Towards Aligning GDPR Compliance with Software Development:  
A Research Agenda

Meiko Jensen¹, Sahil Kapila¹ and Nils Gruschka²

¹Kiel University of Applied Sciences, Kiel, Germany  
²University of Oslo, Oslo, Norway

Keywords: GDPR, DPIA, Data Protection Impact Assessments, Privacy.

Abstract: The General Data Protection Regulation (GDPR) caused several new legal requirements software systems in Europe have to comply to. Support for these requirements given by proprietary software systems is limited. Here, an integrative approach of combining software development with GDPR-specific demands is necessary. In this paper, we outline such an approach on the level of software source code. We illustrate how to annotate data in complex software systems and how to use such annotations for task like data visualization, data exchange standardization, and GDPR-specific consent and purpose management systems. Thereby, we outline a research agenda for subsequent efforts in aligning software development and GDPR requirements.

1 INTRODUCTION

The advent of the new European General Data Protection Regulation (GDPR, (European Parliament and Council, 2016)) has led to multiple new legal requirements for organizations operating in Europe and beyond. It demands for precise information concerning all data processing of personal data happening within organizations, along with their purposes and specific conditions. This demand currently causes a lot of challenges with organizations that struggle with the challenging task of gathering the required information from their own software systems. Most proprietary software today does not offer any insights into how it processes data, which of that data is of personal or even sensitive nature w.r.t. the GDPR, and how that data passes through the processing systems implemented.

In this paper, we envision a software development approach that incorporates GDPR-based demands at the very early software development stages. The aim being to bolster the compliance process and hasten industry alignment with the current state of the GDPR. We illustrate the different ways a GDPR-supportive software development approach may be implemented and utilized. We also briefly discuss some approaches on how to mine processes for GDPR-relevant information, how to support the creation of GDPR-demanded documentation of processing of personal data at the software development level, and we highlight some subsequent concepts for visualizations, tools and exchange standards to ease the work with and exchange of GDPR-relevant information among stakeholders. Altogether, we therefore outline a research agenda on how to align the task of software development with the specific needs caused by the GDPR.

The paper is organized as follows: The next section defines some of the important concepts and terms of the GDPR, necessary to understand the subsequent sections. Then, Section 3 debates issues of implementation of the GDPR and the impacts on software development. Section 4 then introduces our approach of data annotations at source code level, which is discussed in terms of visualizations in Section 5 and in terms of standardization, integration and management in Section 6. The paper concludes in Section 7.

2 GDPR BASICS

The GDPR defines several terms and concepts necessary for understanding the remainder of this paper. The reader familiar with the GDPR terminology may skip this section.

A data subject in GDPR terms refers to the human individual whose data is processed within a data processing system (e.g. a software implementation). The data controller is the organization (or the mult-
tiple organizations, in case of a joint controllership, cf. (European Parliament and Council, 2016, Article 26)) that decides how the data processing system is designed, what data types are collected from the data subject, how that data is processed, and what other organizations (data processors) may be hired to participate in this processing. In order to legally collect data from the data subject, the most commonly used approach in private sector industries consists in the consent: a data subject is asked to explicitly allow for data processing of a certain type for a certain purpose. That data may then not be used for other purposes than those the data subject has consented to (unless some exceptional conditions apply, cf. (European Parliament and Council, 2016, Articles 8 and 10)). A data subject may withdraw consent of data processing, in whole or in part, e.g. just for some purposes or for some data types, at any time, resulting in the data controller(s) having to cancel processing of that data as soon as possible.

Data according to the GDPR is effectively categorized in three relevant groups:

- **Non-personal data** is not directly linkable to a person, and hence can be processed arbitrarily,
- **Personal data** is somewhat directly linkable to a person, and hence must be processed in accordance with the regulation’s articles, and
- **Sensitive personal data** is typically directly linkable to a person and poses a severe threat to that person if the data is lost or misused. Such data may only be processed under specific conditions, utilizing advanced precautions and protection mechanisms (cf. (European Parliament and Council, 2016, Article 9)).

One of the major requirements posed in the GDPR is that of performing a data protection impact assessment (DPIA, cf. (European Parliament and Council, 2016, Article 35)). The task here is to identify, list, and handle all potential risks to privacy and data protection that may be caused by the processing of personal data of a data subject at a data controller or data processor. Obviously, this task requires exact information concerning what data is processed in what places and for which purposes at which organizations participating in a data processing system.

### 3 THE GDPR LANDSCAPE

In order to comply with the 99 articles of the GDPR, it becomes necessary to extract and document a large array of information concerning one’s data processing operations, such as purposes and legal grounds for processing of personal data. In this effort, many companies and government institutions face a dilemma: though the text of the new regulation is public for more than two years, it is still not clear how it will be enforced in real-world scenarios. Here, the major data protection authorities in Europe still need to provide more precise details as to how its paragraphs will be enforced. For organizations, this means that they can not easily determine which tasks they need to perform in order to comply, and which tasks may be optional.

However, it is already evident that the major focus of the GDPR and its enforcement concerns processing of personal data, which is also labeled as personally identifiable information (pii, (Schwartz and Solove, 2011)) in the literature. Hence, it can already be seen that the data collected, stored, processed, forwarded or otherwise dealt with within the processes running inside an organization are of eminent importance when it comes to GDPR compliance checking. At the same time, tools and techniques to extract and visualize the flow of data within processes typically do not focus on GDPR relevance of the data flows. Though multiple data and process modeling standards exist (such as UML (Object Management Group, 2015) or BPMN (Object Management Group, 2014)), few of them provide explicit support for security or privacy assessments as required by the GDPR. Here, a demand for GDPR-specific tools for process mining, visualization, and documentation, with a strong focus on processing of personal data within these processes and linked to the GDPR requirements became evident.

### 4 DATA ANNOTATIONS

The most important task to solve when it comes to validating GDPR compliance of a complex, inter-organizational data processing system consists in elaborating the set of personal data that is actually processed within an organization. Only data that is actually processed is in scope for the GDPR, and only if it is of personal nature. Here, many organizations face the struggle to determine which data they actually process, in which processes that data is actually processed, and which of the data is of personal or even sensitive personal nature.

To overcome this shortage, a set of techniques have already been developed in research to extract data and data flows from existing process models, source code, log files, or even full-text documentation reports (cf. (Accorsi and Stocker, 2012; Van der Aalst, 2016; Accorsi et al., 2011; Valdman, 2001; Sharir and
Pnueli, 1978; De and Le Métayer, 2016)). However, none of these approaches is immediately suited for dealing with GDPR compliance. Especially the characterization of data being personal has not yet been incorporated into any of these efforts. This also stems from the fact that this characterization itself is a challenging one, as will be explained next.

### 4.1 The Problem of Determining Sensitivity of Personal Data

Imagine a system that utilizes a customer’s name and taxation ID (where we assume the latter to be a government-issued, unique identifier of each citizen, such as the Danish CPR numbers (Pedersen et al., 2006)). Both data items clearly are of personal nature, as both serve to identify the person behind the data easily. Intuitively, the taxation ID is even “more personal” than the name, as it uniquely identifies exactly one human being, whereas a name (as a string of characters) could be shared by many individuals of the same name, and therefore is not unique.

Without a doubt, the taxation ID is also a sensitive personal information. When knowing the taxation ID of an individual, it is possible to find out some additional information concerning the individual, such as its financial situation (based on tax reports), its probable age (the Danish CPR is based on the birthdate) and gender (coded into the Danish CPR again). Out of these, the financial situation can clearly be misused to harm an individual to the point of social ostracism, therefore it clearly fulfils the definition of a sensitive personal data item as defined in Article 9 GDPR.

The sensitive nature of the name is not that obvious, and many lawyers and data protection activists will argue that a name is not a sensitive personal information. First, it is typically not directly possible to gather critical, harmful information from a person’s name. Second, a name is publicly used to identify a person in society, therefore it is not considered a “secret” in any context. Nevertheless, a name containing “Muhammad” can directly be linked to a religious background, with a high probability of the person (or its parents) following a certain religion. Therefore, it may count as a sensitive information itself as well. From this example another fact becomes apparent, a determination of sensitivity would require a call to be placed on evaluating multiple dimensions such as usage of the data, inheritance from parent data types (if applicable), context, level of anonymization and/or generalization, among others. However, for the sake of this example, we will treat a name as non-sensitive personal data from now on.

### 4.2 The Problem of Determining the Status of Derived Data

If we now assume that a software system collects and stores both these data items, name and taxation ID, for every customer, we already have identified two possible sources of risks to a customer’s privacy (if the data gets lost) and two objects of interest when implementing a customer’s data access rights (cf. (European Parliament and Council, 2016, Article 15)). Thus, information concerning these data items and their processing is of clear interest to anyone trying to validate GDPR compliance for the system in consideration.

Now let’s assume the system utilizes both data items in combination to generate a unique identifier per customer, for use as a unique yet speaking reference for subsequent processes. Here, the system utilizes both name and taxation ID as input to generate a new data type: a customer ID. This new data item is thus derived from the two inputs of name and taxation ID, and thus may inherit the values and some of the properties associated with these inputs. Especially, it obviously is personal data itself again. This is due to the fact that both the inputs were personal data, the resulting data item is used for identification of human individuals (here: customers), and the processing of these inputs did not include any sort of anonymization techniques. Both input data are clearly visible and extractable from the newly generated data item of customer ID. Hence, it is easy to see the inheritance of this property to the “child” data item born from the two previous ones.

A more complex question is whether the resulting customer ID also is a sensitive personal data item. One of the inputs was sensitive, whereas the other was not (see discussion above). Hence, the decision of whether the resulting item is of sensitive personal nature or not depends on the type of processing. Here, a major challenge lies in the determination as to what extent the sensitivity of the input data items is transferred to the newly created data item. If the customer ID contains the complete taxation ID verbatim, that latter can easily be extracted from the former, and therefore the customer ID can easily be linked to a customer’s taxation data and financial situation, rendering it a sensitive personal data item. If only part of the taxation ID is used in the customer ID, or if some other method of anonymization or pseudonymization is applied (such as hashing of inputs or generalization of data, see e.g. (Zhou et al., 2008; Pfitzmann and Hansen, 2010)), the resulting customer ID may

---

1We omit the debate on whether this is a reasonable way to create a customer identifier in the light of the GDPR here. In short: it is not!
not that easily be linkable to the taxation context of a customer, and thus the status of sensitivity of the new data item is different. To subsume, the sensitivity status of the derived data items depends on the sensitivity status of the input data items and the type of processing applied to the newly created data item.

The same holds true for the status of “personal”: if one input is of personal nature and another input is not personal, the result may be personal or non-personal, depending on the processing. However, if none of the inputs is personal, newly generated data items will never be personal themselves. Similarly, if none of the inputs is of sensitive nature, the newly created data items will not be of sensitive nature themselves as well.

4.3 Annotating the Status to the Data

As can be seen, it is of eminent importance to determine and trace the status of “personal” and “sensitive” data items throughout the processing of data within a complex software system. Hence, it is necessary to document the assumed status of each and every data item utilized within a processing environment. This information can be documented in multiple different ways when dealing with real-world process development scenarios. For instance, the relevant data items could be collected in a separate, hand-written text document, explaining the data item, its status and assumed conditions. However, this approach is error-prone and complex, and does not allow for subsequent automated processing of that list itself. Thus, we propose a different approach: to annotate the GDPR-relevant information (like personal/sensitive status) directly to the data item in question within the source code of the processing software itself. Similar to the commonly used frameworks for automation of source code documentation (e.g. JavaDoc (Oracle Inc., 2004; Kramer, 1999)), we suggest to define source code level annotations to data items that can be used to immediately define the assume status of data items utilized within the source code.

An example is shown in Figure 1. As can be seen, the method `getCustomerID` uses the two inputs of `name` and `taxID` to create the new data item of `CustomerID`. Thus, we have two inputs and one output. Using the annotations seen above the code itself, a programmer can now directly annotate the status of the inputs and also declare the name and status of the newly created data item of `CustomerID`. These annotations, which follow the common approach for source code annotations for other purposes, can then be used by subsequent source code evaluation tools for subsequent uses (see next section).

As can be seen from the example, this annotation approach in our test environment already supports the use of the following annotation tags:

**Data** allows for annotating an input data item (that must be named equal to the corresponding variable name) with its status of being personal or even sensitive.

**dataCreated** defines the newly created data items from this method invocation. This may be the returned result value (as shown in the figure), but may also be any other data item that is newly created within the code of the method invocation, e.g. if it is added to some external database or sent to some other software component within the source code. As with the input data, the programmer can directly utilize this tag to annotate the assumed status of these newly created data items w.r.t. personal or sensitive status.

**Purpose** is a free-text field allowing to briefly describe the purpose of processing of the personal data in this method along the definitions of Article 6 of the GDPR. It can be extended for use in combination with a full-featured purpose management system (see Section 6.3).

More annotations will be added in later revisions of the toolset, but the approach should be obvious. Obviously, such annotations are only put into the source code for data items that are of personal or sensitive nature themselves. Non-personal data, such as counting variables or other implementation-specific method parameters that are not of personal nature will not be annotated at all, thereby will become omitted for subsequent processing of the annotations.
Once these annotations are available and used by the programmer in real-world environments, this allows for multiple subsequent ways of processing, ranging from visualizations (see next section) to data exchange standardizations (see Section 6.1) to consent and purpose management systems (see Sections 6.2 and 6.3).

5 DATA VISUALIZATIONS

Once the data fields, along with their status, interrelation and properties is annotated, it becomes feasible to automatically process such annotations—along with the annotated source code itself—to support various tasks around data protection and GDPR enforcement. These are to be discussed in this section.

5.1 The Data and Purpose Spreadsheet

The most obvious way to make use of the annotations of data items is to automatically compile lists of data items of same status. No matter how big the source code of an application gets, the task of searching for all @data and @dataCreated annotations and aggregating them into a simple list, sorted by status (personal/sensitive), is straightforward, easy, and fast. Thus, at all future points in time, everyone with access to the source code can easily determine which data items are processed by the particular software (or parts thereof), which of those are of personal nature, and which are of sensitive personal nature. Those lists then can be used as a basis for all subsequent tasks of GDPR enforcement, such as disclosure towards the data subjects (cf. (European Parliament and Council, 2016, Article 15)) or towards the data protection authorities (cf. (European Parliament and Council, 2016, Article 57)), assessment of risks associated with the data types processed, execution of a data protection impact assessment (cf. (European Parliament and Council, 2016, Article 35)), and many more.

Similarly, apart from the data annotations, it is possible to compile a list of all @purpose annotations—along with the @data and @dataCreated annotations used in the same scope—to identify the purposes of data processing relevant for a process. This list of purposes then can be used as input for subsequent steps like compiling a valid consent form to show and get signed off by the data subjects, which must explicitly state all the purposes relevant on why a system needs to process a certain category of data items (cf. (European Parliament and Council, 2016, Article 6.1(a))). Another use of this map of purposes to data items may lie in the case that a data subject selectively withdraws consent of processing of his/her data for a specific purpose. In that case, the map can easily be used to exactly pinpoint every single data item associated with that purpose, along with the exact locations of source code that handles such data items. Thus, implementing such a selective, separated-by-purpose processing system is made way more easy as compared to the task of manually searching for all potential data items assigned to a certain purpose by hand.

However, the risk of this approach is that the lists of data items and purposes may get lengthy and hard to handle manually, especially if the same data is listed multiple times under different names. To overcome such issues of multiple entries of identical data items or purposes, a mandatory preparational step is to preprocess and unify the annotations, eliminating different names for such identical data items, and thereby reducing the size of the compiled lists. This again is a straightforward process that can easily be automated as well, and thus is not detailed here. Still, the remaining list of data items is expected to rapidly become lengthy in real-world processing systems.

5.2 The Data Subway Map Visualization

In order to allow for better understanding of how the data flows within the process, it is even more relevant to not just list all data items as plain text, but to utilize a suitable visualization for the data items, their interrelation, and the resulting dependencies. Such a visualization makes it more easy for a human assessor to understand the way data is handled, processed, stored, or forwarded within a system. A good diagram makes every spreadsheet more comprehensible, and the same holds true for the interdependencies of data items in complex environments, especially when focusing on their specific properties w.r.t. the GDPR. Here, the approach used in the classification of data comes in handy, as it directly separates input data items from newly created data items. This allows for precisely determining a relation among data items, which we will dub the derived-from relation. A data item X is derived from another data item Y iff Y is an input data item to a source code method that annotates data item X as being newly created by that method.

Figure 2: Visualization example for a single derived-from relation.
Obviously, every data item can be derived from a single to arbitrary many input data items, and can again be used as input data to the creation/derivation of subsequent data items. However, this relation allows for a direction of data dependencies, which allows for a suitable visualization of the creation flow of data items performed by a processing system.

Figure 2 shows an example of a possible visualization of such a derived-from data set. As can be seen, the data item X is derived from Y, such that Y is the (only) input and both X and Y are outputs. Figure 3 illustrates this visualization approach in a more complex scenario, with multiple inputs and derived data items. The visualization used here has similar semantics to a subway map, indicating points of intersection (=derivations), but with a direction from left to right. Thus, the left-most input data items of a system are inputs gathered from the outside world (e.g. via user input forms), and the right-most data items illustrate the total set of data items used in the system.

The immediate purpose of such a visualization is to easily get an impression of the flow of personal data throughout a complex software system, and since it is compiled automatically, it is no longer necessary to understand the underlying source code at all. For a quick assessment of personal data processed within a system, this view thus is ideally suited to be used by data protection assessors, e.g. in the context of performing a data protection impact assessment (cf. (European Parliament and Council, 2016, Article 35)).

Moreover, if a data subject decides to selectively withdraw consent of processing for certain (input) data items, this type of visualization immediately allows to determine which other data items may be affected by that decision as well. Vice versa, if an assessor is interested to see what data is used as input to create a certain data item, the visualization allows for an easy determination when read from right to left. Colored animations in the visualization editor could even allow for more easy determination of such data interdependencies in real-world usage scenarios, and may e.g. be useful to highlight the flow of data of sensitive personal nature.

6 DATA ANNOTATION UTILIZATIONS

Beyond data visualization, which by itself is purely intended to support a human mind in understanding certain properties of a data processing system, there are other major approaches for utilization of the data annotations discussed in Section 4. Some of these are outlined and briefly debated here, but obviously, there is a large set of other approaches imaginable. Thus, the set given here just reflects some very high-level walk-through of some of the approaches that need to be investigated in more detail in subsequent research efforts.

6.1 Standardization of GDPR Metadata Exchange Formats

A major issue of performing data flow assessments e.g. in the context of a data protection impact assessment according to Article 35 of the GDPR consists in handing inter-organizational business processes. If data is processed by external collaborators, such as cloud providers or external data analytics services, it becomes challenging to gather all information relevant for determining the full data flows, purposes, and processing conditions in a sound, complete, and reasonable way. This process always requires direct bilateral interaction between all collaborating organizations, something that can hardly be expected to be achieved e.g. between a minor university’s IT department and a major cloud provider. Hence, the task of performing an overarching data protection impact assessment for the full data processing of student data, including the processes implemented and privacy risks arising at the cloud provider, becomes challenging if not impossible to manage.

A first step towards a solution of this challenge consists in standardization: if organizations share their particular GDPR-relevant information, such as data flow visualizations and purpose lists, in a standardized, public, commonly understandable data format, that could help solving the issues of such overarching DPIAs, risk assessments, transparency requests, and consent withdrawal immensely. Hence, the development of a single, all-inclusive, probably XML-based data format for exchange of GDPR-relevant metadata (data types, annotations, purposes, etc.) is a promising venue to supporting inter-organizational GDPR compliance implementations. This is an ongoing work in our current research efforts.

6.2 Consent Management

The challenges around the common practice of gathering explicit consent for processing of personal data from the concerned data subjects are numerous. If a data processing system changes, does that imply that all given consent forms for the old system become outdated? Do they need to be updated? Do the data subjects need to re-sign a new consent form? If so, is it an incremental form, just highlighting the
Figure 3: Visualization example for a complex derived-from map of a larger system.

changes, or is it a complete consent form, covering mostly things that the data subject has already consented to in a previous consent-giving event?

In order to answer such questions, organizations need to implement a sound consent management framework, operated by the legal experts along with the software developers, to address and react to all types of (minor or major) changes in the design of the data processing system. Especially in the age of agile software development, where new processing steps and purposes can be added to a system on a weekly basis, this task becomes even more challenging. Gruschka and Jensen (Gruschka and Jensen, 2014) have already started this debate, but the conjunction of that issue with the data annotation system described in this work looks promising for future research efforts.

6.3 Purpose Management

Similar to the consent management challenge, the task of keeping track which data processing is necessary for fulfilling which purpose, and to make sure that no data is used outside of the purposes it is collected and consented for, is a major issue when it comes to GDPR compliance of organizations. Again, given that the data annotation system already pinpoints the mapping of data items and purposes, it tends to become very useful in supporting this task, even to the point of complete automation. If a new purpose annotation is set in the source code, the system may—at deployment time—automatically update the purpose database, validate the existing consent to properly cover the combination of purpose and data item, and alert the software developer in case of a mismatch—or even decide to automatically update the consent form and ask the data subject to reconsent accordingly. Again, this task of purpose management indicates a lot of promising potential for future research options.

6.4 Determination of Data Sensitivity Factors

Another interesting avenue in the "Data sensitivity" challenge, is the determination of the factors effecting sensitivity, further determining the degree of effect of these factors on data type specific sensitivity. This issue would also heavily influence continued compliance to the GDPR in future. With the rise of Big Data and Machine Learning techniques, derived data types pose a significant threat to privacy. These secondary and tertiary levels of data (In some cases far more) must therefore have a schema in place to propagate the sensitivity, post determination of the first level. As
the complexity of the inheritance grows the determination of sensitivity would become a significant challenge to Privacy by Design approach as most often data types could be automatically derived for a subprocess which might not specifically be intended by the original designers. Previous work by ULD (Conference of the Independent Data Protection Authorities of the Bund and the Länder, 2016) does begin to give some insight on heuristics for factors, but there are yet more factors that could be inferred depending on the complexity of data; Data visualization support should go a long way in combating this issue. Applying machine learning techniques to determine the extent of effect and the factors themselves also provides an interesting research opportunity.

7 CONCLUSIONS

In the challenge of aligning the software development process with the requirements introduced by the GDPR, we have illustrated an initial data annotation approach along with its utilization for data visualization, standardization, and management. Based on this observation, we outline several fields of application, and call for an in-depth investigation of the many research challenges arising from these. We hope that future solutions in the envisioned research areas will help organizations to achieve GDPR compliance by using standardized, properly annotated, aggregated, integrated data flow architectures that work even in complex inter-organizational data processing systems.

REFERENCES


