

# CONTENTS

LIST OF CONTRIBUTORS . . . . .	XIV
FOREWORD TO THE THIRD EDITION . . . . .	XVIII
<i>by Christopher Kuner</i>	
FOREWORD TO THE FIRST AND SECOND EDITIONS . . . . .	XIX
<i>by Jean-Philippe Walter</i>	
ACKNOWLEDGEMENTS . . . . .	XXI
GLOSSARY OF DEFINED TERMS AND ABBREVIATIONS . . . . .	XXIV
<b>1 INTRODUCTION . . . . .</b>	<b>3</b>
1.1 Background . . . . .	4
1.2 Objective . . . . .	4
1.3 Structure and approach . . . . .	8
1.4 Target audience . . . . .	9
<b>PART I: DATA PROTECTION PRINCIPLES IN HUMANITARIAN ACTION . . . . .</b>	<b>11</b>
<i>Massimo Marelli</i>	
<b>2 BASIC PRINCIPLES OF DATA PROTECTION . . . . .</b>	<b>13</b>
2.1 Introduction . . . . .	14
2.2 Basic data protection concepts . . . . .	16
2.3 Aggregate, Pseudonymized and Anonymized data sets . . . . .	18
2.4 Applicable law and International Organizations . . . . .	20
2.5 Data Processing principles . . . . .	21
2.5.1 The principle of the fairness and lawfulness of Processing . . . . .	21
2.5.2 The purpose limitation principle . . . . .	22
2.5.3 The principle of proportionality . . . . .	24
2.5.4 The principle of data minimization . . . . .	26
2.5.5 The principle of data quality . . . . .	27
2.6 Special Data Processing situations . . . . .	27
2.6.1 Health purposes . . . . .	27
2.6.2 Administrative activities . . . . .	28
2.7 Data retention . . . . .	28
2.8 Data security and Processing security . . . . .	29
2.8.1 Introduction . . . . .	29
2.8.2 Physical security . . . . .	31

2.8.3	IT security . . . . .	31
2.8.4	Duty of discretion and staff conduct . . . . .	32
2.8.5	Contingency planning . . . . .	33
2.8.6	Destruction methods . . . . .	33
2.8.7	Other measures . . . . .	34
2.9	The principle of accountability . . . . .	35
2.10	Information . . . . .	35
2.10.1	Data collected from the Data Subject . . . . .	36
2.10.2	Information notices . . . . .	36
2.10.3	Data not collected from the Data Subject . . . . .	37
2.11	Rights of Data Subjects . . . . .	38
2.11.1	Introduction . . . . .	38
2.11.2	Access . . . . .	38
2.11.3	Correction . . . . .	40
2.11.4	Right to erasure . . . . .	40
2.11.5	Right to object . . . . .	41
2.12	Data sharing and International Data Sharing . . . . .	41
<b>3</b>	<b>LEGAL BASES FOR PERSONAL DATA PROCESSING . . . . .</b>	<b>43</b>
3.1	Introduction . . . . .	44
3.2	Consent . . . . .	45
3.2.1	Unambiguous . . . . .	46
3.2.2	Timing . . . . .	46
3.2.3	Validity . . . . .	46
3.2.4	Vulnerability . . . . .	46
3.2.5	Children . . . . .	47
3.2.6	Informed . . . . .	48
3.2.7	Documented . . . . .	48
3.2.8	Withholding/Withdrawing Consent . . . . .	48
3.3	Vital interest . . . . .	49
3.4	Important grounds of public interest . . . . .	50
3.5	Legitimate interest . . . . .	51
3.6	Performance of a contract . . . . .	52
3.7	Compliance with a legal obligation . . . . .	53
3.7.1	The disclosure of Personal Data to authorities . . . . .	54
<b>4</b>	<b>INTERNATIONAL DATA SHARING . . . . .</b>	<b>57</b>
4.1	Introduction . . . . .	58
4.2	Basic rules for International Data Sharing . . . . .	59
4.3	Providing a legal basis for International Data Sharing . . . . .	60
4.3.1	Introduction . . . . .	60
4.3.2	Legal bases for International Data Sharing . . . . .	60

---

4.4	Mitigating the risks to the individual . . . . .	61
4.4.1	Appropriate safeguards/Contractual clauses . . . . .	61
4.4.2	Accountability . . . . .	63
4.5	Data Controller/Data Processor relationship . . . . .	63
<b>5</b>	<b>DATA PROTECTION IMPACT ASSESSMENTS (DPIAS) . . . . .</b>	<b>65</b>
5.1	Introduction . . . . .	66
5.2	The DPIA process . . . . .	67
5.2.1	Is a DPIA necessary? . . . . .	67
5.2.2	The DPIA team . . . . .	67
5.2.3	Describing the Processing of Personal Data . . . . .	68
5.2.4	Consulting stakeholders . . . . .	68
5.2.5	Identify risks . . . . .	69
5.2.6	Assess the risks . . . . .	69
5.2.7	Identify solutions . . . . .	70
5.2.8	Propose recommendations . . . . .	72
5.2.9	Implement the agreed recommendations . . . . .	72
5.2.10	Provide expert review and/or audit of the DPIA . . . . .	73
5.2.11	Update the DPIA if there are changes in the project . . . . .	73
<b>PART II: SPECIFIC PROCESSING SITUATIONS, TECHNOLOGIES AND TECHNOLOGY AREAS . . . . .</b>	<b>75</b>	
<b>6</b>	<b>DESIGNING FOR DATA PROTECTION . . . . .</b>	<b>77</b>
<i>Carmela Troncoso and Wouter Lueks</i>		
6.1	Introduction . . . . .	78
6.1.1	What is a system? . . . . .	79
6.2	Case study: Privacy-preserving contact-tracing apps . . . . .	79
6.2.1	Decentralized privacy-preserving proximity tracing . . . . .	81
6.3	Protection of individuals and their dignity and rights through purpose limitation . . . . .	82
6.3.1	Why determining purpose matters . . . . .	84
6.3.2	Determining purpose . . . . .	87
6.3.3	Analysing purpose limitation . . . . .	88
6.4	The role of data minimization . . . . .	93
6.5	Challenges to purpose limitation . . . . .	94
<b>7</b>	<b>DRONES/UAVS AND REMOTE SENSING . . . . .</b>	<b>97</b>
<i>Massimo Marelli</i>		
7.1	Introduction . . . . .	98
7.2	Application of basic data protection principles . . . . .	101
7.2.1	Legal bases for Personal Data Processing . . . . .	102
7.2.2	Transparency/Information . . . . .	104

7.2.3	Purpose limitation and Further Processing . . . . .	105
7.2.4	Data minimization . . . . .	105
7.2.5	Data retention . . . . .	106
7.2.6	Data security . . . . .	106
7.3	Rights of Data Subjects . . . . .	106
7.4	Data sharing . . . . .	108
7.5	International Data Sharing . . . . .	109
7.6	Data Controller/Data Processor relationship . . . . .	109
7.7	Data Protection Impact Assessments . . . . .	110
<b>8</b>	<b>BIOMETRICS . . . . .</b>	<b>113</b>
<i>Massimo Marelli</i>		
8.1	Introduction . . . . .	114
8.2	Application of basic data protection principles . . . . .	116
8.2.1	Legal bases for Personal Data Processing . . . . .	118
8.2.2	Fair and lawful Processing . . . . .	120
8.2.3	Purpose limitation and Further Processing . . . . .	121
8.2.4	Data minimization . . . . .	122
8.2.5	Data retention . . . . .	123
8.2.6	Data security . . . . .	123
8.2.7	Excessiveness by nature . . . . .	124
8.3	Rights of Data Subjects . . . . .	124
8.4	Data sharing . . . . .	125
8.5	International Data Sharing . . . . .	125
8.6	Data Controller/Data Processor relationship . . . . .	126
8.7	Data Protection Impact Assessments . . . . .	126
<b>9</b>	<b>CASH AND VOUCHER ASSISTANCE . . . . .</b>	<b>129</b>
<i>Massimo Marelli</i>		
9.1	Introduction . . . . .	130
9.2	Application of basic data protection principles . . . . .	134
9.3	Basic principles of data protection . . . . .	135
9.3.1	Legal bases for Personal Data Processing . . . . .	136
9.3.2	Purpose limitation and Further Processing . . . . .	137
9.3.3	Data minimization . . . . .	139
9.3.4	Data retention . . . . .	140
9.3.5	Data security . . . . .	140
9.4	Rights of Data Subjects . . . . .	141
9.5	Data sharing . . . . .	141
9.6	International Data Sharing . . . . .	142
9.7	Data Controller/Data Processor relationship . . . . .	143
9.8	Data Protection Impact Assessments . . . . .	143

---

<b>10 CLOUD SERVICES . . . . .</b>	<b>147</b>
<i>Paolo Balboni</i>	
10.1 Introduction . . . . .	148
10.2 Data Controller/Data Processor relationship . . . . .	151
10.3 Responsibility and accountability in the cloud . . . . .	151
10.4 Application of basic data protection principles . . . . .	152
10.4.1 Legal bases for Personal Data Processing . . . . .	152
10.4.2 Fair and lawful Processing . . . . .	153
10.4.3 Purpose limitation and Further Processing . . . . .	153
10.4.4 Transparency . . . . .	154
10.4.5 Data retention . . . . .	155
10.5 Data security . . . . .	156
10.5.1 Data in transit protection . . . . .	160
10.5.2 Asset protection . . . . .	160
10.5.3 Separation between users . . . . .	162
10.5.4 Governance . . . . .	162
10.5.5 Operational security . . . . .	162
10.5.6 Personnel . . . . .	163
10.5.7 Development . . . . .	163
10.5.8 Supply chain . . . . .	163
10.5.9 User management . . . . .	163
10.5.10 Identity and authentication . . . . .	164
10.5.11 External interfaces . . . . .	164
10.5.12 Service administration . . . . .	164
10.5.13 Audits . . . . .	164
10.5.14 Service usage . . . . .	164
10.6 Rights of Data Subjects . . . . .	165
10.7 International Data Sharing . . . . .	165
10.8 Data Protection Impact Assessments . . . . .	165
10.9 Privileges and immunities and the cloud . . . . .	166
10.9.1 Legal measures . . . . .	166
10.9.2 Organizational measures . . . . .	167
10.9.3 Technical measures . . . . .	167
10.10 Codes of conduct . . . . .	167
<b>11 CLOUD AND GOVERNMENT ACCESS . . . . .</b>	<b>171</b>
<i>Andrea Raab-Gray</i>	
11.1 Mapping legislations allowing governments to require service providers to disclose Humanitarian Data . . . . .	173
11.1.1 Legal frameworks allowing governments to compel service providers to disclose humanitarian data for purposes of national security . . . . .	174

11.1.2 Legal frameworks allowing governments to compel service providers to disclose data for purposes of criminal proceedings . . . . .	178
11.2 Impacts of compelled disclosure on Humanitarian Action and persons benefiting from it . . . . .	184
11.3 Mitigating the risk of disclosure of Humanitarian Data processed in a public cloud environment . . . . .	186
11.3.1 Ensuring the effectiveness of privileges and immunities . . . . .	186
11.3.2 Sensitizing States to the importance of not using or requesting Humanitarian Data for purposes incompatible with the work of Humanitarian Organizations . . . . .	189
<b>12 MOBILE MESSAGING APPS . . . . .</b>	<b>191</b>
<i>Lina Jasmontaitė-Zaniewicz</i>	
12.1 Introduction . . . . .	192
12.1.1 Mobile messaging apps in Humanitarian Action . . . . .	194
12.2 Application of basic data protection principles . . . . .	195
12.2.1 Processing of Personal Data through mobile messaging apps . . . . .	196
12.2.2 What kind of data do messaging apps collect or store? . . . . .	197
12.2.3 How could other parties access data shared on messaging apps? . . . . .	200
12.2.4 Messaging app features related to privacy and security . . . . .	202
12.2.5 Processing of Personal Data collected through mobile messaging apps . . . . .	205
12.3 Legal bases for Personal Data Processing . . . . .	206
12.4 Data retention . . . . .	207
12.5 Data Subject rights to rectification and deletion . . . . .	207
12.6 Data minimization . . . . .	208
12.7 Purpose limitation and Further Processing . . . . .	209
12.8 Managing, analysing and verifying data . . . . .	209
12.9 Data protection by design . . . . .	210
12.10 International Data Sharing . . . . .	211
<b>13 DIGITAL IDENTITY . . . . .</b>	<b>213</b>
<i>Vincent Graf Narbel</i>	
13.1 Introduction . . . . .	214
13.1.1 Authentication, identification and verification: Who are you and how can you prove it? . . . . .	216
13.1.2 Digital Identity . . . . .	217
13.1.3 System design and governance . . . . .	218
13.1.4 Digital Identity in the humanitarian sector: Possible scenarios . . . . .	220
13.1.5 Digital Identity as foundational identity . . . . .	221
13.2 Data Protection Impact Assessments . . . . .	222
13.3 Data protection by design and by default . . . . .	222

---

13.4 Data Controller/Data Processor relationship . . . . .	223
13.5 Rights of Data Subjects . . . . .	224
13.5.1 Right of access . . . . .	225
13.5.2 Rights to rectification and erasure . . . . .	226
13.6 Application of basic data protection principles . . . . .	226
13.6.1 Legal bases for Personal Data Processing . . . . .	226
13.6.2 Purpose limitation and Further Processing . . . . .	227
13.6.3 Proportionality . . . . .	227
13.6.4 Data minimization . . . . .	228
13.6.5 Data security . . . . .	228
13.6.6 Data retention . . . . .	229
13.7 International Data Sharing . . . . .	229
<b>14 SOCIAL MEDIA . . . . .</b>	<b>231</b>
<i>Júlia Zomignani Barboza and Lina Jasmontaitė-Zaniewicz</i>	
14.1 Introduction . . . . .	232
14.1.1 Social media in the humanitarian sector . . . . .	232
14.1.2 Social media and data . . . . .	234
14.2 Data Protection Impact Assessments . . . . .	239
14.3 Ethical issues and other challenges . . . . .	241
14.4 Data Controller/Data Processor relationship . . . . .	243
14.5 Basic data protection principles . . . . .	244
14.5.1 Legal bases for Personal Data Processing . . . . .	244
14.5.2 Information . . . . .	245
14.5.3 Data retention . . . . .	246
14.5.4 Data security . . . . .	247
14.6 International Data Sharing . . . . .	247
<b>15 BLOCKCHAIN . . . . .</b>	<b>249</b>
<i>Vincent Graf Narbel</i>	
15.1 Introduction . . . . .	250
15.1.1 What is Blockchain? . . . . .	250
15.1.2 Types of Blockchain . . . . .	253
15.1.3 Blockchain in practice . . . . .	255
15.1.4 Humanitarian use cases . . . . .	256
15.2 Data Protection Impact Assessments . . . . .	258
15.3 Data Protection by design and by default . . . . .	260
15.4 Data Controller/Data Processor relationship . . . . .	261
15.5 Basic data protection principles . . . . .	263
15.5.1 Data minimization . . . . .	263
15.5.2 Data retention . . . . .	264

15.5.3 Proportionality . . . . .	264
15.5.4 Data security . . . . .	264
15.6 Rights of Data Subjects . . . . .	265
15.6.1 Right of access . . . . .	266
15.6.2 Right to rectification . . . . .	266
15.6.3 Right to erasure . . . . .	267
15.6.4 Restrictions of Data Subjects' rights . . . . .	267
15.7 International Data Sharing . . . . .	268
15.8 Annex: Decision-making framework for Blockchain in Humanitarian Action . . . . .	269
<b>16 CONNECTIVITY AS AID . . . . .</b>	<b>275</b>
<i>Aaron Martin and John Warnes</i>	
16.1 Introduction . . . . .	276
16.1.1 Overview of connectivity as aid interventions . . . . .	277
16.1.2 Operational context . . . . .	278
16.1.3 Multiple stakeholders and partnerships . . . . .	279
16.2 Data Protection Impact Assessments . . . . .	281
16.3 Data Controller/Data Processor relationship . . . . .	282
16.4 Basic data protection principles . . . . .	283
16.4.1 Legal bases for Personal Data Processing . . . . .	283
16.4.2 Data security . . . . .	284
16.4.3 Data retention . . . . .	286
16.4.4 Information . . . . .	286
16.5 International Data Sharing . . . . .	287
<b>17 ARTIFICIAL INTELLIGENCE . . . . .</b>	<b>289</b>
<i>Alessandro Mantelero</i>	
17.1 Introduction . . . . .	290
17.1.1 What Artificial Intelligence is and how it works . . . . .	290
17.1.2 Artificial Intelligence in the humanitarian sector . . . . .	294
17.1.3 Challenges and risks of using Artificial Intelligence . . . . .	299
17.2 Application of basic data protection principles . . . . .	301
17.2.1 Legal bases for Personal Data Processing . . . . .	302
17.2.2 Purpose limitation and Further Processing . . . . .	305
17.2.3 Fair and lawful Processing . . . . .	308
17.2.4 Transparency . . . . .	311
17.2.5 Data minimization . . . . .	312
17.2.6 Data retention . . . . .	314
17.2.7 Data security . . . . .	315
17.3 Rights of Data Subjects . . . . .	316
17.3.1 Rights related to automated decision making . . . . .	316

17.4 Data Controller/Data Processor relationship . . . . .	319
17.4.1 Accountability . . . . .	319
17.4.2 Liability . . . . .	320
17.5 International Data Sharing . . . . .	321
17.6 Data Protection Impact Assessment and Human Rights Impact Assessment . . . . .	322
17.6.1 Human Rights Impact Assessment for Artificial Intelligence . . . . .	324
17.6.2 Human Rights Impact Assessment: phases and procedure . . . . .	325
17.7 Data Protection by design and by default . . . . .	329
17.8 Ethical issues and challenges . . . . .	329
<b>APPENDIX 1: TEMPLATE FOR A DPIA REPORT . . . . .</b>	<b>333</b>
<b>APPENDIX 2: WORKSHOP PARTICIPANTS . . . . .</b>	<b>339</b>
<b>INDEX . . . . .</b>	<b>343</b>