The Globalization of Personal Data
Queen's University

Mid-term Report to the
Social Sciences and Humanities Research Council of
Canada (SSHRCC)

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The Surveillance Project

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Introduction

This report details the work-in-progress of the Globalization of Personal Data project, funded by the SSHRC INE[1] program and based at Queen's University. The project investigates some of the many ways that personal data flow across borders, with special reference to increased security concerns after 9/11, and with a view to highlighting and explaining the social, political and economic consequences of those flows. We are interested in which new technologies are being utilized for monitoring and keeping track of populations, why they are favoured over others and what actually happens when data are captured and processed. Our project team explores the triggers for their use, such as 9/11, but also their commercial, organizational and political catalysts. We examine the results of these growing modes of personal data processing, particularly in so far as they enable increased means of sorting groups by category and treating categories differently. And we investigate the responses of ordinary people – employees, consumers, citizens and travelers – to expanding surveillance.

Needless to say, these issues are of considerable importance to ordinary Canadians, not to mention citizens of other countries around the world. For example, the growth of e-commerce raises questions about "identity theft" (the unauthorized use of personal data for fraudulent purposes) and the spread of cell phones and mobile devices add yet another dimension, location, to the already existing means of mapping and tracking our everyday activities. The advent of the Department of Homeland Security in the USA has had extensive and ongoing repercussions in Canada, and security measures involving personal data now affect not only obvious sites such as airports, but also other areas such as economic transactions, employment and communications. These issues have become politically more central in the past few years, especially with the use of biometrics, video surveillance cameras and the quest for reliable means of national identification. We are all affected by these changes, and part of our task is to comment critically on whether these changes are for better or worse.

The first two years of our work have been extremely productive, and the collaboration of a diverse group of investigators has proved effective and stimulating. Indeed, we have discovered levels and dimensions of collaboration that simply did not occur to us when we made the initial application. It has been an exciting and stimulating process! As well as completing the objectives we set for ourselves in the first instance, we have also developed new strands of work and incorporated fresh approaches in order to deal with both unforeseen obstacles and with the ever-changing field that we chose to investigate. We have been pleased with the ways that our research plans have drawn together researchers in unexpected alliances, and how the overall project has retained its coherence despite the large-scale and ambitious nature of our plans. Queen's University has been as good as its word in providing adequate support, as have the faculties and departments at the university from which most of our team is drawn. At the same time, we have enjoyed good relationships with our colleagues from elsewhere in Canada and overseas, all of which has contributed to a collegial and fruitful working environment.

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[1] Social Sciences and Humanities Research Council of Canada, Initiative on the New Economy.

Research Overview

Personal data are routinely processed for many purposes. The Globalization of Personal Data (GPD) project seeks to understand what actually happens when personal data flows are triggered and particularly what happens when they flow across borders where different industry privacy rules and regulatory systems (or none at all) apply. A second aim is to find out how ordinary people feel about the travels of their personal data, whether the data are used to target, profile, or single them out for special attention. A third aim is to consider the consequences in a post 9/11 environment of intensified data flows (i.e., data merged from several databases) triggered by the push of a button: What difference do the data make to individuals and groups, and in particular, how they are used to determine life-chances, be it work prospects, mobility, credit ratings, and access to government services?

The "ordinary people" in question are employees, customers, travelers, and citizens. In each case, personal profiles or snapshots are compiled by merging databases and mining data in order to discover patterns of individual behaviour. This influences aspects of peoples' lives, especially when background information, transactional records and other locational data are examined and sorted into categories in order to permit differential treatment of the persons and groups concerned.

While the institutional, technological and legal aspects of the globalization of personal data are explored, another important thrust is to understand how ordinary people are involved in these flows and their understanding of what happens to information gathered about them. We also examine related national and global implications for social relationships, governance, and economic benefit.

What difference do the data make to individuals and groups, and in particular, how they are used to determine life-chances, be it work prospects, mobility, credit ratings, and access to government services?

Major project goals are:

■ to examine on a global scale the consequences of 9/11 for personal data flows, such as the introduction of various laws that govern access to personal data, profiling of people, and the reaction of people;

■ to discover empirically what happens to personal data in employment, citizenship, immigration, consumption, travel and other contexts, with a view to understanding their consequences for governance;

■ to conduct a major international survey involving thousands of individuals in nine countries to understand how ordinary people in different cultures experience and respond to the realities of networked data flows; and

■ to develop appropriate theory to explain and predict flows of personal data, and to connect this with privacy ethics and government policy.

Personal Data and Everyday Life

Personal data are processed in relation to many different roles that we play in daily life and our research focuses on four of these; employees, travelers, consumers and citizens. (See Micro-studies beginning on page 18.) Each of these raises a cluster of concerns that we investigate empirically and theoretically in order to find out exactly what is happening and how people and organizations are affected. In each case-study we analyse what happens to personal data, how and where they flow, how this is understood and responded to by those whose data are processed, and we draw conclusions that relate back to our overall aims and objectives.

Employees' personal data are found in many contexts and they flow across borders for a number of reasons. Kirstie Ball's work on call centres in South Africa and the UK plots where customer and employee data travel, and with what consequences. Unlike the persons to whom they refer, the data need no passports, yet the protocols used for their passage do make some significant differences. David Zweig and Jane Webster's research, that began with an examination of employee attitudes to workplace surveillance is now starting to focus on how consumers react to privacy invasions by organizations. Vincent Mosco and Simon Kiss are approaching similar questions obliquely, by trying to ascertain how trade unions and anti-globalization movements respond to workplace surveillance. In this case, research will show how employee knowledge of data-flows affects their awareness of and their engagement with surveillance issues. Some workers actually cross borders themselves in search of employment and the work of Cagatay Topal and David Lyon tries to explore where data flow in the case of workers from Turkey, who have found jobs in Germany. Do surveillance patterns serve to open and close doors to such workers?

Travelers' personal data may appear to travel with them in passports, ticketing information or drivers' licences but in fact the data also travel independently of the air passenger or the car driver. As Colin Bennett is finding in his research on airlines and ticketing, much data arrives at the passenger destination in advance of the passenger–with consequences for the reception of that traveler. How passenger data are treated also differs in different jurisdictions, as his comparative work on European countries and between Europe, North America and Asia shows. Mark Salter focuses rather on airports themselves, as sites of "global mobility regimes" and how risk management is handled in different contexts, especially after 9/11. Once again, flows of personal data are vital to this exploration. The notion of multiple mobilities in today's world is also taken up within Nicola Green's work on the travels of people and technologies as well as data. Personal data movement in the UK is being charted and will soon also be compared with studies undertaken in Canada. In each case mentioned here, the flows of data have a direct bearing on how the "means of movement" are enabled and regulated.

Consumers' personal data are increasingly mobile as commercial transactions occur across borders as well as within them. The work of Kathleen Greenaway and Yolande Chan, on the privacy orientations of Canadian firms, has implications for understanding how personal data travel, and with what consequences. The findings on management awareness of and interest in privacy questions is discouraging for privacy advocates, but offers a challenge to indicate more clearly how flows of personal data do have consequences in commercial contexts, some of which are certainly not intended by their initiators. David Skillicorn, approaching

Personal Data and Everyday Life

this from a computing science perspective, shows empirically how attitudes to commercial data movement on the internet differ depending, for example, whether people gain electronic access from work or home. The research of Jason Pridmore (with David Lyon) on retail loyalty cards again indicates how consequential are the varied origins and paths of personal data. Customer Relationship Management is shown to be a means of surveillance that uses personal data to sort effectively between different classes of consumer, privileging some and marginalizing others.

Citizens' personal data, lastly, also experience increasing density of flows, especially since 9/11. Taking the commercial theme further, but adding a legal dimension, Art Cockfield is exploring the varying levels of protection afforded to personal data as they travel across borders (and he uses the countries of our international survey as his examples). At the same time, Elia Zureik is looking at how new means of gleaning data, that use traces from the human body itself, affect different groups differently. Biometrics has become a central source of personal data, catalysed in part by the aftermath of 9/11, and these are used increasingly as a means of regulating physical entry across borders. However, there is a sense in which the "borders" themselves are being "virtualized" as the checks on personal data move upstream from geographical borders. National identification card schemes, studied by David Lyon and dependent on national registries of citizens, are appearing in several contexts with as yet little understood consequences for personal data flows. They enable an automation of sorting processes to occur, that combine the regulation of the means of movement with an increasing interoperability of systems dependent on single modes of identification.

Customer Relationship Management is shown to be a means of surveillance that uses personal data to sort effectively between different classes of consumer, privileging some and marginalizing others.

Notable Achievements

Workshops:

As promised in our Milestone document, we successfully hosted two workshops in 2004. The first, a preparatory workshop to discuss the international survey component of the research, was held in March 2004 at the Donald Gordon Centre in Kingston, ON. This highly collaborative workshop was attended by co-investigators, collaborators, graduate students, and consultants, such as Heather Dryburgh from Statistics Canada, and Stephanie Perrin from Digital Discretion, Inc. Also in attendance were representatives from Ipsos Reid and EKOS, the polling firms we engaged to facilitate the qualitative stage (Phase I) of the survey. A GPD collaborators' meeting followed this workshop. At this meeting co-investigators, collaborators and students were invited to present their GPD research to the rest of the team. General administrative points were also discussed.

The second workshop, State Borders and Border Policing, was held in August 2004 at Queen's University. A call for papers in the spring of 2004 netted 18 papers accepted for presentation at the workshop. Participants included researchers and scholars from Canada, the UK, USA, and Norway. Plenary sessions were held over three days, and the workshop was covered by CBC Radio, and the local CBC television affiliate, CKWS-TV. The worshop addressed key aspects of global flow of personal data and issues of surveillance as they impact corporeal movement of people and goods, as well as the virtual flow of data. The proceedings of this workshop will be published by Willan Publishers (UK). The title of the collection is *Global Surveillance and Policing: Borders, Security, Identity* and will be available in October 2005.

A third workshop, entitled Theorizing Surveillance: The Panopticon and Beyond, was held over three days at Queen's University in Kingston. Workshop participants from many countries including Finland, Denmark, Italy, Japan, the UK and USA explored various theoretical positions in the hope of providing some pointers for further multi-disciplinary and international work in surveillance studies. Each presentation made clear reference to empirical examples, to ensure clarity about what sort of surveillance practices and processes were being explained. While the workshop had some reference to policy implications, the main thrust of the event was theoretical development. A book featuring a collection of papers from the workshop is in process.

The May workshop was preceded by a collaborators' meeting and a meeting of the editorial board of the online journal *Surveillance and Society*.

Theorizing Surveillance: The Panopticon and Beyond
12-14 May 2005

Notable Achievements

The Surveillance Project (SP) adopted a distinctive wordmark/icon in 2004. In addition to adopting this visual identity, the SP created an informational brochure that briefly describes the research and team members. A copy of this brochure is included in the appendix.

A new Surveillance Project website was created in 2004, featuring the new visual identity.

SP Seminar Series:

A key component of our project are the research seminars we regularly hold throughout the academic term to draw other co-investigators, students, and partners together for round-table discussions. These seminars are coordinated by our full-time researcher, Emily Smith. Our SP seminar series feature one or more speakers who present papers and lead discussion. In the past 20 months several speakers have led seminars. These include Art Cockfield, Elia Zureik, Greg Elmer (Ryerson University), Jason Young (LL.M. candidate, University of Ottawa), Joan McCalla (Amethyst [Executive] Fellow, School of Policy Studies at Queen's University and Corporate Chief Strategist, Office of the Corporate CIO, Government of Ontario; seminar held jointly with the Knowledge-Based Enterprise Café, Queen's School of Business), Chiara Fonio (visiting student from Milan), Martin French, Cagatay Topal (both Sociology PhD candidates), Kathleen Greenaway (postdoctoral fellow, School of Business) and Alan Mcleod (Senior Legal Counsel, City of Kingston).

Other guest speakers we were fortunate to host include Mary Culnan, Slade Professor of Management & Information Technology Management Department, Bentley College, USA, whose talk "Current Issues in Information Privacy" was a joint presentation with the School of Business.

In June 2004 we hosted two speakers from Australia. The first, Roger Clarke, Visiting Fellow in the Faculty of Engineering and Information Technology at the Australian National University, spoke on the topic "The Search for Balance: The Past, Present and Future of Privacy Impact Assessments". Roger Clarke is also a member of the Asia-Pacific Privacy Charter Council, a GPD partner.

We then welcomed Malcolm Crompton, former Australian Federal Privacy Commissioner whose talk was entitled "Proof of ID Required? Getting Identity Management Right."

The Surveillance Project regularly co-sponsors events with Internet Studies at Queen's (IS@Q) whose primary goal is to promote communication among people interested in a broad range of social, political, economic, and cultural phenomena which affect and/or which have been affected by the emergence and spread of internet technology. An example is the recent symposium entitled "Critical Approaches to Knowledge Work," which featured Nick Dyer-Witheford, Associate Professor in the Faculty of Information and Media Studies at the University of Western Ontario; Ursula Huws, director of the social and economic research consultancy Analytica, Associate Fellow of the Institute for Employment Studies, and Honorary Visiting Professor of International Labour Studies at the Working Lives Research Institute at London Metropolitan University; Heather Menzies, an

SP wordmark and icon

Notable Achievements

Ottawa writer, teacher, and activist; and Vincent Mosco, GPD co-investigator.

In April 2005 we were pleased to present a unique community event featuring Valerie Steeves, Assistant Professor, Department of Criminology, University of Ottawa, and Senior Research Fellow with the Media Awareness Network (MNet). Steeves presented a public event for high school students, parents, teachers, and the Kingston community entitled "'It's Not Kids' Play': Protecting Teens Rights in Cyberspace - Internet Education for Young People". The evening event, staged at a local high school auditorium, was attended by community members young and old and was covered by local media. Steeves also conducted a workshop specifically for high school teachers on this topic, as part of the Limestone District School Board's professional development, and a SP seminar at Queen's University.

Media relations:

In the fall of 2004 Queen's *Alumni Review* magazine featured The Surveillance Project as its cover story. The story, entitled "Someone to Watch Over Me," was written by Lawrence Scanlan, and outlined for readers some of the issues surrounding privacy and surveillance in the post-9/11 world. The story featured photographs of and interviews from David Lyon, Jason Pridmore, Yolande Chan and Elia Zureik. The magazine has a circulation of 99,000.

Since the beginning of the project, many GPD co-investigators have been sought out by the media to comment on current events or GPD research specifically. At our State Borders and Border Policing workshop in August 2004, Colin Bennett, Mark Salter, David Lyon and Elia Zureik were interviewed by CBC radio and television journalists.

CBC radio also interviewed David Lyon and Hille Koskela during our Theorizing Surveillance workshop in May 2005.

Art Cockfield, David Skillicorn, David Zweig and Vincent Mosco have also responded to media requests.

David Lyon has been featured in several newspaper articles in Italy and Japan, relating to his book *Surveillance after September 11*, of which Japanese and Italian editions have recently appeared.

Notable publications and works in progress:

See appendix for a list of GPD publications.

International Survey

The international survey component of our research seeks to reveal complex cross-cultural attitudes to privacy and surveillance. Discovering these cross-cultural variations will enable various stakeholders to better harmonize differing privacy legislations. As part of the qualitative phase of our international survey, we have conducted focus groups in nine countries: Canada, USA, Mexico, Brazil, China, Japan, France, Hungary, and Spain. The number of countries was reduced from 12 to nine in order to remain within our budget.

Data from focus groups show that the public is prone to accept or endorse by default current privacy practices with little awareness of the personal or societal implications of existing laws or the technology itself.

The raw data have been submitted, and graduate students have been involved in writing extended narratives based on the raw data. Figure 1 provides a summary of the qualitative component (phase I) of the international survey. Brief reports by the vendors, Ipsos Reid and EKOS, have also been submitted. These reports are intended to feed into preparing the quantitative questionnaire which will be distributed to national samples representing these countries. In addition to the focus group interviews, we commissioned background reports on each of the countries concerned. The idea behind these reports is to help us understand the scope of existing indigenous research on privacy in each of the nine countries. We have been successful in obtaining background reports written by indigenous researchers on some of the countries on our list, such Hungary, Japan, Canada (Quebec), and Mexico. Additional background reports on Spain, Japan, Canada and Brazil have been completed internally and reports on the US, Mexico, Hungary, France and China are under preparation internally as well. Elia Zureik, the lead researcher for the international survey, led a Surveillance Project seminar in January 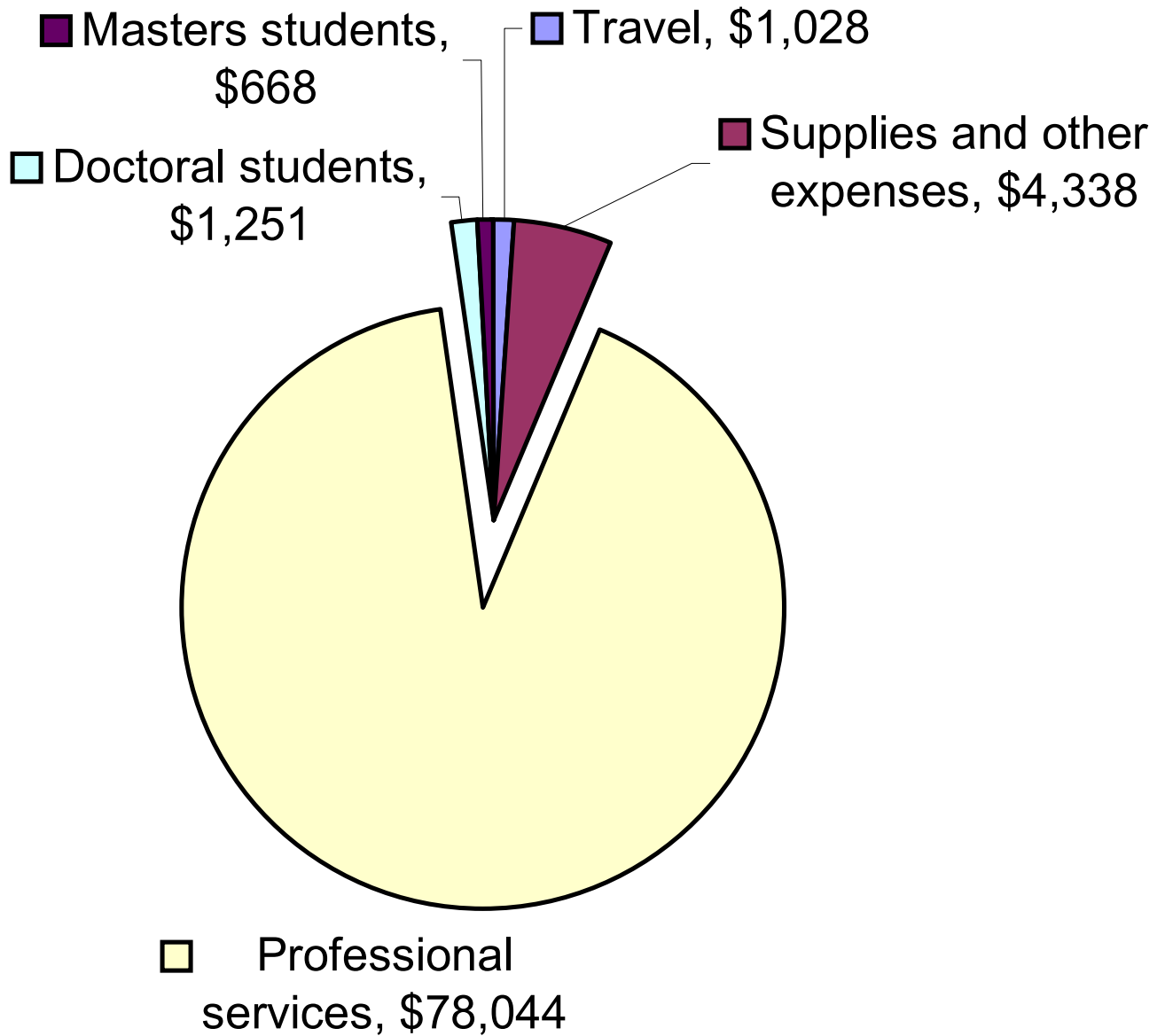2005 to discuss a heuristic model that will be the basis for designing the questionnaire (phase II). We anticipate that a draft questionnaire will be prepared and discussed at a research workshop in January 2006, and piloted shortly after. In summer 2006 we hope to complete the data collection and preliminary analysis, with the final report to be ready in early 2007.

What have we learned from this preliminary work? In Canada, for example, data from focus groups conducted in Toronto and Montreal show that the public is prone to accept or endorse by default current privacy practices with little awareness of the personal or societal implications of existing laws or the technology itself. We have learned that there is an urgent need to educate the public about the complexities of the information age, to demand organizational accountability with regard to handling personal data, and to develop ways of operating in an information-loaded environment so as to keep personal information secure.

Figure 1: Summary Table of Phase I Focus Groups

Country	City	Number of Focus Groups	Dates Held	Size of Focus Groups	Total Number of Participants	Background Report
Brazil	São Paulo	2	November 3rd and 4th, 2004	10, 10	20	No
Canada	Toronto Montreal	4 4	May 3rd and 4th, 2004 May 5th and 6th, 2004	8, 10, 7, 5 7, 6, 8, 8	59	Yes for Quebec
China	Beijing	2	November 26th, 2004	13, 13	26	No
France	Paris	2	December 20th and 21st, 2004	8, 9	17	No
Hungary	Budapest	2	December 10th and 14th, 2004	10, 10	20	Yes
Japan	Tokyo	2	October 28th and 29th, 2004	10, 10	20	Yes
Mexico	Mexico City	2	August 11th and 12th, 2004	9, 9	18	Yes
Spain	Barcelona	2	January 25th, 2005	10, 10	20	No
USA	Chicago	2	July 8th, 2004	11, 9	20	No
Total = 9	**10**	**24**	**May 2004- Jan 2005**	**Average Size 9**	**220**	**4**

Phase I Survey Expenses to 31 March 2005

Masters students, $668

Travel, $1,028

Doctoral students, $1,251

Supplies and other expenses, $4,338

Professional services, $78,044

Total: $85,330

Schedule for completion

Dynamics of Data-Flows: A number of team members are cooperating on some comparative investigations of cross-border data-flows in a variety of contexts. This arises from members' sub-projects and also from some of the projects listed below. The aim is to answer some of our original empirical questions about what happens when data flows are triggered. A workshop on this theme will be held in conjunction with the International Survey work in January 2006.

International survey: We anticipate that a draft questionnaire will be prepared and piloted early 2006. A one-day workshop is planned to discuss the questionnaire in January 2006. In summer 2006 we hope to complete the data collection and preliminary analysis, with the final report to be ready in early 2007.

Location technologies: Research began on the development in Canada of location technologies (in relation to GPS enabled Location-Based Services) late in 2004, resulting in a preliminary report in March 2005. Further research will be built on this, led by Steve Marmura (Sociology postdoc) and David Lyon, during 2005-2006. This will feed into our work on data from mobile workers and consumers.

National ID cards: Research on comparative national ID card systems in North America, Europe, and Asia will commence in 2006, with a view to discovering what sorts of personal data will travel as new systems come into being. This relates to the post-9/11 aspect of our research, and also to personal data circulating about citizens. It is led by David Lyon, in conjunction with postdocs in Sociology and Law.

Airport security and surveillance: A further phase of work on airport security, surveillance and screening will commence in September 2005, led by Mark Salter (University of Ottawa) and David Lyon. The aim is to examine what actually happens at Canadian airports, especially since the creation of CATSA (Canadian Air Transport Security Authority) in 2002. We are working in conjunction with CATSA on comparative research, relating to our "traveler" category, and in particular to consider the relation of personal data to "watch lists." A workshop in conjunction with CATSA is planned for March 2006.

Anti-surveillance campaigns: With the inauguration of I-CAMS (The International Campaign Against Mass Surveillance) in March 2005 we hope to study the effectiveness of movements dedicated to curbing or eliminating certain kinds of surveillance believed to be undemocratic or otherwise undesirable. We hope to work with our partner Privacy International on this, and to explore the role of such movements in raising awareness and of influencing policy. This emerges from our interest in the perceptions of surveillance and privacy in everyday life.

Schedule for completion

Planned workshops:

■ January 2006 Joint research workshop on the International Survey and Dynamics of Data Flows.

■ March 2006 Research workshop on airport surveillance in conjunction with CATSA, Montreal.

■ July 2006 International Sociological Association session on "Security, Surveillance and Social Sorting," Durban, South Africa (David Lyon and other team members are involved).

■ Fall 2006 International Survey final workshop preparatory to findings dissemination (including co-investigators and partners meeting)

■ May 2007 Research Workshop on national ID cards (plus co-investigators meeting)

■ August 2007 Final GPD co-investigators, partners and collaborators meeting in conjunction with a research workshop entitled "Globalization of Personal Data: What we have learned and a new research strategy."

Future dissemination of results:

Documentary DVD: We have entered negotiations with White Pine Studios (Toronto) to make a documentary film of the issues covered by our project. Internationally acclaimed film-maker Peter Raymont has shown great interest in our work, and plans to take a concept brief of the film to the Banff Television Festival in June 2005.

Documentary Book: We have entered discussions with Knopf Canada (Random House) to consider producing a title on Canadian case-studies of personal data-flows, with special reference to the post-9/11 situation.

Surveillance in Film Symposium: A symposium featuring films with a surveillance theme is planned for early 2006. The symposium will include presentations by guest speakers.

Green Papers: We plan to initiate a series of Green Papers in 2006. We have been working with Queen's Media and Communication to consider the best format for such papers. Their suggestion is that we involve the *Globe and Mail* newspaper and CTV in this project. Once we have the concept properly established we plan to move ahead with occasional paper production.

Future of the Project

The Globalization of Personal Data project has proved itself by making an important contribution to our understanding of the growing significance of personal data in the twenty-first century, and especially after 9/11. What happens to our personal data is of utmost importance to Canadians' life-chances and to the choices that we make on a daily basis. How such data are handled has implications for where we may work and travel, and for what we may buy. While some schemes that use personal data definitely produce greater efficiency, productivity or safety at work, in airports, with government departments or in economic transactions, others lead to the loss of civil liberties, of freedom of movement or of financial security. How, when, and for whom these positive and negative social consequences of proliferating cross-border and national flows of data traffic occur is clearly a matter of more than mere academic interest! Questions of human dignity and social inclusion or exclusion are of the essence.

The work we are engaged in has been recognized and is sought by numerous agencies, universities and individual researchers in Canada and around the world. We are partnering or interacting with new agencies, some of which did not even exist at the time of original application, as well as the groups with which we set out on this research project. Our work, based mainly at Queen's, has become a hub for international research, and opportunities for visitors to spend time with us are increasingly sought by both leading researchers and PhD students from many parts of the world. More and more, our work sets new standards for cross-disciplinary and international cooperation. We are playing an expanded role in the production of our online journal, *Surveillance-and-Society*, and are involved in several creative and innovative initiatives to find new modes of dissemination for our research results. We are training a steady stream of graduate students in research skills, and also providing invaluable opportunities for postdoctoral fellows to round out their research capabilities and to take major responsibility for research projects.

For all these reasons, we believe that it is imperative that our work continue after the official end of the current funding in 2007. We feel a strong sense of responsibility to our constituency of academics, policy-makers, media persons, NGOs and others who use our work, and of course the Canadian public. As well, we have a keen commitment to our graduate students (from Canada and abroad) to maintain the level of supervision and international exchange that has come to characterize our work in such key ways. The range of issues is increasing constantly, especially with the growth of security-oriented governance and its associated practices and processes such as the adoption of national ID cards, the greater use of electronic media in policing and in corrections as well as in employment and consumer situations. We also have come to see that the work we have begun demands some continuity as well as increased cooperation with others, especially in the international and comparative context. To this end, we are seriously considering what shape our future endeavours should take.

Micro-studies: Employees

Kirstie Ball
The Open University Business School, UK

The objective of Ball's set of case studies is to complete a detailed investigation of the causes of variation in customer and employee information use in outsourced call centres. A number of literatures have been consulted: the call centre, trust, privacy and some social theory on time/space distanciation. These literatures have helped frame and scope the study.

The questionnaire and research design stage of this work is complete. Three separate instruments were produced.

As this is a comparative study, access to equivalent organizations in the UK and overseas is imperative. Cape Town's largest contract call centre has participated, and access to a similar organization (i.e. outsourced, not in- house) is being addressed in the United Kingdom.

The South African case study was completed in February 2005. A total of 18 employees were interviewed, and 55 survey responses were collected from agents over a two week period. A further 11 supervisors completed an information audit questionnaire. These interviews are currently being transcribed.

A delay has been experienced in gaining access to a UK-based organization. A number of strategies have been developed to combat this, involving further contact with regional inward investment agencies and the call centre association. Once access is secured, the research will be complete in a two-week period.

Analysis of the South African case study commenced in May 2005 and the project will be completed by April 2006.

David Zweig, University of Toronto and Jane Webster, Queen's School of Business

Zweig and Webster's original research question was designed to assess the psychological mechanisms guiding attitudes and behaviours towards monitoring. The investigation was originally planned to take place in a workplace context; however, access to organizations to conduct such an investigation has proved challenging.

To overcome these challenges, the researchers have redirected their efforts toward examining the psychological mechanisms guiding consumer attitudes toward privacy.

Two studies were conducted to examine consumer reactions to privacy invasion by organizations. The first study examined how consumers respond when they are informed that their personal information was collected and sold to a third-party database marketing firm. Not surprisingly, consumers perceive a high level of privacy invasion and report very negative attitudes toward the organization that collected this information.

This study was presented at the Annual Conference of the Association for Consumer Research in October 2004, and will be presented at the Annual Conference of the Academy of Management in August 2005. It has also been submitted for review to the *Psychology and Marketing Journal* ("Beyond Privacy: The Mediating Role of Psychological Contract Breach in the Relationship Between Knowledge-Based Marketing Practices and Attitudes").
Similar results were found in the second study examining consumer reactions to radio

Micro-studies: Employees

frequency identification tags (RFIDs) that are embedded in products and transmit consumer information to organizations. A manuscript based on these studies is in preparation.

Zweig and Webster have completed a book chapter entitled "Beyond Privacy and Fairness Concerns: Examining Psychological Boundary Violations as a Consequence of Electronic Performance Monitoring" (in J. Weckert [ed.] *Electronic Monitoring in the Workplace: Controversies and Solutions,* Idea Group, 2005) that integrates the relevant research on electronic performance monitoring (including their own) and sets out a new research agenda for future investigation.

Zweig and Webster continue to seek out research sites to conduct field studies investigating the impact of electronic monitoring on employees.

Vincent Mosco, Queen's Dept. of Sociology

Vincent Mosco (Canada Research Chair in Communication; Sociology), along with PhD candidate Simon Kiss (Political Studies), is conducting a study of how trade unions and the anti-globalization movement are responding to increased surveillance of the workplace and of social movements respectively. The study is situated within theoretical perspectives that see civil society as a site of growing contestation and surveillance.

A literature review was carried out in June 2004 that identified the extent and major forms of workplace surveillance as well as trade union approaches to the problem. This was followed by a content analysis of over 5000 collective agreements stored in the Negotech database, maintained by the federal Human Resources Development department, to find contract language regarding workplace surveillance. An analysis of both English- and French-language agreements that determined the extent of such clauses, the type and strength of clauses, and the types of unions that contain such contract language were carried out. Some results of the research were presented at a symposium on Knowledge Work, which took place at Queen's University in March 2005. A paper based on this research was accepted for presentation at the Annual Meeting of the Canadian Association of Industrial Relations (CAIR) in June, 2005. Mosco and Kiss are in the process of completing a second paper which, based on earlier draft, has been accepted at a conference of the International Federation of Information Processing Societies in Turku, Finland, June 2005.

In January 2005 the second phase of the project, which examines the response of the anti-globalization movement to increasing surveillance of its activities, began. Mosco and Kiss are part way through the literature review and will carry out a detailed analysis of specific cases over the summer 2005.

Cagatay Topal (PhD candiate) and David Lyon

Topal studies, under the supervision of David Lyon, surveillance regimes that migrant workers from Turkey have experienced since the first recruitment agreement between Germany and Turkey. His research is titled "Surveillance over Migrant Workers from Turkey in Germany: From the Disciplinary Society to the Society of Control." It also locates the surveillance experiences of Turkish migrant workers within the context of the relationship between Turkey

Micro-studies: Employees

and the European Union. It aims to show that inclusion/exclusion of migrant workers from Turkey within/from Germany can be seen as the joint effect of the processes of immigration, globalization and surveillance.

In the summer of 2004, Topal conducted field research in Turkey and visited a variety of Turkish organizations. He found that both German and Turkish states have instituted electronic recording of information on migrant workers from Turkey. Turkey does not have a separate database for migrant workers in Germany, but Germany, on the other hand, has a central foreign register that includes a great deal of information about all immigrants in Germany, including those from Turkey.

Topal's research in Turkey did not produce sufficient evidence to observe a transition form the society of discipline to the society of control. He is in the process of completing the second part of his field research in Germany, after which he hopes he will have a clearer picture about this transition. The research will consist of interviews with representatives of Turkish labour organizations. He will conduct interviews and collect documents from organizations concerning the conditions of migrant workers from Turkey and hopes his research will demonstrate the practical appearances of surveillance in Germany confronted by migrant workers from Turkey.

Micro-studies: Travelers

Colin Bennett (University of Victoria)

Bennett employed a research assistant in the summer of 2004 to gather some basic factual information on the CAPPS II data profiling system, Global Distribution Networks (e.g. Galileo, Sabre), the data collection practices of Air Canada, and the ongoing conflict between the EU and the US over passenger-airline data. This research formed the basis of his paper: "What Happens when you Book an Airline Ticket (Revisited): The Collection and Processing of Passenger Data Post 9/11" which was delivered at the State Borders and Border Policing workshop at Queen's in August 2004. This paper has been revised for inclusion in the forthcoming book edited by Elia Zureik and Mark Salter, *Global Surveillance and Policing: Borders, Security, Identity* (Willan Publishing).

A second paper was delivered on the conflict between the EU and the United States on "The European Union and the International Regulation of Personal Data" to the conference on "The European Union and the World: Asia, Enlargement and Constitutional Change" in Beijing on 5 – 6 May 2005. This conference was hosted by the Chinese Academy of Social Sciences. Bennett plans to conduct further interviews in Toronto/Ottawa in 05/06 for the possible preparation of a paper to the International Sociological Association conference in Durban (July 2006).

Mark Salter (University of Ottawa)

Salter has begun the empirical research into data flows in the Canadian case. He attended the International Civil Aviation Organization's Aviation Security World 2004 conference in early November, which allowed him to develop contacts for later interviews and gauge the interface of government and commercial interests. Salter has examined the policies and bureaucracies at work in this area, and found the clear dominance of the risk management paradigm. In investigating this dynamic at the Canadian border, he argues in an article in preparation for submission to the *Journal of Homeland Security and Emergency Management* called "No Exit: The Dangers of a Risk Management Strategy at the Border," that this model has several structural flaws. Salter also presented this research at a number of professional workshops, including a training seminar for Canadian Air Transport Security Agency executives, a policy conference organized by the Canada Project at the Center for Strategic and International Studies, and the general implications for border security at a workshop hosted by the Woodrow Wilson International Center for Scholars and the Institut d'Études internationals de Montréal.

Salter's paper "At the Threshold of Security" was presented at the Association of Borderlands Studies annual conference and is included in the forthcoming Willan book *Global Surveillance and Policing: Borders, Security, Identity*, which Salter co-edited with Elia Zureik.

In the next year, Salter will be expanding his evaluation of the airport as a node in the global mobility regime in partnership with Peter Adey, who has previously written substantially on this topic for the online journal *Surveillance and Society*.

Nicola Green (Digital World Research Centre and Sociology, Surrey University, UK).

Nicola Green's Life of Mobile Data (LMD) project encompasses the main themes of the GPD research, examining the intersection of different mobilities, the movement of people,

Micro-studies: Travelers

technologies and information, across borders and boundaries of various kinds. Focussing on the social and cultural significance of mobility and data in particular, the micro-study specifically contributes to the "travelers'" stream of the project, but also has overlap with, and contributes to, the "consumer" and "citizen" streams of the research.

A concurrent theme of the research examines the notion of "borders" or "boundaries" and how these are conceptualised with respect to everyday mobilities

The first phase of the LMD research focussed particularly on mundane mobilities and everyday travels, and the cultural understandings of these social relations amongst the UK public. A concurrent theme of the research was to examine the notion of "borders" or "boundaries" in particular, and how these are conceptualised with respect to the everyday mobilities outlined above.

Firstly, a literature search and bibliography on cross-border mobilities of people, goods and data-flows was conducted in July 2004. The results of this bibliographic work have contributed to a UK-based research funding proposal intended to complement and extend the UK contribution to the collaborative work undertaken by the Queen's GPD project. This proposal will be lodged with the UK Economic and Social Research Council's open funding stream.

Secondly, in conjunction with RIS:OME (an Intel-funded project: Regulation, Information and the Self: Ownership in Mobile Environments), a series of focus groups took place at the end of 2004, focussing on aspects of mobility, personal data, surveillance and privacy, with members of the UK public. Four focus groups, each with six participants, were conducted in London. The proceedings of these focus groups have been transcribed, and

analysis of the data will take place in June 2005. It was expected that the analysis of the focus groups would take place by the end of 2004, but the conclusion of the RIS:OME project, and subsequent loss of the project's Research Fellow, has meant that the timetable has shifted given other institutional commitments. It is, however, expected that the findings from the focus groups will contribute to the comparative conceptualisation of these issues across the GPD project, and make a contribution to project meetings, conference papers and possible publications in the coming year.

The analysis of the focus group data will also provide a template for second-phase research, identifying the forms of generation and circulation of data that are of most cultural significance in the UK context, and pursuing

- a further exploration of how "privacy" is conceptualised and practised in the UK on an everyday basis, using Christena Nippert-Eng's "Islands of Privacy" methodology
- an investigation of the relevance of "lateral" as well as organisational and institutional monitoring and surveillance practices
- an exploration of the changing landscape of UK data collection and circulation practices, particularly as they relate to institutional change with respect to traveler and citizenship data in UK border regions
- an exploration of the contribution recent feminist theory might make to an analysis of contemporary monitoring and surveillance

Micro-studies: Consumers

Yolande Chan (School of Business)

In 2004, Yolande Chan examined privacy awareness in small and medium-sized (SME) Canadian communications and information technology (CIT) enterprises with research assistant Anna Dekker. Letters were sent to CIT firms in southern Ontario (Toronto, Kingston, Ottawa and surrounding areas) using the Industry Canada Strategis database (see http://strategis.ic.gc.ca/) and local business directories. Chan's goal was to discover executives' interest in, and managerial action to ensure, the provision of data privacy to customers and employees. A case study approach was employed. However, SMEs were unwilling to take time out from their busy schedules to discuss these issues, and the study was eventually discontinued. Chan learned that SME executives in Ontario in this high-tech sector were generally unaware of, and unconcerned about, applicable privacy legislation (e.g., PIPEDA). They did not see the provision of information privacy as a management priority. Privacy services were seen as a cost, not as a competitive opportunity. Given scarce financial resources and time, "stretched" executives focused their attention elsewhere. A follow-up survey of large Canadian organizations (e.g., financial service sector institutions) is planned for 2005. This will be carried out with postdoctoral fellow, Kathleen Greenaway. It is envisioned that privacy awareness and attention in large multi-national firms will contrast significantly with the 2004 findings.

Jason Pridmore (PhD candidate, Sociology) and David Lyon

Jason Pridmore, under David Lyon's supervision, studies retail loyalty cards and virtual shopping carts. His study of personal data flows focuses on the tracking of consumer behaviour with special reference to multi-national corporations and cross-border transactions. Pridmore has received ethics approval to proceed with interviews of corporate representatives to evaluate the processes by which consumer information is retrieved, stored and used. Pridmore anticipates that the data gathering phase of his research will be completed by fall 2005 after which he will analyse and evaluate the data.

David Skillicorn (School of Computing)

David Skillicorn examines the ability of analysis techniques based on matrix decompositions to reveal and elucidate latent or hidden structure in responses to survey data. Such structure might occur because of similarities between the responses of individuals, or because of similarities among the issues about which survey questions are asked. Skillicorn intends to apply these techniques to the international survey data, the major deliverable of the GPD project.

Several large datasets on the topic of internet use and associated privacy considerations have been examined. So far, only limited analysis has been done, in part because of data cleaning and preparation issues. Some results have been surprising: for example, there appears to be a strong difference in use of and attitudes to the Internet depending on whether it is accessed from a home setting and somewhere else (work, public site). Less surprisingly, attitudes to

Micro-studies: Citizens

privacy are related to experience with the Internet and sophistication of use — more experience leads to more wariness in general. The data analysis has been done in collaboration with Allison Larsen, a research assistant and M.A. candidate (Sociology).

Arthur Cockfield (Faculty of Law)

Art Cockfield's major contribution to the project thus far is a background paper entitled "A Comparative Analysis of Canadian and Foreign Private Sector Privacy Laws," which was submitted November 2004.

The paper compares the Canadian federal legislation that governs commercial transfers of personal information, the Personal Information Protection and Electronic Documents Act (PIPEDA), with privacy laws of ten foreign countries, most of which are included in the project's international survey component: USA, France, the Netherlands, Poland, UK, Hungary, Australia, Mexico and Brazil. The analysis was intended to promote an understanding of whether the personal information of a Canadian resident is subject to similar legal protections when it is transferred to another country.

Cockfield has presented his research at the annual meeting of the Canadian Association of Law Teachers, the annual meeting of the Association of American Law Schools, the annual meeting of the Centre for Innovation Law and Policy, two Queen's Surveillance Project Seminars, as well as numerous presentations at universities in Canada, Japan, China, and the USA.

Cockfield is currently preparing a textbook on law and technology for classroom use in the fall of 2005, including a chapter on Canadian privacy laws and related judicial decisions.

David Lyon (PI, Sociology)

Building on work done for over a decade, Lyon is establishing a research group to examine the rise of national identification cards. While some proposals, such as those in Canada, the UK and the USA, date directly to the aftermath of 9/11, several other schemes, especially in some South-East Asian countries, have been developing over a number of years before 9/11. The study undertaken within the GPD project is a comparative analysis of the origins and consequences of using "smart" ID systems with actual or potential multi-purpose cards. The vital difference between the present proposals and earlier ID systems is that they depend on the establishment of national citizen databases — such as the "Juki-Net" system in Japan — thus locating their activities precisely within the field of analysis of the GPD project. How personal data flows are fostered, and with what results for citizenship and social sorting, are the questions investigated by this initiative. The value of comparative research is that we shall be able to gauge the contribution of these new national ID card systems to the globalization of personal data and to new forms of inclusion and exclusion in nation-states.

The Project Team

Management structure:

The GPD project has been successfully managed by the group of three primary co-investigators at Queen's (Chan, Lyon, and Zureik), with Lyon handling overall direction and Joan Sharpe (Project Manager) responsible for day-to-day administration. Periodically we hold all-member meetings at Queen's, at which questions of policy and direction are raised, and there are regular meetings at which research questions are discussed. When we hold research workshops we try to draw other co-investigators and partners together for round-table discussions, and more of these are planned as we proceed through the final two years of our research. Not wishing to over-burden the research process with superfluous meetings, and finding that the work progresses perfectly satisfactorily without a formal advisory board, we have not appointed a further body to oversee our work. Instead, we have chosen to call upon a highly qualified and experienced international group of researchers for advice, when it is needed. (Please see the appendix.) This method seems to work well, and suits the research task focused nature of our work.

The project also benefits from two full-time staff researchers, Emily Smith and Pasha Peroff, and one part-time Research Assistant, Shannon Yurke.

Post-doctoral fellows:

In the summer of 2004 we were pleased to hire Linying Dong for a four-month period, who, under the supervision of Yolande Chan, surveyed and summarized the MIS literature on privacy for a working paper entitled, "Information Privacy Practices: Dimensions and Influences." This paper will be submitted to an MIS journal.

Stephen Marmura, who recently completed his PhD in Sociology from Queen's University, was hired in November 2004. Under the supervision of David Lyon, Marmura led a research team which assembled a "trends report" pertaining to the privacy implications of location technologies in Canada. This was submitted to the Office of the Privacy Commissioner at the end of March 2004. Marmura is now investigating surveillance issues relating to homeland security. In May 2005 he attended a conference in Ottawa hosted by the CRTI concerned with "Human Dimensions and the Risk of Terrorism."

Kathleen Greenaway joined the project as post-doctoral fellow in January 2005 following the successful completion of her PhD at Queen's School of Business in December 2004. Greenaway continues with her research on information privacy orientations at Canadian corporations under the supervision of Yolande Chan.

Finally, we have agreed in principle to hire Rebecca Wong, a PhD candidate in the Faculty of Law at the University of Sheffield in the UK, as a postdoctoral fellow as soon as she completes the requirements of her program (anticipated completion September 2005). Ms Wong will be primarily supervised by Art Cockfield, a GPD collaborator and Queen's Law faculty member.

The Project Team

Yolande Chan (School of Business)

As a member of the GPD management team (along with David Lyon and Elia Zureik), Yolande Chan helps steer the project overall and shares responsibility for all major budget and strategic decisions. Chan also supervised Kathleen Greenaway's PhD research on the information privacy orientation of financial organizations. This 2004 study involved the examination and analysis of privacy policies posted on the websites of Canadian financial organizations. It also involved four in-depth case studies (including internal survey data gathering and document analysis). Four publications related to this research are in progress/anticipated. Another co-authored publication, related to a privacy panel chaired by Chan at the 2004 International Conference on Information Systems, is also being finalized.

In the summer of 2004, postdoctoral fellow Linying Dong, under the supervision of Yolande Chan, surveyed and summarized the MIS literature on privacy. They have produced a working paper that will be submitted to an MIS journal.

Chan is currently supervising research on data security and identity theft by MSc. student, Frederick Ip. This research involves a survey and in-depth cases studies in financial service organizations and in higher education institutions. This study will be completed in August 2005. A research publication is planned.

Elia Zureik (Sociology)

Elia Zureik leads the international survey component of the research. In this role he organized and oversaw a survey planning workshop held March 2004, wrote a concept paper and appendix, engaged the services of two prominent public opinion polling firms (Ipsos Reid and EKOS), personally briefed focus group moderators in all countries, and continues to supervise ongoing data analysis by staff researchers. Zureik and Mark Salter also organized the academic workshop State Borders and Border Policing, which was held August 2004. He and Salter edited the collection of papers from the workshop for a forthcoming Willan book *Global Surveillance and Policing: Borders, Security, Identity*. In January 2005 he conducted a seminar to discuss a heuristic model that will be the basis for designing the questionnaire for the international survey. He was a co-organizer of a workshop that was held at the European University Institute in Florence, Italy on 24 - 28 March 2004 which addressed the issue of information technology in the Middle East. He presented a paper at the workshop titled "Conceptual Framework for the Study of ICT in the Arab World". Zureik was also invited to attend a workshop on biometrics and immigration that was hosted in October 2004 in Ottawa by Canada Immigration and Citizenship.

Zureik plans to conduct further research on biometrics with specific reference to various legislations and case studies. This component of the project will be completed in late fall, 2005.

David Lyon (PI; Sociology)

David Lyon has been researching on a number of fronts, including some (such as the Location Technologies project, with Steve Marmura and Pasha Peroff) mentioned earlier in the report.

The Project Team

Preparation is underway for the project on national identity cards (with Pasha Peroff and, eventually, with other co-investigators), and for the next phase of the airport surveillance and screening research (led by Mark Salter and carried out in conjunction with CATSA). A research-related meeting with CATSA took place in February 2005, in which Pasha Peroff also participated as the recorder. As well, Lyon has been planning and coordinating the ad hoc session on "Security, Surveillance and Social Sorting" at the International Sociological Association meeting in July 2006. He has written two articles: location technologies (submitted to *Information, Communication and Society*) and surveillance in Japanese cities (with David Wood and Kiyoshi Abe, submitted to *Urban Studies*). He also contributed a chapter to the Salter and Zureik volume *Globalizing Surveillance and Policing*, a slightly shorter version of which appeared as 'La frontière est partout: Encartement, surveillance et alterité' in *Cahiers d l'institut de sécurité intérieure* (56, 2005), and wrote an issue brief for the Oxford Internet Institute, on *ID Cards: Social Sorting by Database* (2005). He is also planning a book for Polity Press, Cambridge, called *Introducing Surveillance Studies*.

Lyon has undertaken a number of speaking engagements at Jawaharlal Nehru University, Delhi, the University of Madras, The Institute for Social and Economic Change, Bangalore, India; Edinburgh University, Surrey University and Cambridge University, UK; Sophia University, Tokyo and Kwansei Gakuin University, Kobe, Japan (all in 2004); Dartmouth College, Calvin College, and Cornell University, in the USA and at the University of Ottawa (in 2005).

In October 2004 David Lyon presented some of the general issues underpinning the GPD project to the Office of the Privacy Commissioner (OPC) in Ottawa. The title of presentation "The Globalization of Personal Data: Flows, Channels, and Consequences" provided some useful points for the OPC as it continues with its mandate of advocating for appropriate Canadian privacy policy.

The Project Team

Graduate students play a vital role in the research. Many specific aspects of the case-studies, for example, are investigated by both PhD and MA students in conjunction with faculty and postdoctoral fellows. We support a number of such students and offer them both rigorous research training and opportunities to interact with research colleagues from across the globe.

Students contribute to the research process through the design of projects, ethics review submissions, and, most importantly, data gathering and analysis. Students also actively participate in academic workshops and seminars by assisting with planning, presenting papers and presentations, and assisting with the engagement of guest speakers.

Kathleen Greenaway (PhD, School of Business)

The GPD Project supported Greenaway's doctoral dissertation research into Information Privacy Orientation in Canadian financial institutions (successfully completed in December 2004). Working with Yolande Chan, she developed and refined specific research skills including:

- negotiating entry into firms for intensive field research.
- preparing ethics review documentation.
- developing and validating qualitative and quantitative instruments.
- analyzing qualitative and quantitative data.
- communicating the results.

In January 2005, Kathleen Greenaway accepted a postdoctoral fellowship with the Project. In this capacity she and Chan will use modified dissertation instruments to conduct a follow-up survey in two Canadian industries. As well, they will investigate the development of an information systems-based privacy researcher page in conjunction with an international information systems association. Seven co-, sole- and multi-authored papers are in process or under review. Please see the appendix for a list of these publications. Greenaway also presented a SP seminar in preparation for her dissertation research in late 2004 and presented a session co-sponsored by the QSB Monieson Centre in March 2005.

Jason Pridmore (PhD candidate, Sociology)

Pridmore has been able to develop skills by engaging with a variety of topics and issues related to surveillance practices. The seminar series both funded and supported by the project have sharpened his ability to critically engage with materials and have helped make several connections between topics and issues. His work with David Lyon on consumer data processing and surveillance is funded by the GPD project.

Cagatay Topal (PhD candidate, Sociology)

Cagatay Topal's involvement with the GPD project has given him skills and perspectives to understand the issue of surveillance more as a joint effect of different, yet interconnected, social practices rather than as a single process of recording and disciplining.

Students contribute to the research process through the design of projects, ethics review submissions, and, most importantly, data gathering and analysis.

The Project Team

Martin French (PhD candidate, Sociology)

Martin French's research concerns health, health data and health data flows. He reports that the supportive environment created by the GPD project has been central to fostering the development of his research in the areas of privacy and surveillance, public safety and national security, and the governance of health surveillance. He has had the opportunity to participate in the research design of the international survey component, attend and observe French language focus group's in Montreal, and attend relevant conferences in Ottawa and Montreal. He also was a co-ordinator, with David Lyon, of the workshop Theorizing Surveillance held May 2005.

Simon Kiss (PhD candidate, Political Studies)

Simon Kiss collaborated with Queen's co-investigator Vincent Mosco on the GPD project concerning trade unions and surveillance. He has received training the analysis of secondary and primary literature, content analysis, and in preparing papers for conference presentation. He will be the primary presenter of his and Mosco's findings at the CAIR (Canadian Association of Industrial Relations) meeting in June 2005.

Emily Smith (M.A., Sociology)

With support from the Globalization of Personal Data Project, Emily Smith completed her Masters thesis in Sociology in November 2004 under the primary supervision of Elia Zureik and secondary supervision of David Lyon. Her thesis on employee resistance to surveillance in Ontario call centres explored monitoring, control and resistance in the call centre labour process, related to the intensive use of surveillance technologies in these workplaces. It also presented the research results of qualitative semi-structured interviews with call centre workers in Ontario. Working with the Project gave Smith the opportunity to connect with many experts in various disciplines specializing in this area including Vincent Mosco, Kirstie Ball, Jane Webster and David Zweig. As a member of the project she also participated in the research workshop State Borders and Border Policing, as well as meetings related to the conceptual and methodological issues involved in the preparation of the international survey. These experiences were invaluable for networking with faculty and students from outside the Queen's community. Smith also conducted relevant literature searches for work under the project, as well as helped to organize the Surveillance Project Seminar program, by inviting researchers to speak on various topics related to surveillance.

Emily Smith was hired by the GPD project as Project Researcher in December 2004.

Athena Elafros (M.A. candidate, Sociology)

Elafros, under the supervision of Elia Zureik, extracted themes from focus group data concerning privacy and security issues and provided detailed charts and reports on her findings.

Allison Larsen (M.A. candidate, Sociology)

Allison Larsen, as a research assistant to Queen's co-investigator David Skillicorn, has acquired experience in assessing survey

The Project Team

response data for appropriateness and robustness, analysis of processed data, and learned something of the usefulness of data mining tools for understanding questions that would normally be addressed in either purely qualitative or statistical ways. Larsen is completing her MA on attitudes to internet surveillance.

Shane Simpson (M.A. candidate, Sociology)

Shane Simpson is an integral member of the location technologies research team led by Stephen Marmura, postdoctoral fellow (Sociology). Simpson represented the research team at an RFID conference in Montreal held early 2005. Simpson's MA thesis on the "Wireless Sublime" includes an analysis of mobile surveillance.

Wei Liu (M.A. candidate, Sociology)

Wei Liu assisted Elia Zureik by preparing a background paper on Chinese attitudes to privacy.

David Lavin (M.A. candidate, Sociology) Alex Caldararu (M.A. candidate, Sociology)

Lavin and Caldararu are actively involved with planning the Surveillance in Film Symposium scheduled for early 2006.
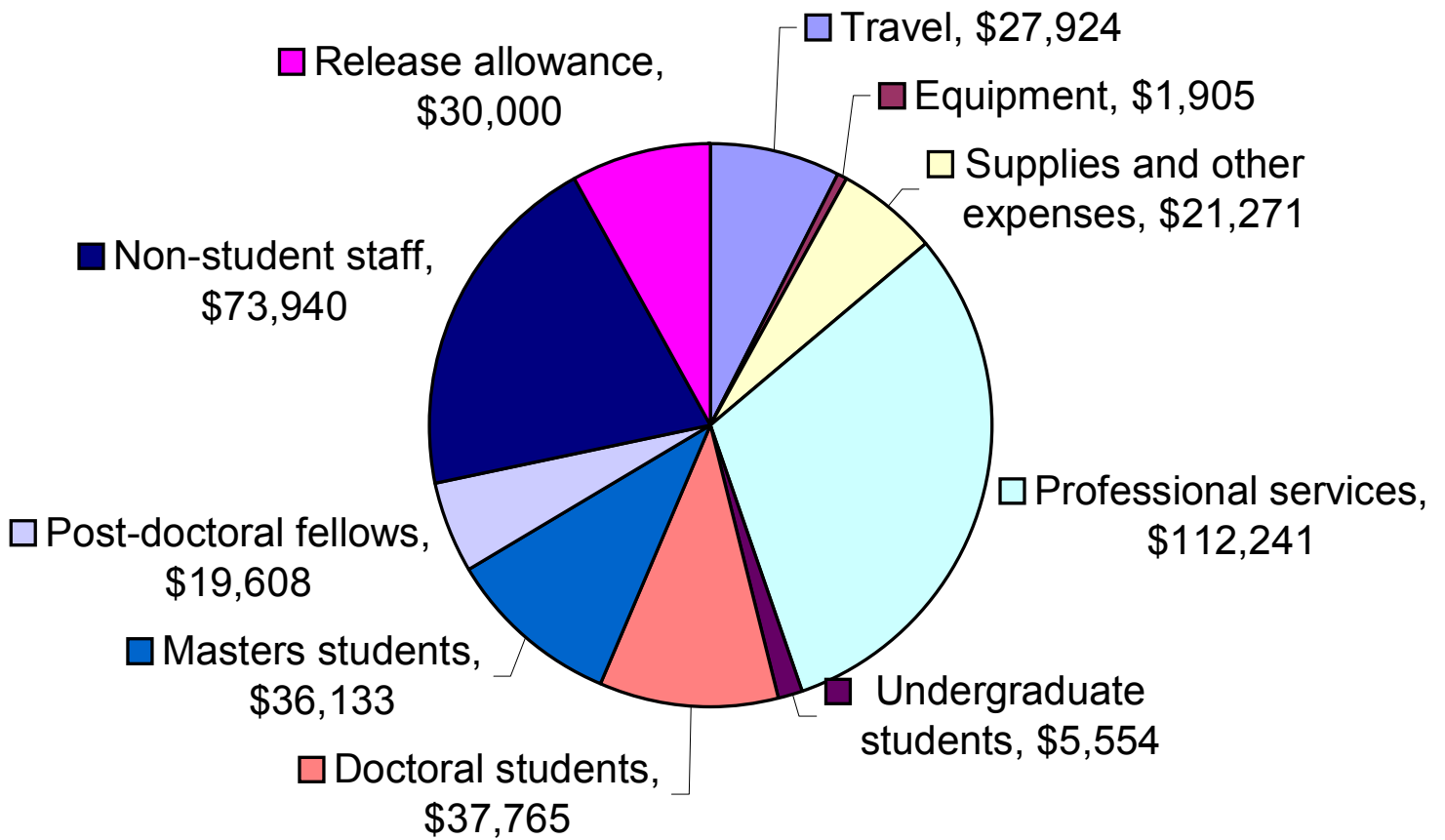
Edward Pendergrast (Queen's Faculty of Law)

Edward Pendergrast assisted Art Cockfield by performing a literature review and background research on the interaction of PIPEDA with foreign privacy laws. He may benefit from possible co-authorship of a revised background paper with Art Cockfield. Pendergrast attended a Department of Justice meeting on behalf of Dr. Cockfield in February 2005.

Chiara Fonio (PhD candidate, Catholic University of Milan)

We were pleased to host Chiara Fonio, PhD candidate, Catholic University of Milan, for the period of September to December 2004. While at Queen's University, Fonio completed the theoretical chapter of her dissertation under the supervision of David Lyon and built upon her research on CCTV in Milan with other members of the GPD team. She actively participated in the SP Seminar Series.

1 October 2003 to 31 March 2005 Expenses

Travel, $27,924

Equipment, $1,905

Supplies and other expenses, $21,271

Professional services, $112,241

Undergraduate students, $5,554

Doctoral students, $37,765

Masters students, $36,133

Post-doctoral fellows, $19,608

Non-student staff, $73,940

Release allowance, $30,000

Total: $366,341

Acknowledgements

personal data and social sorting in information networks

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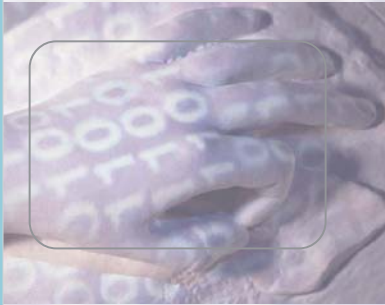
What happens to our personal information?

Government departments, corporations, police and border officials are among the many agencies that have access to our details. The Surveillance Project investigates how this happens and what are the consequences: social, political, and economic.

The Surveillance Project maps the handling of personal data in computer based information networks, both local and global. We look at linkages between databases and how these affect political power and human freedom. We examine the implications for personal privacy and for the sorting of social groups by category.

The Surveillance Project investigates both the workings of large surveillance systems — data, video, audio — and their interactions with ordinary people — workers, travelers, consumers, citizens. Our work impacts attitudes and policy; our academic study informs and challenges all to greater care and accountability in processing personal data.

personal

power

sorting

security

What we do

The Surveillance Project studies everything from supermarket loyalty cards to police networks searching for suspects. We have a special interest in the surveillance aspects of the post 9/11 quest for tightened security. While high-tech methods have become very significant, we also examine surveillance as face-to-face supervision or as mediated watching using video cameras.

Surveillance raises important issues such as privacy, anonymity, and trust. But because surveillance is related to risk management and to modes of governance it also involves what we call social sorting. Social groups are classified so that they can receive different treatment. So questions of social justice and democratic participation are at least as important as those of security and privacy.

Our Publications

Global Surveilllance: Borders, Security, Identity (eds. Elia Zureik and Mark Salter, Willan 2005)

Surveillance as Social Sorting (ed. David Lyon, Routledge 2003)

Computers, Surveillance and Privacy (eds. David Lyon and Elia Zureik, Minnesota 1996)

The Surveillance Project is a founding member of the international online journal, *Surveillance and Society* (www.surveillance-and-society.org).

Who we are

The Surveillance Project grew out of research carried out in the Sociology Department at Queen's but we now work with many others from several disciplines. A large project on the Globalization of Personal Data (SSHRCC 2003-2007) is led by Yolande Chan, Management Information Systems at Queen's School of Business and Elia Zureik, Sociology, whose research focuses on workplace monitoring and border controls, along with David Lyon. The team also comprises a number of graduate students, researchers and postdoctoral fellows, each of whom works with a research group in specific areas such as location technologies, ID cards, workplace surveillance, database marketing, health records and video surveillance.

Elia Zureik, Yolande Chan, and David Lyon

photo: Bernard Clark

David Lyon, Director of the Surveillance Project, is Professor of Sociology at Queen's University. What began as studies of the 'information society' now focus on the social origins and consequences of the purposeful processing of personal data — that is, surveillance — including digital, video, biometric, and locational data.

Lyon's books in this area include *Surveillance after September 11* (Polity 2003), *Surveillance Society* (Open University Press 2001) and *The Electronic Eye* (Polity 1994).

Who we work with

Our multi-disciplinary and team-based approach to research means that we collaborate with other researchers at Queen's University and across Canada, as well as with research groups in Western Europe, Japan, the USA and elsewhere. We are undertaking a nine-country survey of attitudes to surveillance and privacy, for example. While our work is firmly based in the social sciences, we work with colleagues from other disciplines including law, computing, and business.

The Surveillance Project is engaged in consultancy and research for organizations such as the Office of the Privacy Commissioner, Ottawa; and the Organization for Economic Cooperation and Development (OECD), and collaborates and partners with groups such as the Public Interest Advisory Council (PIAC), Canadian Information Processing Society (CIPS), Privacy International, and the European Urban Eye Project. We have research associates in many countries around the world.

The Surveillance Project uses several media beyond academic articles, books and reports. We work with artists, film-makers and community groups to make our work accessible to as broad a public as possible. We encourage dialogue about surveillance issues that affect everyone, making an impact at both public policy and local levels.

Appendix B: International Research Contacts

Didier Bigo
Institut d'Etudes Politiques
Paris, France

Davide Calenda
Dipartimento Elettronica e Telecom
Università di Firenze
Firenze, Italia

Roger Clarke, Australia

Malcolm Crompton, Australia

Kong-Chong Ho, Hong Kong

Mary Culnan
Bentley College
USA

Katja Franko-Aas
Institute of Criminology and Sociology of Law
University of Oslo

Simon Davies
Privacy International
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Albert Erisman
IBTE
USA

Steve Graham
Department of Geography
University of Durham

Graham Greenleaf
Faculty of Law
University of New South Wales
Australia

Gary Marx
Professor Emeritus
Massachusetts Institute of Technology

Clive Norris
University of Sheffield
Department of Sociological Studies

Toshimaru Ogura
People's Plan Study Group (PPSG)
Japan

Walter Peissl
Institute of Technology Assessment
Austrian Academy of Sciences
Austria

Charles Raab
Department of Politics
University of Edinburgh

Priscilla Regan
Department of Public and International Affairs
George Mason University
USA

Yasuhiko Tajima
Professor of Media Law
Journalism Dept
Sophia University
Japan

Irma van der Ploeg
Institute of Health Policy and Management
Erasmus University Rotterdam
The Netherlands

Nils Zurawski
Projekt "Überwachung"
Institut für kriminologische Sozialforschung
Hamburg

Appendix C: GPD Publications

Ball, K. (2005) "Organization, surveillance and the body." *Organization*. Vol. 12, no. 1.

Ball, K. (2003) "The Labours of Surveillance." *Surveillance and Society*, Issue 2. www.surveillance-and-society.org.

Ball, K., and F. Webster (eds.) (2003) *The Intensification of Surveillance: crime, terrorism and warfare in the information era*. London: Pluto Press.

Ball, K., (2004) "Gendering new managerialism," in Thomas, R, Mills, A, and Helms-Mills, J (eds.) *Gender, Organization and the Micropolitics of Resistance*.

Ball, K., and F. Webster (2003) "The intensification of surveillance," in Ball, K. and Webster, F. (eds.) *The Intensification of Surveillance: crime, terrorism and warfare in the information era*. London: Pluto Press.

Bennett, Colin (2005) "What Happens when you Book an Airline Ticket (Revisited): The Collection and Processing of Passenger Data Post 9/11," in Zureik and Salter (eds.) *Global Surveillance and Policing: Borders, Security, Identity*. UK: Willan.

Chan, Yolande, Mary Culnan, Kathleen Greenaway, Gary Laden, Toby Levin, and Jeff Smith (invited publication). "Information Privacy: Management, Marketplace, and Legal Challenges." To appear in *Communications of the AIS*.

Greenaway, K., and Yolande Chan (under review) "Antecedents and Outcomes of Customer Information Privacy Orientation." 2005 International Conference on Information Systems.

Greenaway, K. and Yolande Chan (under review) "Theoretical Explanations for Firms' Information Privacy Behaviors." *Journal of the Association for Information Systems*.

Greenaway, K., Yolande Chan and P. Cunningham (under review) "Customer Information Privacy Orientation: How Organizations view Privacy Differently." *Information and Organization*.

Cockfield, Arthur with Jinyan Li and Scott Wilkie (forthcoming 2005) *International Tax: Canadian Rules and Practice*. Toronto: Buttersworth Publishers.

Cockfield, Arthur (forthcoming) "The Rise of the OECD as Informal World Tax Organization through the Shaping of National Responses to E-commerce Taxation." *Yale Journal of Law and Technology*.

Appendix C: GPD Publications

Cockfield, Arthur (2005) *NAFTA Tax Law and Policy: Resolving the Clash between Economic and Sovereignty Concerns*. Toronto: University of Toronto Press.

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