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## Privacy enhancing data de- identification terminology and classification of techniques

*Terminologie et classification des techniques de dé-identification de  
données pour la protection de la vie privée*

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CH-1214 Vernier, Geneva  
Phone: +41 22 749 01 11  
Fax: +41 22 749 09 47  
Email: [copyright@iso.org](mailto:copyright@iso.org)  
Website: [www.iso.org](http://www.iso.org)

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## Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives)).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)) or the IEC list of patent declarations received (see <http://patents.iec.ch>).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html).

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 27, *IT Security techniques*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at [www.iso.org/members.html](http://www.iso.org/members.html).

## Introduction

It is well-established that major benefits can be derived from processing electronically stored data, including so-called “big data”. However, where this data includes personally identifiable information (PII), as is often the case, processing this data needs to comply with applicable personal data protection principles. The appropriate use of de-identification techniques is an important component of measures to enable the exploitation of the benefits of data processing while maintaining compliance with the relevant ISO/IEC 29100 privacy principles.

The immediate relevance of this document is to personal data protection of natural persons (i.e. PII principals), but the term “data principal”, defined and used in this document, is broader than “PII principal” and, for example, includes organizations and computers.

This document focuses on commonly used techniques for de-identification of structured datasets as well as on datasets containing information about data principals that can be represented logically in the form of a table. In particular, the techniques are applicable to datasets that can be converted to having the form of a table (e.g. data held in key-value databases). It is possible that the techniques described in this document do not apply to more complex datasets, e.g. containing free-form text, images, audio, or video.

The use of de-identification techniques is good practice to mitigate re-identification risk, but does not always guarantee the desired result. This document establishes the notion of a formal privacy measurement model as an approach to the application of data de-identification techniques.

NOTE 1 [Annex C](#) clarifies how selected de-identification techniques described in this document are applicable for de-identification of free-form text.

NOTE 2 The application of de-identification techniques can be a privacy risk treatment option arising from a privacy impact assessment, as described in ISO/IEC 29134[32].

The selection of de-identification techniques needs to effectively address the risks of re-identification in a given operational context. There is therefore a need to classify known de-identification techniques using standardized terminology, and to describe their characteristics, including the underlying technologies and the applicability of each technique to the reduction of the risk of re-identification. This is the main goal of this document. The relationship between the terminology used in this document and related terminology used elsewhere (e.g. the notion of anonymization) is described in [Annex B](#). However, the specification of detailed processes for the selection and configuration of de-identification techniques, including assessments of data usefulness and the overall risk from a re-identification attack, is outside the scope of this document.

NOTE 3 Authentication, credential provisioning, and identity proofing are also outside the scope of this document.

De-identification techniques are typically accompanied by technical and other organizational measures to enhance their effectiveness. The use of these measures is also described wherever applicable.

This document provides an overview of core concepts relating to the de-identification of data, and establishes a standard terminology for, and description of, the operation and properties of a range of de-identification techniques. However, it does not specify how these techniques should be managed in a particular use case. It is anticipated that sector-specific framework standards will be developed to provide such guidance.

# Privacy enhancing data de-identification terminology and classification of techniques

## 1 Scope

This document provides a description of privacy-enhancing data de-identification techniques, to be used to describe and design de-identification measures in accordance with the privacy principles in ISO/IEC 29100.

In particular, this document specifies terminology, a classification of de-identification techniques according to their characteristics, and their applicability for reducing the risk of re-identification.

This document is applicable to all types and sizes of organizations, including public and private companies, government entities, and not-for-profit organizations, that are PII controllers or PII processors acting on a controller's behalf, implementing data de-identification processes for privacy enhancing purposes.

## 2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 27000, *Information technology — Security techniques — Information security management systems — Overview and vocabulary*

ISO/IEC 29100, *Information technology — Security techniques — Privacy framework*

## 3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 27000, ISO/IEC 29100 and the following apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

### 3.1

#### **aggregated data**

data representing a group of *data principals* (3.4), such as a collection of statistical properties of that group

### 3.2

#### **attribute**

inherent characteristic

[SOURCE: ISO 9241-302:2008, 3.4.2]

### 3.3

#### **formal privacy measurement model**

approach to the application of data *de-identification techniques* (3.7) that enables the calculation of *re-identification risk* (3.33)

### 3.4

#### **data principal**

entity to which data relates

Note 1 to entry: The term “data principal” is broader than “PII principal” (or “data subject” as used elsewhere), and is able to denote any entity such as a person, an organization, a device, or a software application.

### 3.5

#### **dataset**

collection of data

[SOURCE: ISO 19115-1:2014, 4.3, modified — The word “identifiable” has been deleted in the definition.]

### 3.6

#### **de-identification process**

process of removing the association between a set of *identifying attributes* (3.14) and the *data principal* (3.4)

### 3.7

#### **de-identification technique**

method for transforming a *dataset* (3.5) with the objective of reducing the extent to which information is able to be associated with individual *data principals* (3.4)

### 3.8

#### **de-identified dataset**

*dataset* (3.5) resulting from the application of a *de-identification process* (3.6)

### 3.9

#### **differential privacy**

*formal privacy measurement model* (3.3) that ensures that the probability distribution of the output from a statistical analysis differs by at most a specified value, whether or not any particular *data principal* (3.4) is represented in the input dataset

Note 1 to entry: More specifically, differential privacy provides:

- a) a mathematical definition of privacy which posits that, for the outcome of any statistical analysis to be considered privacy-preserving, the analysis results from the original dataset are indistinguishable from those obtained if any data principal is added to or removed from the dataset; and
- b) a measure of privacy that enables monitoring of cumulative privacy loss and setting of an upper bound (or “budget”) for loss limit. A formal definition is as follows. Let  $\epsilon$  be a positive real number, and  $M$  be a [randomized algorithm](#) that takes a dataset as input. The algorithm  $M$  is said to be  $\epsilon$ -differentially private if for all datasets  $D_1$  and  $D_2$  that differ in a single element (i.e. the data for one data principal), and all subsets  $S$  of the range of  $M$ ,  $\Pr[M(D_1) \in S] \leq e^\epsilon \Pr[M(D_2) \in S]$ , where the probability is taken over the [randomness](#) used by the algorithm.

### 3.10

#### **direct identifier**

*attribute* (3.2) that alone enables unique identification of a *data principal* (3.4) within a specific operational context

Note 1 to entry: Here and throughout, the operational context includes the information that the entity processing (e.g. de-identifying) the data possesses, together with information that third parties and potential attackers can possess or that is in the public domain.

### 3.11

#### **equivalence class**

set of *records* (3.30) in a *dataset* (3.5) that have the same values for a specified subset of *attributes* (3.2)

### 3.12

#### **generalization**

category of *de-identification techniques* (3.7) that reduce the granularity of information contained in a selected *attribute* (3.2) or in a set of related *attributes* (3.2) in a *dataset* (3.5)



**3.13****identifier**

set of *attributes* (3.2) in a *dataset* (3.5) that enables unique identification of a *data principal* (3.4) within a specific operational context

Note 1 to entry: See [Annex B](#) for a discussion of how this definition relates to those given in other standards.

**3.14****identifying attribute**

*attribute* (3.2) in a *dataset* (3.5) that is able to contribute to uniquely identifying a *data principal* (3.4) within a specific operational context

**3.15****identity disclosure**

*re-identification* (3.31) event in which an entity correctly assigns an identity to a *data principal* (3.4)

**3.16****indirect identifier**

*attribute* (3.2) that, together with other *attributes* (3.2) that can be in the *dataset* (3.5) or external to it, enables unique identification of a *data principal* (3.4) within a specific operational context

**3.17****inference**

act of deducing otherwise unknown information with non-negligible probability, using the values of one or more *attributes* (3.2) or by correlating external data sources

Note 1 to entry: The deduced information can be the value of one or more attributes of a data principal, the presence or absence of a data principal in a dataset, or the value of one or more statistics for a population or segment of a population.

**3.18****K-anonymity**

*formal privacy measurement model* (3.3) that ensures that for each *identifier* (3.13) in a *dataset* (3.5) there is a corresponding *equivalence class* (3.11) containing at least *K records* (3.30)

**3.19****L-diversity**

*formal privacy measurement model* (3.3) that ensures that for a selected *attribute* (3.2) each *equivalence class* (3.11) has at least *L* well-represented values

Note 1 to entry: *L*-diversity is a property of a dataset that gives a guaranteed lower bound, *L*, on the diversity of values shared by an equivalence class for a selected attribute.

**3.20****linkability**

property for a *dataset* (3.5) that it is possible to associate (by linking) a *record* (3.30) concerning a *data principal* (3.4) with a *record* (3.30) concerning the same *data principal* in a separate dataset

**3.21****linking**

act of associating a *record* (3.30) concerning a *data principal* (3.4) with a *record* (3.30) concerning the same data principal in a separate *dataset* (3.5)

**3.22****macrodata**

*dataset* (3.5) comprised of *aggregated data* (3.1)

**3.23****microdata**

*dataset* (3.5) comprised of *records* (3.30) related to individual *data principals* (3.4)

### 3.24

#### **noise addition**

*de-identification technique* (3.7) that modifies a *dataset* (3.5) by adding random values to the values of a selected *attribute* (3.2)

### 3.25

#### **permutation**

*de-identification technique* (3.7) for reordering the values of a selected *attribute* (3.2) across the *records* (3.30) in a *dataset* (3.5) without modifying these values

### 3.26

#### **pseudonym**

unique identifier created for a *data principal* (3.4) to replace the commonly used *identifier* (3.13) [or *identifiers* (3.13)] for that *data principal* (3.4)

Note 1 to entry: A pseudonym is sometimes also known as an alias.

### 3.27

#### **pseudonymization**

*de-identification technique* (3.7) that replaces an identifier (or identifiers) for a *data principal* (3.4) with a *pseudonym* (3.26) in order to hide the identity of that data principal

### 3.28

#### **quasi-identifier**

*attribute* (3.2) in a *dataset* (3.5) that, when considered in conjunction with other attributes in the dataset, *singles out* (3.35) a *data principal* (3.4)

### 3.29

#### **randomization technique**

*de-identification technique* (3.7) in which the values of *attributes* (3.2) are modified so that their new values differ from their true values in a random way

### 3.30

#### **record**

set of *attributes* (3.2) concerning a single *data principal* (3.4)

### 3.31

#### **re-identification**

process of associating data in a de-identified *dataset* (3.5) with the original *data principal* (3.4)

Note 1 to entry: A process that establishes the presence of a particular data principal in a dataset is included in this definition.

### 3.32

#### **re-identification attack**

action performed on de-identified data by an attacker with the purpose of *re-identification* (3.31)

### 3.33

#### **re-identification risk**

risk of a successful *re-identification attack* (3.32)

### 3.34

#### **sensitive attribute**

*attribute* (3.2) in a *dataset* (3.5) that, depending on the application context, merits specific, high-level protection against potential *re-identification attacks* (3.32) enabling disclosure of its values, its existence, or association with any of the *data principals* (3.4)

Note 1 to entry: Designating an attribute as sensitive depends on the application context, and such a designation is an input to the design of the *de-identification process* (3.6) in a specific use case.

**3.35****single out**

isolate *records* (3.30) belonging to a *data principal* (3.4) in the *dataset* (3.5) by observing a set of characteristics known to uniquely identify this data principal

**3.36*****T*-closeness**

*formal privacy measurement model* (3.3) that ensures that the distance between the distribution of a selected *attribute* (3.2) in an *equivalence class* (3.11) and the distribution of this *attribute* (3.2) in the entire table is no more than a threshold *T*

Note 1 to entry: A table is said to have *T*-closeness with respect to a selected attribute if all equivalence classes containing this attribute have *T*-closeness.

**3.37****truthful data**

factual data that has not been accidentally or deliberately distorted

Note 1 to entry: Reducing granularity maintains data truthfulness.

**3.38****unique identifier**

*attribute* (3.2) in a *dataset* (3.5) that alone singles out a *data principal* (3.4) in the dataset

**3.39****usefulness**

degree of suitability of the type and format of information in a *dataset* (3.5) for application to a specific purpose

Note 1 to entry: The term *utility* is sometimes used with a similar meaning.

## 4 Symbols and abbreviated terms

ICO Information Commissioner's Office (UK)

PII Personally Identifiable Information

PPDM Privacy-Preserving Data Mining

PPDP Privacy-Preserving Data Publishing

SDC Statistical Disclosure Control

SDL Statistical Disclosure Limitation

$\epsilon$  privacy budget

*C* privacy cost

$D_1, D_2$  datasets

*k* number of records or a parameter (percentage) used in the threshold rule

*K* parameter used in the *K*-anonymity model

*L* parameter used in the *L*-diversity model

*M* randomized algorithm

*N* number of queries posed

$n$	threshold value or number of queries/values (depending on context)
$p$	parameter (percentage) used in the ambiguity rule
$Pr$	probability function
$q$	parameter (percentage) used in the ambiguity rule
$S$	sensitivity of a query
$T$	parameter used in the $T$ -closeness model
$\in$	is an element of (a set)

## 5 Overview

The goal of this document is to provide organizations that are implementing privacy and security measures with information to support the selection and design of appropriate de-identification techniques in the context of their organization. After introducing the terminology used in this document in [Clause 6](#), the threat of re-identification is described in [Clause 7](#); the risk of re-identification attacks must be assessed as part of the process of selecting appropriate de-identification techniques. The degree to which usefulness of data after de-identification is retained is the subject of [Clause 8](#).

De-identification techniques are classified in [Clause 9](#) according to their underlying technologies. Each technique is further assessed in terms of its effectiveness against re-identification as well as its usefulness in a variety of use cases. The organization's objectives provide an essential context for the choice of de-identification techniques and other supporting measures. While definition of security technologies is outside the scope of this document, their use as part of de-identification techniques is described wherever applicable. The use of technical and other organizational measures to enhance the effectiveness of de-identification techniques is also described wherever applicable.

**NOTE** A de-identification process can be deemed to be successful if the output is de-identified to the required level. This level can differ between two processes depending on the use case (e.g. the dataset dimension, the type and nature of the data, the type and nature of the data principal, the motivation of the attacker, and the availability of other sources of information).

Formal privacy measurement models provide a means of assessing the effectiveness of de-identification and are described in [Clause 10](#). This is followed in [Clause 11](#) by a discussion of principles for the use of de-identification techniques. The main body of the document concludes in [Clause 12](#) with a review of additional technical or organizational measures that can be applied for de-identification.

## 6 Technical model and terminology

De-identification refers to a process that removes the association between a set of data attributes and the data principal which they concern. A de-identification technique is a method for transforming a dataset with the objective of reducing the extent to which data can be associated with specific data principals.

Unless otherwise stated, the focus of this document is on de-identification of datasets that are represented as a collection of records, where each record is comprised of a set of attributes. Each record carries information about a data principal and each attribute carries a known meaning.

Regardless of its physical or logical arrangement, any dataset that fits these characteristics is capable of being viewed as a table. That is, it can be represented as a table with rows and columns, where each data principal is represented by a single row and each column represents an attribute with a known meaning. This includes key-value databases, i.e. repositories for data consisting of pairs made up of a key and a value. The assumption that each data principal is only associated with a single row is made for the purposes of this document in giving a conceptual description of de-identification techniques and formal privacy measurement models. However, in practice, data principals are sometimes represented

by multiple rows (e.g. because of the formal privacy measurement model considered), or in aggregated form with attributes represented by both rows and columns.

NOTE 1 If, in practice, multiple rows exist corresponding to a single data principal, then, if possible, for the purposes of applying the concepts described in this document they need to be merged.

Some datasets are not organized as a collection of records each carrying information about a single data principal. Examples of such datasets are free-form text files, log files of events recorded in order of their occurrence, and logical graphs that indirectly contain information about data principals. Such datasets can still contain fields carrying personal or sensitive characteristics relating to potential data principals.

[Annex C](#) describes a number of existing approaches to the de-identification of free-form text, and clarifies how some of the de-identification techniques described in this document are able to be used for the de-identification of free-form text. Transactional/longitudinal data can be reorganized into a binary view with each data principal represented by a single row (see [Annex D](#)).

The classification of attributes used in this document, as summarized below, reflects the difference between singling out a data principal in a dataset and identifying a data principal within a specific operational context, where the operational context includes information possessed by the entity processing (e.g. de-identifying) the data, together with information that third parties and potential attackers can possess:

NOTE 2 Singling out a data principal in the dataset is a necessary precursor to singling out the data principal in the population; re-identification occurs if the data principal can be singled out in the population, but not necessarily if the data principal is only singled out in the dataset (which can be a sample).

- Identifier (see [3.12](#)): a set of attributes in a dataset that enables unique identification of a data principal within a specific operational context;
- Local identifier: a set of attributes in a dataset that together single out a data principal in the dataset;
- Direct identifier (see [3.9](#)): an attribute in a dataset that alone enables unique identification of a data principal within a specific operational context;
- Unique identifier (see [3.37](#)): an attribute in a dataset that alone singles out a data principal in the dataset;

NOTE 3 Pseudonyms are examples of unique identifiers.

- Indirect identifier (see [3.15](#)): an attribute in a dataset that, when considered in conjunction with other attributes that can be in the dataset or external to it, enables unique identification of a data principal within a specific operational context;

NOTE 4 A related term sometimes used to describe “indirect identifier” is “key attribute”.

NOTE 5 In the context of PII, examples of indirect identifiers include: birth date, postal area code (ZIP code), and sex.

NOTE 6 There is the potential for a large proportion of the attributes in some datasets to qualify as indirect identifiers. This can be considered during the selection of de-identification techniques.

- Quasi-identifier (see [3.27](#)): an attribute in a dataset that, when considered in conjunction with other attributes in the dataset, singles out a data principal;

Sensitive attributes (see [3.33](#)) require specific, high-level protection against potential re-identification attacks enabling disclosure of their values, existence, or association with any of the data principals. Designating an attribute as sensitive depends on the application context.

NOTE 7 In some contexts (such as in specific jurisdictions), attributes are deemed sensitive depending on the nature of the PII, and can, for example, include racial or ethnic origin, political opinions, religious or other beliefs, personal data on health, sex life or criminal convictions.

Figure 1 depicts the relationships between the various types of identifier described above. Any attribute that is equal to or part of one of the types of identifier defined above is deemed to be an identifying attribute. In Figure 1, “Dataset” refers to the dataset to which de-identification techniques are to be applied, and “context” refers to information derived from the operational context of the dataset.

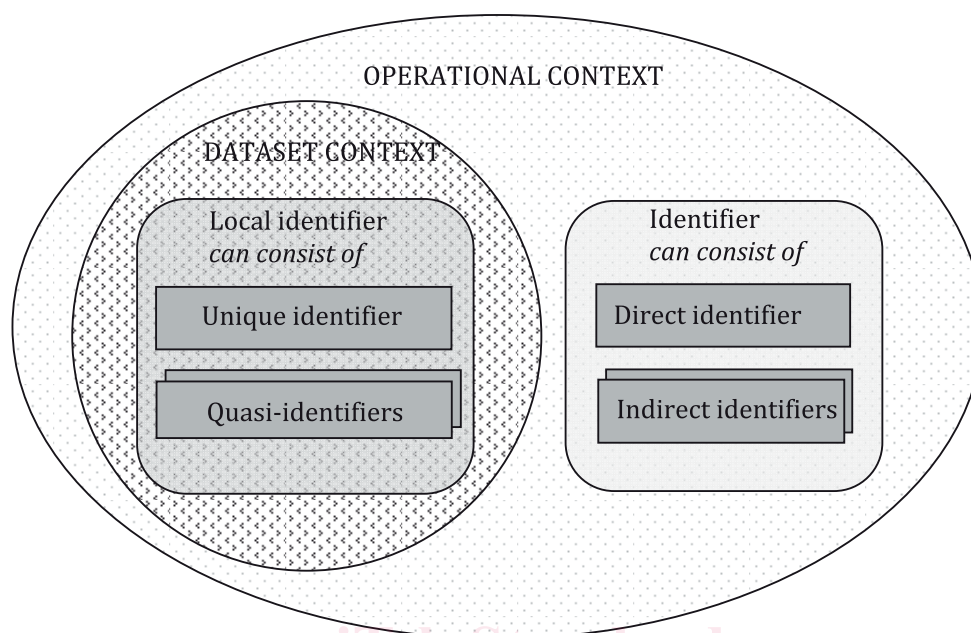


Figure 1 — Types of identifier

## 7 Re-identification

### 7.1 General

A de-identification technique is designed to reduce the risk of re-identification by generating data that is less vulnerable to known re-identification attacks. Typically, a de-identification technique alone cannot provide quantifiable guarantees against re-identification attacks. To achieve this, a range of formal privacy measurement models have been devised, enabling the calculation of the risk of re-identification – core models are described in Clause 10. General considerations regarding the effectiveness of de-identification techniques are described as known at the time of publication. The vulnerability of a specific data processing system to re-identification attacks can only be assessed in the context of the organization, and is outside the scope of this document.

Re-identification events in which an entity correctly assigns an identity to a data principal, are known as “identity disclosures”. Re-identification events in which an entity correctly assigns data from a de-identified set to a data principal are known as “attribute disclosures”. The two disclosure types can help enable each other. For example, using additional datasets, identity disclosure can help enable attribute disclosures, while attribute disclosure for an unknown data principal can contribute to its identity disclosure.

### 7.2 Re-identification attacks

A re-identification attack is an action performed on de-identified data by an attacker with the purpose of re-identification.

Typically, a re-identification attack involves the creation of an “observation” dataset representing some or all of the data principals from the original dataset. Note that it is possible that the resulting information about the data principals is not identical to or consistent with the original data as a result