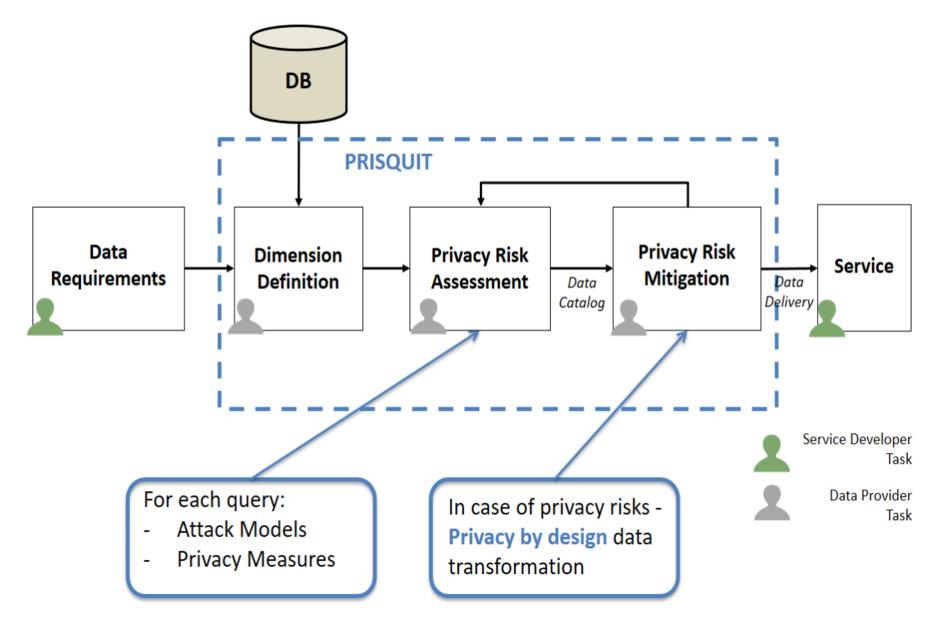
- 1

- transform the data into an anonymous version with a quantifiable privacy guarantee
- guarantee that the analytical questions can be answered correctly, within a quantifiable approximation that specifies the data utility

### **Privacy Risk Assessment**



### **Privacy-by-Design in Big Data Analytics**



### **Attack Simulation**

#### **Tabular data**

#### Background knowledge:

- 1. Gender, DoB, Zip
- 2. Gender, DoB
- 3. Gender, Zip
- 4. DoB, Zip
- 5. Gender
- 6. DoB
- 7. Zip

ID	Gender	DoB	ZIP	DIAGNOSIS
1	F	1962	300122	Cancro
3	F	1960	300133	Gastrite
2	Μ	1950	300111	Infarto
4	Μ	1950	300111	Infarto
5	Μ	1950	300111	Infarto
6	М	1953	300115	Frattura

#### Background knowledge:

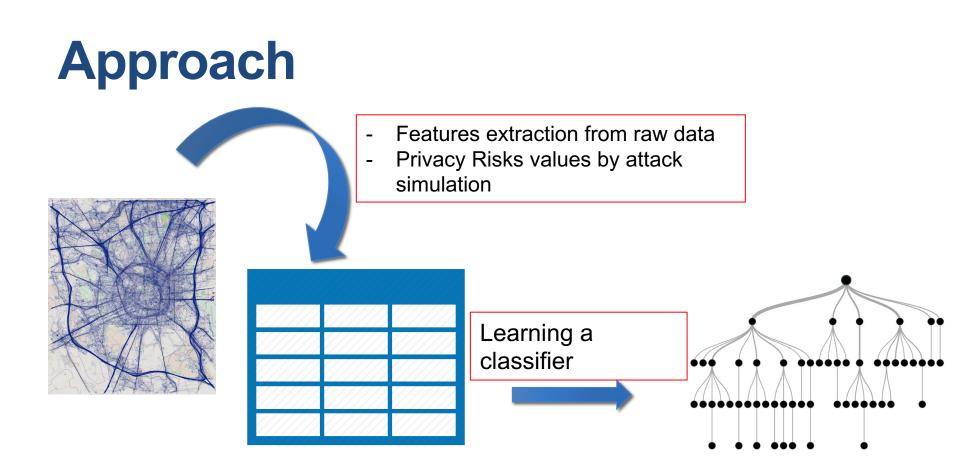
#### **Sequences and Trajectories**

All the possible sub-sequences!

 $< loc_1, t_1 > < loc_2, t_2 > < loc_3, t_3 > < loc_4, t_4 > < loc_5, t_4 >$ 

### **DATA MINING APPROACH**

- Using classification techniques to predict the privacy risks of individuals.
- 1. Simulate the risk of each individual *R*
- 2. Extract from the dataset a set of individual features *F*
- 3. Construct a training dataset (F,R)
- 4. Learning a classifier/regressor to predict the risk/risk level



For each new user extracting **Features** and using the classifier to predict the risk

# **Mobility Data**

- GPS provided by Octo-Telematics May 2011, Tuscany
- . Two datasets:
  - Florence: 9715 trajectories
  - Pisa: 2280 trajectories
- Classification:
  - Random Forest Classifier
  - Evaluation by accuracy of classification and weighted average F-measure

## **Experiments on Mobility Data**

symbol	name	structures	attacks		
V	visits				
$\overline{V}$	daily visits		LOCATION		
$D_{max}$	max distance	trajectory	LOCATION SEQUENCE		
$D_{sum}$	sum distances		VISIT		
$\overline{D}_{sum}$	$D_{sum}$ per day				
$D_{max}^{trip}$	$D_{max}$ over area	trajectory location set			
Locs	distinct locations	frequency vector	FREQUENT LOCATION		
$Locs_{ratio}$	Locs over area	frequency vector location set	FREQUENT LOC. SEQUENCE		
$R_{g}$	radius of gyration	probability vector	PROBABILITY		
E	mobility entropy	probability vector			
$E_i$	location entropy	probability vector probability vector dataset	I RODADILITT		
$U_i$	individuals per lo- cation	<u>Constant</u>	FREQUENCY		
$U_i^{ratio}$	$U_i$ over individuals	frequency vector, frequency vector dataset	PROPORTION		
$w_i$	location frequency	nequency vector dataset	HOME AND WORK		
$w_i^{pop}$	$w_i$ over overall fre-				
	quency				
$\overline{w}_i$	daily location fre-				
	quency				

	configuration		Flore	ence	Pi	sa	$\mathbf{FI}  ightarrow \mathbf{PI}$		$\mathbf{PI}  ightarrow \mathbf{FI}$	
			ACC	F	ACC	F	ACC	F	ACC	F
		k = 2	0.94	0.94	0.93	0.93	0.93	0.92	0.93	0.93
Visit	locations with	k=3	0.94	0.94	0.93	0.93	0.93	0.93	0.93	0.93
Vis	timestamps	k = 4	0.94	0.94	0.93	0.93	0.93	0.93	0.92	0.92
		k = 5	0.94	0.94	0.92	0.92	0.93	0.93	0.91	0.92
	avg ba	aseline	0.82	0.81	0.81	0.80				
cy		k=2	0.90	0.89	0.83	0.82	0.79	0.79	0.76	0.70
Frequency	locations	k = 3	0.94	0.93	0.89	0.89	0.84	0.86	0.83	0.79
nbe	with frequencies	k = 4	0.92	0.93	0.89	0.89	0.85	0.86	0.85	0.85
Fre		k = 5	0.93	0.93	0.89	0.89	0.71	0.73	0.85	0.82
	avg ba	aseline	0.53	0.53	0.41	0.41				
ΜH	two most frequent locations		0.62	0.59	0.57	0.54	0.57	0.55	0.51	0.49
	avg ba	aseline	0.37	0.37	0.28	0.29				
u		k=2	0.93	0.92	0.86	0.86	0.87	0.87	0.85	0.81
Location	locations without	k=3	0.95	0.95	0.91	0.91	0.87	0.87	0.87	0.82
ca	sequence	k = 4	0.95	0.95	0.91	0.91	0.89	0.89	0.89	0.86
Lc		k = 5	0.95	0.95	0.91	0.91	0.89	0.90	0.87	0.85
	avg ba	aseline	0.57	0.56	0.44	0.44				
Freq.Loc. Sequence		k=2	0.93	0.92	0.88	0.87	0.88	0.87	0.86	0.83
en	locations with	k=3	0.94	0.94	0.88	0.89	0.90	0.89	0.73	0.66
eq	sequence	k = 4	0.94	0.94	0.89	0.89	0.85	0.87	0.86	0.82
Fr		k = 5	0.93	0.94	0.89	0.89	0.90	0.90	0.86	0.83
	avg baseli		0.58	0.57	0.46	0.45				
nt		k = 2	0.81	0.79	0.71	0.69	0.73	0.74	0.65	0.62
ue	locations without	k = 3	0.86	0.85	0.8	0.78	0.81	0.81	0.75	0.72
Frequent Location	sequence	k = 4	0.87	0.86	0.81	0.79	0.83	0.83	0.79	0.75
Fr		k = 5	$\begin{array}{c} 0.87\\ 0.65\end{array}$	0.87	0.81	0.8	0.82	0.83	0.78	0.75
	avg baseline			0.65	0.56	0.55				

### **Measure importance**

	Florence		Pisa			Florence		Pisa	
	measure	impo.	measure	impo.	-	measure	impo.	measure	impo.
1	$\overline{V}$	3.66	$Locs_{ratio}$	3.24	15	$U_2^{ratio}$	0.96	$U_2^{ratio}$	0.92
2	E	2.92	$D_{sum}$	3.22	16	$U_n$	0.88	$U_n$	0.88
3	$D_{sum}$	2.75	$\overline{V}$	2.87	17	$w_n^{pop}$	0.83	$r_g$	0.87
4	$Locs_{ratio}$	2.51	E	2.62	18	$E_n$	0.79	$E_n$	0.79
5	V	1.91	V	1.69	19	$E_2$	0.74	$E_2$	0.75
6	$w_1^{pop}$	1.77	Locs	1.66	20	$D_{max}$	0.68	$w_n^{pop}$	0.73
7	Locs	1.67	$w_1^{pop}$	1.62	21	$D_{max}^{trip}$	0.63	$D_{max}^{trip}$	0.67
8	$U_1$	1.44	$U_1$	1.46	22	$r_g$	0.61	$D_{max}$	0.58
9	$U_1^{ratio}$	1.32	$U_1^{ratio}$	1.40	23	$w_1$	0.42	$\overline{w}_1$	0.48
10	$\overline{D}_{sum}$	1.19	$U_2$	1.16	24	$\overline{w}_2$	0.40	$w_1$	0.44
11	$U_2$	1.12	$U_n^{ratio}$	1.09	25	$\overline{w}_1$	0.36	$\overline{w}_2$	0.36
12	$w_2^{pop}$	1.07	$w_2^{pop}$	1.07	26	$w_n$	0.13	$w_n$	0.15
13	$E_1$	1.05	$E_1$	1.06	27	$\overline{w}_n$	0.12	$w_2$	0.13
14	$U_n^{ratio}$	0.99	$\overline{D}_{sum}$	0.98	28	$w_2$	0.10	$\overline{w}_n$	0.13

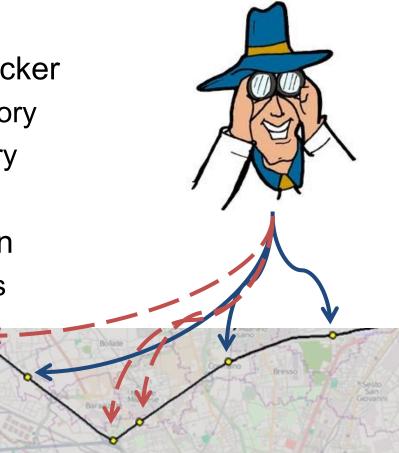
### Privacy by Design in Mobility



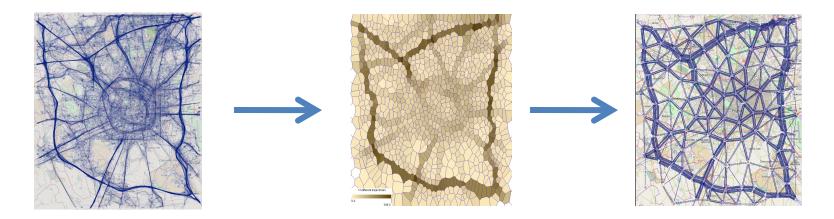
Knowledge Discovery and Delivery Lab (ISTI-CNR & Univ. Pisa) www-kdd.isti.cnr.it

## **Privacy-Preserving Framework**

- Anonymization of movement data while preserving clustering
- Trajectory Linking Attack: the attacker
  - knows some points of a given trajectory
  - and wants to infer the whole trajectory
- Countermeasure: method based on
  - spatial generalization of trajectories
  - k-anonymization of trajectories



### **Trajectory Generalization**

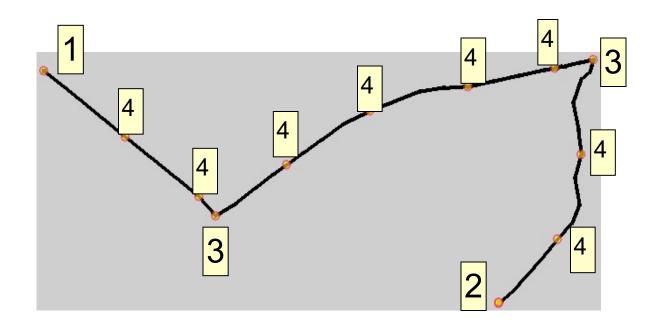


- Given a trajectory dataset
  - 1. Partition of the territory into Voronoi cells
  - 2. Transform trajectories into sequence of cells

### **Partition of territory: Characteristic points**

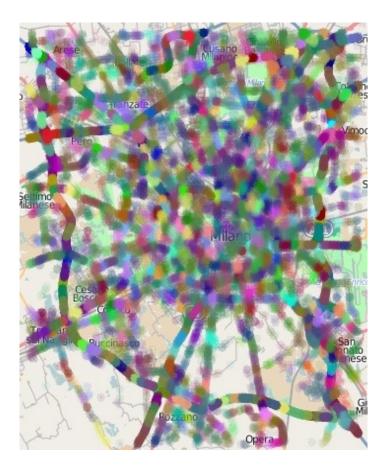
#### Characteristic points extraction:

- Starts (1)
- Ends (2)
- Points of significant turns (3)
- Points of significant stops, and representative points from long straight segments (4)



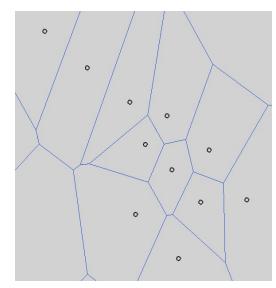
### **Partition of territory: spatial clusters**

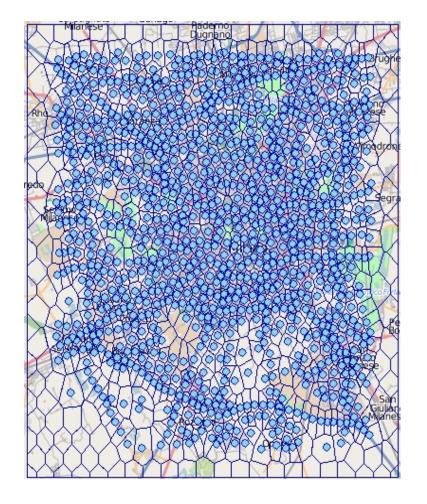
- Group the extracted points in Spatial Clusters with desired spatial extent
- MaxRadius: parameter to determine the spatial extent and so the degree of the generalization



### **Partition of territory: Voronoi Tessellation**

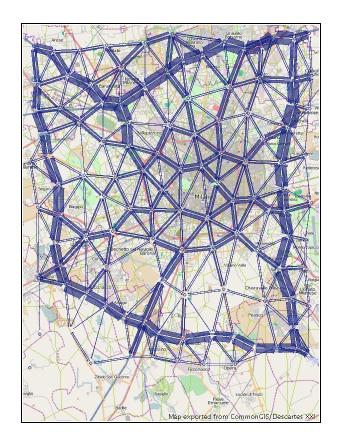
- Partition the territory into Voronoi cells
- The centroids of the spatial clusters used as generating points





## **Generation of trajectories**

- Divide the trajectories into segments that link Voronoi cells
- □ For each trajectory:
  - the area a<sub>1</sub> containing its first point p<sub>1</sub> is found
  - The following points are checked
  - If a point p<sub>i</sub> is not contained in a<sub>1</sub> for it the containing area a<sub>2</sub> is found
     and so on ...
- Generalized trajectory: From sequence of areas to sequence of centroids of areas



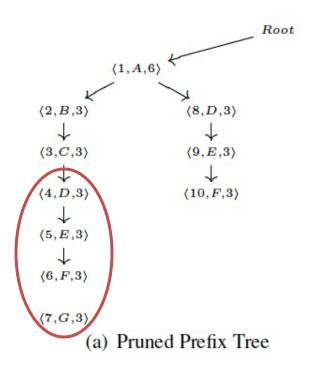
## **Generalization vs k-anonymity**

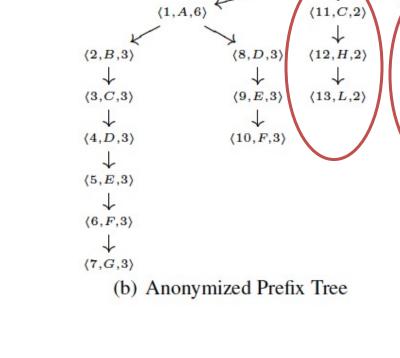
- Generalization could not be sufficient to ensure k-anonymity:
  - For each generalized trajectory there exist at least others k-1 different people with the same trajectory?
- Two transformation strategies
  - KAM-CUT
    - publishing only the k-frequent prefixes of the generalized trajectories
  - KAM-REC
    - recovering portions of trajectories which are frequent at least k times
    - without introducing noise

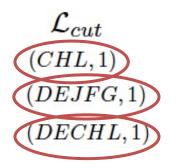
## **KAM-REC** Approach

- The prefix tree is anonymized w.r.t. a threshold k
  - all the trajectories with support less than k are pruned from the prefix tree and put into a list
  - A subtrajectory is recovered and appended to the root if
    - appears in the prefix tree
    - appears in at least k different trajectories in the list

## **KAM-REC: Example**







(14,D,1)

 $\langle 15, E, 1 \rangle$ 

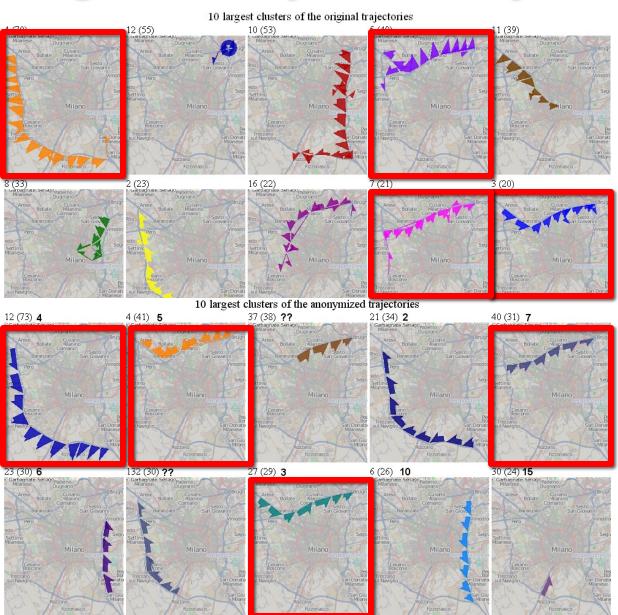
 $\langle 17, F, 1 \rangle$ 

 $\downarrow$ 

(18,G,1)

Reot ↓

### **Clustering on Anonymized Trajectories**



### **Probability of re-identification: k=16**

Known Positions	Probability of re-identification
1 position	98% trajectories have a P <= 0.03 (K=30)
2 positions	98% of trajectories have a P <= 0.05 (K=20)
4 positions	99% of trajectories have a P <= 0.06 (K=17)