Diffix Elm: Simple Diffix

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Abstract
Historically, strong data anonymization requires substantial domain expertise and custom design for the given data set and use case. Diffix is an anonymization framework designed to make strong data anonymization available to non-experts. This paper describes Diffix Elm, a version of Diffix that is very easy to use at the expense of query features. We describe Diffix Elm, and show that it provides strong anonymity based on the General Data Protection Regulation (GDPR) criteria.

This document is the third version of Diffix Elm. The second version added ceiling, round, and bucket width functions (in addition to floor). This document adds the ability to protect multiple different kinds of protected entities (a feature not found in earlier versions of Diffix). It also adds counting distinct values for any column (rather than only the AID column).

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Data anonymization is commonly and successfully used in a large variety of practical settings, ranging from the public release of census and other data by governments, the open sale of mobility data, and the distribution of medical data to researchers. In spite of occasional proclamations that data anonymization is impossible, and somewhat more frequent demonstrations of breaking weakly anonymized (pseudonymized) data, the track record of data anonymization in practice, as evidenced by the lack of reports of malicious re-identifications, is remarkably good. The problem is not that we don’t know how to effectively anonymize data. Rather, the problem is that substantial expertise and effort is required to strongly anonymize data while satisfying any given analytic use case. Census bureaus employ full-time professionals to ensure that their data releases are anonymous, and specialized companies are formed to deal with anonymization of data in specific domains like health and mobility.

This paper describes and analyzes Diffix Elm, a strong anonymization mechanism that is easy to use by non-experts and provides remarkably high-utility output. Diffix Elm uses the three most common anonymization techniques, generalization, suppression, and noise. We refer to these as the big-three anonymization techniques. In terms of strength of anonymization, Diffix Elm is somewhat stronger than k-anonymity and l-diversity, but not as strong as Differential Privacy (DP) with low epsilon and (if applicable) low delta. Diffix Elm, however, is far easier to use and has better utility than k-anonymity, l-diversity, or DP.

Intuitively, Diffix Elm has stronger privacy than k-anonymity because k-anonymity use only generalization and suppression, while Diffix Elm additionally uses noise. While Diffix Elm and DP use all big-three techniques, Diffix Elm provides weaker anonymity because for certain types of very rare prior knowledge, Diffix Elm is less pessimistic than DP in its assumptions about what the attacker knows. However, this difference frees Diffix Elm from the need for a privacy budget, leading to far better utility for most use cases compared to DP.

The source code for a reference implementation of Diffix Elm may be found at https://github.com/diffix/reference.

This paper describes Diffix Elm and analyzes its anonymization properties. The paper is targeted towards Data Protection Authorities and Officers (DPA and DPO) so that they may evaluate the suitability of Diffix Elm in whatever legal context applies. The paper is also targeted towards academics and other interested privacy professionals.

Sections 2 and 3 provide an overview and detailed description of Diffix Elm respectively. The criteria for evaluating Diffix Elm is based on the three criteria defined by the EU, and is described in Section 4. Section 5 presents the evaluation of Diffix Elm’s anonymization properties as a comprehensive list of attacks and their measured effectiveness against Diffix Elm. Section 6 presents guidance for how a DPA or DPO may evaluate a given Diffix Elm data release or deployment. Appendix A summarizes the guidance into a list of questions.

1 Differences from prior versions of Diffix

Diffix was initially developed in a research partnership between the startup Aircloak GmbH and the Max Planck Institute for Software Systems (MPI-SWS). Development continues under the auspices of the Open Diffix project supported by MPI-SWS. In this time, Diffix has been released in a series of versions, Aspen, Birch, Cedar, and Dogwood, with each subsequent version adding new SQL features as well as new anonymization mechanisms to defend against attacks as they are discovered.

Although Diffix partially achieved its goal and had some success in demanding use cases, it ultimately failed to achieve widespread use, in spite of the availability of a free license for academic organizations and NGOs. We attribute this failure to the overall difficulty of evaluating, deploying, and using Diffix. In releases through Dogwood, Diffix was deployed as a software package installed as a proxy that sits in front of a database holding the raw data. The deployment hurdle was fairly high, requiring installation of the proxy, and extensive and somewhat fiddly configuration with the back end database. In addition, the anonymization mechanisms are complex and difficult to understand, making the task of approval by Data Protection Officers (DPO) a non-trivial effort. We believe that these factors may have discouraged casual use of Diffix for, for instance, occasional public re-
Diffix Elm has two modes of operation, trusted and untrusted. Untrusted Analyst Mode (UA-Mode) protects against intentional re-identification, whereas Trusted Analyst Mode (TA-Mode) protects against accidental re-identification. The answers from UA-Mode are always anonymous. The answers from TA-Mode are anonymous so long as the analyst does not intentionally try to re-identify individuals.

The analyst in Trusted and Untrusted Modes is described as follows:

**Untrusted Analyst Mode (UA-Mode):** The analyst is malicious, motivated, and capable. They aim to re-identify individuals in the data. The system protects against intentional re-identification of data.

**Trusted Analyst Mode (TA-Mode):** The analyst is trusted to not attempt to re-identify individuals in the data. The analyst does not require any knowledge of anonymization in order to protect the data. Rather, the analyst can simply go about the normal business of analyzing data, and the resulting answers are anonymous and safe to release to the public. The system protects against accidental re-identification of data.

In evaluating whether UA-Mode is anonymous by GDPR standards, a DPA or DPO only needs to evaluate the system, not the specific queries made or the use case. This is because no known query or set of queries violates anonymity. By contrast, in TA-Mode, a DPA or DPO must additionally evaluate whether the queries that lead to a public release of data may have led to re-identification.

## 2 Overview of Diffix Elm

This section provides a complete overview of Diffix Elm and its anonymization properties. This section suffices for a reader interested in only a high-level but nevertheless complete understanding of Diffix Elm.

We define a **protected entity** as the entity whose privacy is being protected. Normally this is a natural person (individual), but it can be something that represents an individual (like a phone or a car), or a small group of individuals like a house or a joint bank account.

Diffix Elm allows for multiple different protected entities. For instance, a table with transactions can have both the sender and receiver protected. Likewise a table with both individuals and households and have both protected. Note that earlier versions did not have this capability.

Figure 2 illustrates the setup for Diffix Elm. Diffix Elm offers a minimal SQL interface to an analyst or application. The answers returned by Diffix Elm are syntactically correct SQL responses, but are anonymized with the addition of noise and suppression of answers that pertain to too few protected entities.

Diffix Elm operates with a single table only; it does not support table joins. The table can have column data types of text strings, numbers, and dates and times. The table must either:

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\[2\] Joins are planned for Diffix Fir.
Figure 2: Diffix Elm receives simple SQL queries and returns anonymized answers. It operates on a single columnar table. If the table has more than one row per protected entity, then one or more AID (Anonymization ID) columns must exist and be configured as such.

- be constrained such that every protected entity in the table occupies a single row, or
- have one or more AID (Anonymizing ID) columns consisting of a unique identifier for each protected entity.

In the former case, Diffix Elm internally derives an AID value from the table index. Diffix Elm anonymizes the data to protect protected entities as identified by the AIDs.

Diffix Elm places no limitations on the number of queries an analyst may make.

### 2.1 SQL Constraints

Diffix Elm allows three count aggregates, `count(*)`, `count(column)`, and `count(DISTINCT column)`. The only allowed SQL keywords are `SELECT`, `FROM`, and `GROUP BY`. The following for instance is an allowed query:

```sql
SELECT age, gender, count(*)
FROM table
GROUP BY age, gender
```

The selected columns may be generalized. For instance, the age column may be generalized as into buckets of 10 years (i.e. \(\text{floor}(\text{age}/10)\times 10\)). Only the generalizations shown in Table 1 are allowed. Table 1 also shows which additional constraints are placed on UA-Mode. These additional constraints are the only difference between TA-Mode and UA-Mode.

### 2.2 Evaluation Criteria

The primary evaluation of the anonymization strength of Diffix Elm is based on measuring the effectiveness of an exhaustive set of attacks against Diffix Elm. The measure, called the PI/PR measure (Precision Improvement and Prediction Rate, Section 4.2), measures the ability of an attacker to make correct predictions about individuals in the dataset. Specifically, it measures the improvement in precision gained by the attack over the precision obtained prior to the attack based only on prior knowledge. This prior knowledge can include specific knowledge about individuals in the dataset as well as general statistical knowledge about the data.

The predictions we measure incorporate the three criteria for anonymization defined by the European Data Protection Board (EDPB) [3]. The criteria are singling out, inference, and linkability.

Singling out is a prediction that says “There is a single individual with attributes A, B, and C.” Singling out is problematic because it may allow an attacker to subsequently identify the individual (e.g. associate a name, address, or some other personally identifying information to the singled-out individual). Inference is a prediction that says “Individuals with attributes A, B, and C also have attribute D.” Singling out as defined here also incorporates linkability because the ability to single out from the protected dataset may allow an attacker to link with a known dataset that has the same attributes (see Section 4.2.1).

We evaluate Diffix Elm by running all attacks known to us, and measuring the extent to which the attacks are effective. In each attack, we make multiple predictions regarding the criteria. Attacks where a higher fraction of predictions are correct are relatively more effective. We have for several years been collecting attacks, both those discovered by ourselves, and those discovered by others, including through bug bounty programs [21].

In addition to the PI/PR measure, we also take into consideration the prior knowledge and data conditions required for the attack. We identify three classes of prior knowledge. Class A is simply knowledge of a single individual, and is the kind of external knowledge typically used to break “anonymization” in the Massachusetts medical data [34], the an AOL search dataset [36], and the Netflix prize dataset [31]. Class B requires prior knowledge of multiple individuals, and Class C requires still additional prior knowledge (see Section 4.1). While Class A prior knowledge is indeed easy to obtain, Classes B and C are much less likely to occur in practice.

### 2.3 Diffix Elm Anonymization

Broadly speaking, anonymization mechanisms produce one of two types of outputs:

**Individual records**: Each record pertains to a single protected entity. Implementations of k-anonymity generally produce individual records (even though the sensitive columns of each looks like k-1 others) [34].

**Statistical aggregates**: Each output is a statistical aggregate, like count or sum, that pertains to one or more protected entities in the dataset. Implementations of l-diversity generally produce statistical aggregates (even though the sensitive columns of each looks like l-1 others) [34].

Formerly the Article 29 Data Protection Working Party.

Formerly the Article 29 Data Protection Working Party.
Table 1: Columns selected by query may be generalized, but only by the functions shown here, and with additional constraints for UA-Mode as described.

more (usually more) protected entities. Differential Privacy [17] is usually used this way.

Diffix Elm produces statistical aggregates that always pertain to multiple protected entities.

The EDPB opinion on anonymization [3] lists randomization and generalization as the two main anonymization mechanisms. Virtually all strong anonymization techniques exploit one or both of these mechanisms in one way or another.

With generalization, fine-grained data values are rounded or mapped into broader groups or categories. For instance, date of birth is mapped into 10-year buckets, or 5-digit zip codes are reduced to the first three digits. Generalization is the primary mechanism for k-anonymity.

Randomization can be used either to change individual data values (i.e. a date-of-birth is changed randomly to some other date within plus or minus one year), or can be used to change statistical aggregate values (e.g. a count of 428 is changed randomly to 436). Differential Privacy primarily depends on randomization.

Diffix Elm exploits both randomization and generalization.

Diffix Elm indirectly forces generalization by suppressing buckets that pertain to too few protected entities (Figure 3): data that does not pertain to enough protected entities will be suppressed, so the analyst must generalize in order to avoid suppression.

Diffix Elm adds noise to counts by perturbing them according to a zero-mean Gaussian distribution. Among other things, this prevents analysts with prior knowledge of the data from deducing facts about protected entities.

Noise in Diffix Elm is proportional. In the case of count(*) or count(col) queries on tables that have multiple rows per protected entity, the amount of noise (the standard deviation) is proportional to the number of rows from heavy contributors: protected entities that contribute the most rows. There is also a mechanism called flattening. Flattening reduces the row contribution

| Expression                                           | Notes                                                                 |
|------------------------------------------------------|----------------------------------------------------------------------|
| [floor,round](numeric_col/K)*K                        | Range of width K. In UA-Mode, K must be in the set ⟨... 0.1, 0.2, 0.5, 1, 2, 5, 10, ...⟩ |
| ceiling(numeric_col/K)*K                              | TA-Mode only                                                         |
| bucket_width(numeric_col,L,H,C)                       | TA-Mode only                                                         |
| substring(text_col from 0 for L)                      | In UA-Mode, O (offset) must be 1 (left characters only)              |
| date_trunc('period',date_col)                         | Rounded datetime, where period is one of 'year', 'quarter', 'month', 'day', 'hour', 'minute', 'second' |

Figure 3: Diffix Elm rejects queries that do not adhere to the allowed SQL. Per bucket, Diffix Elm generates sticky noise values from the bucket parameters. Buckets whose counts fall below a noisy threshold are silently suppressed. Noise is added to the remaining bucket counts.
of extreme contributors: the two or three protected entities that contribute substantially more than others (if any).

The threshold used to determine if a bucket should be suppressed is itself a noisy value. For any given suppression decision, a value that varies up or down from a mean value is used. This defends against an analyst using the suppression decision itself, combined with a priori knowledge of the data, from deducing facts about protected entities.

Both noise and suppression are determined by the worst-case AID. The noise standard deviation as well as the suppression decision are computed per-AID. Suppression occurs if any on the per-AID suppression decisions are positive. The noise standard deviation used is the highest of the per-AID computations.

A key feature of Diffix Elm is that it allows an analyst to make an unlimited number of queries while still providing strong anonymity. If Diffix Elm used a different random noise sample with each query, as most Differential Privacy systems do, then the noise could be averaged away with repeated queries. To defend against this, Diffix Elm uses sticky noise, both for the noisy counts and noisy thresholds. The high-level concept of sticky noise is that the same query produces the same noise.

Sticky noise operates by deterministically seeding a function which produces a pseudo-random but deterministic noise value from a Gaussian distribution. There are two Gaussian noise samples (called layers) that are summed together. One of the layers is seeded from the set of AID values. The other is seeded from the bucket parameters themselves (column, value, and generalization parameters). Each of the two layers protects against different kinds of attacks (see Section 5).

Finally, Diffix Elm detects when a selected column of a given query, were it to be dropped in another query that is otherwise identical to the given query, would cause the complete contents of a suppressed bucket to appear in a single other bucket. This condition, if gone unchecked, could sometimes allow an attacker to detect the presence of the suppressed bucket with high precision. To prevent this, Diffix Elm merges the contents of the suppressed bucket with the other bucket.

In summary, Diffix Elm has the following mechanisms:

- Support for multiple protected entities
- Strict SQL limitations
- Ability to generalize
- Sticky noise, proportional to heavy contributors
- Low-count suppression with sticky noisy threshold
- Flattening of extreme contributors
- Merging of suppressed buckets

2.4 Evaluation Results

Table 8 summarizes the evaluation of Diffix Elm. For each known attack, it provides:

1. The strength of anonymization according to the PI/PR measure ranging from Weak to Very Strong or infeasible,
2. the class of prior knowledge required to execute the attack ranging from None to Class C (extremely unlikely to exist or obtain), and
3. the data conditions required for the attack (from None to Very Rare).

Table 8 shows that the PI/PR measure for every attack except one either doesn’t work at all, has Very Strong anonymization, or can be configured to have Very Strong anonymization.

The one attack for which this is not the case (Detect outlier bucket) can be prevented by detecting the required data condition (which itself is Very Rare) and modifying the data so that the condition no longer exists.

In addition to the Very Strong PI/PR measure, most of the attacks have difficult prior knowledge requirements and/or rare data conditions, leading to even less risk.

3 Specification of Diffix Elm

This section provides a concise and complete specification of Diffix Elm for both Trusted Analyst and Untrusted Analyst Modes. Section 2 is helpful but not strictly necessary to understand this specification. Note that while this section specifies how Diffix Elm works, it doesn’t really describe why it works that way. Section 5 justifies the design by describing how the design defends against known attacks.

3.1 Restrictions and Assumptions

Players and components:

Analyst: The person or application that queries Diffix Elm and receives anonymized answers. The analyst is trusted or untrusted according to the mode of Diffix Elm.

Public: Any person that may receive data obtained by an analyst. The public is untrusted. (Unless otherwise stated, any assumptions about an untrusted analyst apply to members of the public as well.)

Prior knowledge: This refers to knowledge of values in the table. The untrusted analyst may have substantial knowledge of the data in the table, including knowledge of entire columns or entire rows. (A trusted analyst may know the entire table contents.)
Admin: The person who sets up and configures Diffix Elm. The admin is trusted and has access to the table data.

SQL restrictions: Diffix Elm supports only the following SQL keywords: SELECT, FROM, and GROUP BY. Diffix Elm does not support sub-queries. As such, the only SQL structure possible with Diffix Elm is the following:

```sql
SELECT col_expr1,...,col_exprN,count(...) FROM table GROUP BY col_expr1,...,col_exprN
```

The column expressions `col_expr` are optional, and can consist only of the expressions shown in Table 1 including the syntax limitations shown in the table. These syntax limitations are the only difference between TA-Mode and UA-Mode.

The `count(...)` expression may be one of `count(*), count(col), or count(DISTINCT col),` where col is a column name.

Strictly speaking, Diffix Elm accepts SQL without a `count()` aggregate:

```sql
SELECT col_expr1,...,col_exprN FROM table
```

But internally it modifies that SQL to include `count(*)` and `GROUP BY` expressions corresponding to the selected columns. It then modifies the resulting buckets on output to list each counted row separately. In other words, there is always a `count()` aggregate, and if columns are selected, then there are corresponding `GROUP BY` expressions, either explicit or implicit. In the remainder of this description, references to `GROUP BY` expressions include either explicit or implicit expressions.

Table restrictions: Diffix Elm operates on a single columnar table only. The column types can be numeric (integer or real), text, date, time, and datetime.

Diffix can protect multiple different entities, either of the same type (one or more persons) or of different types (a person and an office). There must be at least one column per protected entity that identifies the protected entity. We refer to these columns as AID (Anonymizing ID) columns, and an individual value in each column as an AIDV (AID Value).

In the case where a table has only a single protected entity, and there is one row per protected entity, then the table may not have an AID column. In these cases, an AID column must be created, which may be for instance nothing more than the row index.

Secrets: There is a single secret, the salt, associated with each table. Multiple tables (for instance in the same database) may have the same salt. The salt must not be known by an untrusted analyst.

Untrusted analyst knowledge: The untrusted analyst may have prior knowledge of substantial portions of the table data. We assume that enough of the table data is unknown to the untrusted analyst that the analyst cannot derive the salt through a brute-force dictionary attack on the table. (In effect, the unknown portions of the table serve as a kind of secret password to derive the salt.) Both analysts knows the column names and column types.

Table changes: Diffix Elm supports two models for how tables may change: `append` and `update`. Existing rows in append tables do not change. If they are deleted, they are deleted in bulk (i.e. all rows for a given month). Existing rows may be modified in update tables.

Append tables are typically time-series data where new rows are appended to the table, and a time or date column increases in value with added rows. The key attribute here is that multiple identical queries to windows of time in the past will always return the same result.

By contrast, update tables may have rows inserted anywhere, and the values in any row may be modified. Update tables are not normally time-series.

The distinction is important in Diffix Elm for managing the salt. For append tables, the salt is created when the table is first created, and doesn’t change as data is appended. If the table is replicated (for scalability or redundancy), then the salt must be replicated as well.

For update tables, the salt may be created from the contents of the table itself. If the table changes, then the salt also changes (from the point of view of Diffix Elm, a new table is created). If the table is replicated, then the salt does not need to be replicated as well: it can be recomputed from the table contents.

Both approaches have anonymity pros and cons. With append tables, since the salt is constant, if the same query returns a different answer, then the analyst knows that the contents of the table have changed. If the change is small and predictable, then the analyst may learn something about a protected entity. With update tables, the same query will always produce a different answer then the table is updated (and the salt changes), and so from a single query an analyst cannot tell that the table has changed. However, if certain data has not changed over many updates, then the analyst can average out the noise.

Either way, small incremental changes to the table weaken the anonymity properties of Diffix Elm, and should be avoided. (Note that time-series data can be managed as a series of update tables, each of which never changes. For instance, each day in the time series can be a separate table. Obviously a table may be both appended and updated. Such tables should be managed as a series of update tables.)

3.2 Configure constants

Before use, the admin configures the three suppression constants `low_thresh`, `supp_sd`, and `low_mean_gap`,
the noise constant $base_{sd}$, and the flattening constants $outlier\_range$ and $top\_range$ (see Table 2). Diffix Elm enforces the minimum values for these constants of $low\_thresh=2$, $supp\_sd=1$, $low\_mean\_gap=2$, $base\_sd=1.5$, $outlier\_range=[1,2]$, and $top\_range=[2,3]$. Note that the max value of $outlier\_range$ and $top\_range$ must be greater than the min value respectively. The higher these values, the stronger the anonymity (and the worse the utility).

These minimum values in fact provide quite good anonymity, suitable for most purposes (see the evaluation in Section 5). Extremely strong anonymity is achieved at values $low\_thresh=4$, $supp\_sd=2$, $low\_mean\_gap=4$, $base\_sd=3$, $outlier\_range=[2,4]$, and $top\_range=[3,5]$. Values higher than these have diminishing returns with respect to strength of anonymity and only serve to unnecessarily degrade the utility of the output.

3.3 Configure AID columns

For each protected entity, the AID column for that protected entity must be identified and configured. The ideal AID column has exactly one distinct value (AIDV) per distinct protected entity. (See Section 6 for a discussion of what can be done if the best candidate AID column for a given protected entity does not perfectly achieve this ideal.)

Note that anonymity is not reduced if multiple AID columns are configured for the same protected entity. Diffix Elm does not care if multiple AID columns refer to the same protected entity or different protected entities.

3.4 Table pre-processing

The first time the admin configures the table into Diffix Elm, there are two optional initial pre-processing (PP) steps.

PP step 1: The salt may be generated as a cryptographically secure random number.

For update tables, the salt may alternatively be generated from the table, as follows.

If the table is made available to Diffix Elm as an SQL table, then the salt is generated by:

1. initialize a variable $xor\_value$ to 0
2. reading every cell of the table,
3. hashing the cell value,
4. XOR’ing the hash into $xor\_value$,
5. one-way hashing the $xor\_value$ to produce the salt.

If the table is made available to Diffix Elm as a single file, for instance a CSV file, then the salt is generated by:

1. Set the salt as a one-way hash of the file as a binary string.

| Table-derived variables | Description |
|-------------------------|-------------|
| salt                    | The secret salt used to generate noise |
| AIDV                    | A single value from the AID column |

| Query answer variables  | Description |
|-------------------------|-------------|
| AIDV set                | A set of distinct AIDVs (i.e. associated with a bucket) |
| AIDV contribution        | The number of rows contributed by each AIDV |
| bucket                  | An answer row, as defined by the distinct set of columns in the GROUP BY |
| bucket_count            | The row count of the bucket |
| bucket_value            | One of the distinct set of column values for the bucket |

| SQL-derived variables   | Description |
|-------------------------|-------------|
| column_name             | A GROUP BY column name |
| range_param             | The range parameter(s) for a GROUP BY column |
| range_type              | floor, ceiling, round, bucket_width, substring, or date_trunc (if any) |

| Suppression constants   | Description |
|-------------------------|-------------|
| low\_thresh             | The lower bound for the noisy threshold (minimum value 2) |
| supp\_sd                | The standard deviation of the suppression Gaussian noise (minimum value 1.0) |
| low\_mean\_gap          | The number of supp\_sd standard deviations between low\_thresh and the Gaussian noise mean (minimum value 2) |

| Noise/flattening constants | Description |
|-----------------------------|-------------|
| base\_sd                    | The base standard deviation of the noise (Minimum value: 1.5) |
| outlier\_range              | The minimum and maximum possible values of outlier\_count (max > min, Minimum values: [1,2]) |
| top\_range                  | The minimum and maximum possible values of top\_count (max > min, Minimum values: [2,3]) |

| Other constants            | Description |
|-----------------------------|-------------|
| AIDs                        | The columns containing the AID values. Must be explicitly configured. |
| trust_mode                  | Set by the admin to TA-Mode or UA-Mode |

Table 2: The variables and constants used in Diffix Elm
Either way (table or CSV file), the one-way hash must be cryptographically secure and must produce at least a 128-bit salt.

PP step 2: If there is a single protected entity, and the table has one row per distinct entity, then Diffix Elm may automatically generate an AID column. This AID column is populated with a distinct value per row. There are no restrictions on the actual values used: simply assigning row index number is sufficient.

3.5 Query handling

This section describes query handling for count(*) and count(column). The aggregate count(DISTINCT column) is a special case, described in Section 3.6. Query handling (QH) has the following main steps (see Figure 3):

QH step 1: Inspect the query to ensure that it satisfies the constraints imposed on SQL by Diffix Elm.
QH step 2: Determine the bucket values (i.e. column values), bucket count, and for each AID, the AIDV set and associated AIDV contributions to the bucket count.
QH step 3: For each bucket, determine if the bucket should be suppressed.
QH step 4: For each suppressed bucket, determine if the bucket should be merged with its related non-suppressed bucket (relatively rare event).
QH step 5: For each non-suppressed bucket, compute flattening and adjust bucket count accordingly. Adjust the noise amount base_sd to account for heavy contributors (proportional noise).
QH step 6: Compute sticky noise and perturb bucket count with the noise.

By way of example, suppose that the query is:

```
SELECT date_trunc('year', birthdate),
       substring(zip from 1 for 3),
       count(*)
FROM table GROUP BY 1, 2
```

This query produces buckets with two bucket values (one for birthdate and one for zip). The associated bucket ranges are 'year' and 1,3 respectively.

QH step 1 accepts the query. QH step 2 computes the buckets, for instance (here assuming a single AID):

| Bucket_values | Bucket_count | AIDV set |
|---------------|--------------|----------|
| 1983,'Q2V'    | 31           | ⟨9.18,...,92⟩ |
| 1983,'P3B'    | 2            | ⟨3,12⟩   |
| 1984,'Q2V'    | 62           | ⟨7,11,22,...,104⟩ |
| 1984,'P3B'    | 4            | ⟨16,33⟩  |
| ...           | ...          | ...      |

In QH step 3, Diffix Elm may determine that the second and fourth buckets need to be suppressed.

(QH step 4 is a rarely executed step, and not conveyed in this example.)

In QH step 5, Diffix Elm sorts the AIDVs in descending order of number of rows. If necessary, it may adjust bucket_count to reduce and hide the contributions of extreme contributors, and may increase base_sd to make noise proportional to the contributions of heavy contributors.

Finally in QH step 6, noise is added to the counts, leading to an answer as follows:

| Bucket_values | Bucket_count |
|---------------|--------------|
| 1983,'Q2V'    | 35           |
| 1984,'Q2V'    | 60           |
| ...           | ...          |

The following sections specify the steps in detail.

3.5.1 Seeding of noise layers

Two of the query handling steps (suppression step 3 and noise step 6) require that noise values from a Gaussian distribution are created. Both steps have two noise values, each generated from different seed materials.

One type of seed, the aid_seed, is based on seed materials from an AIDV set as:

\[ \text{aid\_seed} = \text{owh}(\text{salt}, \text{XOR}(h(\text{AIDV}1), \ldots, h(\text{AIDV}n))) \]

where owh() is a cryptographically secure one-way hash function of at least 128 bits. There is one aid_seed per AID.

The other type of seed, the sql_seed, has seed materials from the SQL itself:

\[ \text{sql\_seed} = \text{owh}(\text{salt}, \text{XOR}(\text{gb\_sql}1, \text{gb\_sql}2, \ldots, \text{gb\_sql}N)) \]

where there is one gb_sql per GROUP BY component (explicit or implicit). Each gb_sql is composed of the parameters associated with the GROUP BY:

\[ \text{gb\_sql} = h(\text{column\_name}, \text{bucket\_value}, \text{range\_type}, \text{range\_param}) \]

The range_type and range_param are excluded if no range function is used.

They are also excluded if the range function is floor(), ceiling(), or round(), the parameter K is 1, and the column is an integer type. This is done because in this case the behavior of the function is identical having no function at all. Without this special case, two queries, with and without the function, would produce identical buckets but with different sql_seeds, thus reducing the effective amount of noise for the SQL noise layer through averaging.

If there are no columns selected (and therefore no GROUP BY), then the default sql_seed = owh(salt, 0) is used.
The XOR is there to make sure that sql_seed is independent of the order of GROUP BY expressions.

From the example above, the gb_sql for the birthdate column for the (1983,'Q2V') bucket would be a hash of the values ('birthdate', 1983, 'date_trunc', 'year'). For the zip column of the same bucket, it would be ('zip', 'Q2V', 'substring', 1, 3).

### 3.5.2 QH step 2: determine AIDVs and contributions

Every distinct set of bucket_values defines a bucket. In this step, Diffix Elm:

1. scans the table,
2. determines the buckets,
3. determines which rows are associated with each bucket,
4. computes the bucket_count (number of rows) for each bucket,
5. for each AID, determines the set of AIDVs associated with each bucket, and
6. for each AID, determines the contribution (in number of rows) to the bucket_count for each AIDV.

Note that all but the last two steps constitute normal SQL query processing.

If the query aggregate is count(DISTINCT aid), then each AIDV for that AID contributes one row.

### 3.5.3 QH step 3: Make the suppression decision

The per-bucket input variables for this step are the per-AID AIDV sets and the bucket_count.

The suppression decision has the following steps:

**QH step 3.1:** Per-AID, generate the per-bucket seed.

**QH step 3.2:** Per-AID, generate a noise sample and a noisy threshold from the seed.

**QH step 3.3:** Suppress the bucket if the bucket_count is below the noisy threshold for any AID.

In **QH step 3.1**, the suppression seed is generated as:

```
supp_aid_seed = h(aid_seed, 'suppress')
```

where h() is a hash function with relatively few collisions (say fewer than 1/10000).

In **QH step 3.2**, the seed is used to produce a pseudo-random value myttsupp_noise from a Gaussian distribution with mean zero. The standard deviation is supp_sd.

The suppression threshold is computed as:

```
mean = low_thresh + low_mean_gap
supp_threshold = max(low_thresh, mean + supp_noise)
```

In **QH step 3.3**, the bucket is suppressed if the bucket_count is less than supp_threshold for any AID. If suppressed, none of the subsequent steps are executed.

With this procedure, any bucket with fewer than low_thresh protected entities for a given AID will certainly be suppressed. By setting for instance low_thresh=2, we can guarantee that no bucket, and therefore no column values, pertaining to a single protected entity will be released. This in and of itself does not mean that protected entities cannot be singled-out through other means, for instance exploiting the results of multiple queries.

The suppress decision is sticky because the same query generates buckets with the same count and seed, which in turn produces the same noisy threshold.

### 3.5.4 QH step 4: Possibly merge suppressed bucket with non-suppressed bucket

This step takes place to handle a relatively rare scenario, whereby if a selected column of a given query were to be dropped in another query that is otherwise identical to the given query, this would cause the complete contents of a suppressed bucket to appear in a single other bucket. This condition, if gone unchecked, could allow an attacker to often infer an unknown value associated with the suppressed bucket with high confidence. To prevent this, Diffix Elm merges the contents of the suppressed bucket with the other bucket.

By way of example, suppose that there is a dataset for a university with selected columns `dept`, `sex`, and `title`. Suppose that the CS dept has only two women, and that they both have the same title. Further suppose that the bucket with `dept=CS,sex=F,title=Prof` is suppressed, and the bucket with `dept=CS,sex=M,title=Prof` is not suppressed.

In this case, Diffix Elm can detect that, in a hypothetical different query with selected columns `dept` and `title` only, the contents of the suppressed bucket `sex=F` would be included in the `dept=CS,sex=M,title=Prof` bucket.

This would in turn allow the analyst to detect that the suppressed bucket has value `title=Prof`.

**Anonymized total suppression count:** Diffix Elm generates an anonymized count which is derived from all the rows that have been suppressed in a given output (not including merged rows). The purpose of the suppression count is to inform the analyst as to how much suppression has taken place overall.

The anonymized total suppression count must be comprised of the rows of at least two suppressed buckets. Other than this, however, it is treated as a normal bucket: it is itself subject to suppression if there are too few buckets.
AIDVs, noise is added, flattening occurs, etc. To seed the total suppression count, the symbol * is used as column values.

3.5.5 QH step 5: Flatten and adjust base sd

This step is executed for each AID for each bucket. The per-bucket flattening amount is taken as the max per-AID flattening amounts, and the base_sd is taken as the max per-AID base_sd.

This step has no effect if all protected entities contribute one row.

The amount of noise added to counts by Diffix Elm is proportional to the amount contributed to counts by heavy contributors. In this way, the presence or absence of any protected entity is hidden. If there is a single extreme contributor (a protected entity contributing far more rows than the next biggest contributor), however, then the amount of noise alone can reveal the presence or absence of that protected entity. Therefore, Diffix Elm flattens the contribution of extreme contributors to make them similar to those of heavy contributors, thus hiding extreme contributors.

Flattening requires the following information associated with each bucket: a bucket_count, and per-AID, the AIDV set and the AIDV contributions.

Flattening has the following steps (executed per-AID):

QH step 5.1: Adjust top_range and outlier_range if needed based on the number of AIDVs. The algorithm for the given AID can terminate here if there are not enough AIDVs.

QH step 5.2: Sort the AIDVs by contribution amount, and by AIDV within a given contribution amount.

QH step 5.3: Generate a seed to randomly select outlier_count and identify outlier_count highest contributing AIDVs (outlier_group).

QH step 5.4: Generate a seed to randomly select top_count and identify top_count next highest contributing AIDVs (top_group).

QH step 5.5: Compute top_avg, the average contribution of the AIDVs in the top_group.

QH step 5.6: Compute the bucket_count_adjustment from the flattening computation from the outlier_group contributions to top_avg and adjust bucket_count accordingly.

QH step 5.7: Increase base_sd to account for heavy contributors.

The above steps produce per-AID bucket_count_adjustment and base_sd values. Select the bucket_count_adjustment as that with the largest absolute value per-AID. Select the base_sd as the largest per-AID base_sd. Note that the AIDV set used in QH Step 6 is taken from the AID used to select the base_sd. Note that the max bucket_count_adjustment and max base_sd for the same bucket may come from different AIDs.

Modify the bucket_count by adding the selected bucket_count_adjustment.

Each step is described in detail as follows.

In QH step 5.1, if there are fewer than min(outlier_range) + min(top_range) AIDVs, then the reported count is set to low_thresh and the remaining steps are skipped for this AID.

If there are fewer than max(outlier_range) + max(top_range) AIDVs, then the maximum max(outlier_range) and/or max(top_range) must be temporarily adjusted downwards so that the outlier_group and top_group can be formed. The adjustment is made such that max(outlier_range) + max(top_range) is equal to the number of AIDVs. Neither max value should be set lower than the corresponding min value. Both values should be reduced at the same rate, starting with max(top_range), until max(outlier_range) \leq \min(outlier_range), after which only max(top_range) is reduced.

In QH step 5.2, the AIDVs and their contributions are sorted. This is necessary both to determine the extreme and heavy contributions, but also to derive the seed materials from the AIDVs to determine the outlier_group and top_group. They are first sorted by contribution descending. Within each group of AIDVs with the same contribution, the AIDVs are sorted by h(salt,AIDV). Note that the sorting of AIDVs are to ensure that the seed is always derived from the same AIDV set and is therefore sticky.

Set:

\[
\text{max_count} = \text{max(outlier_range)} + \text{max(top_range)}
\]

Note that at most \text{max_count} AIDVs are used for flattening, so once the top contributing \text{max_count} AIDVs have been sorted no more sorting is needed.

In QH step 5.3, assign max_group as the first \text{max_count} AIDVs in the sorted list. If there are not \text{max_count} AIDVs, then assign max_group as all AIDVs.

Generate flat_seed as:

\[
\text{flat_seed} = \text{ovh(salt,XOR(h(AIDV1)),..., h(AIDVn))}
\]

where AIDV1 through AIDVn are the AIDVs in max_group.

Generate out_seed as:

\[
\text{out_seed} = h(\text{flat_seed},'\text{outlier}')
\]

Set outlier_count as a pseudo-random integer distributed uniformly from outlier_range inclusive, using out_seed as the seed. The highest outlier_count AIDVs from the sorted list are selected as the outlier_group.

In QH step 5.4, the top seed is generated as:
top_seed = h(flat_seed, 'top')

Set top_count as a pseudo-random integer distributed uniformly from top_range inclusive, using top_seed as the seed. The next highest top_count AIDVs from the sorted list are selected as the top_group.

In QH step 5.5, compute top_avg, the average contribution of the AIDVs in the top_group.

In QH step 5.6, for each AIDV in outlier_group, compute the difference between the AIDV's contribution and top_avg. Compute bucket_count_adjustment as the sum of the differences.

In pseudo-code:
Initialization: bucket_count_adjustment = 0
For each contribution in outlier_group:
    bucket_count_adjustment += (contribution - top_avg)

In QH step 5.7, possibly increase the value of base_sd to protect the presence or absence of AIDVs in top_group and the now-flattened outlier_group, as follows:
base.sd *= max(flattened_avg, (0.5 * top_avg))

where flattened_avg is the average contribution of all users after flattening (QH step 5.6).

3.5.6 QH step 6: Add noise

Diffix Elm adds two noise samples (called noise layers) to each bucket. Both noise layers are taken from a zero-mean Gaussian distribution. As with the suppression decision, the noise layers are sticky by virtue of seeding. One of the noise layers is the aid-layer, and is seeded from the AIDVs (aid_seed from Section 3.5.1) (for the AID selected for the base.sd). The other is the sql-layer. It is seeded by components of the SQL itself and the bucket values (sql_seed from Section 3.5.1).

The per-bucket input variables for QH step 6 are the AIDV set determined in QH Step 5, bucket_values, the information associated from the SQL GROUP BY columns (column_name, range_param, and range_type), and the bucket_count (adjusted in QH Step 5).

The steps for adding noise are:

QH step 6.1: Generate the per-bucket seeds.
QH step 6.2: Generate noise samples from the seeds.
QH step 6.3: Add the noise samples to the bucket_counts, and round to the nearest integer.
QH step 6.4: If the resulting noisy count is less than low_thresh, then set to low_thresh.

For QH step 6.1, the seed for the aid-layer is:
noise_aid_seed = h(aid_seed, 'noise')

The seed for the sql-layer is:
noise_sql_seed = h(sql_seed, 'noise')

In QH step 6.2, two noise layers are generated as a pseudo-random sample from a zero-mean Gaussian distribution, each using the corresponding seed. The standard deviation for each layer is:
noise.sd_layer = base.sd / sqrt(2)

In QH step 6.3, the noise layer or layers associated with each bucket are added to the bucket_count. The resulting noisy count is rounded to the nearest integer.

Finally in QH step 6.4, if the noisy count is less than low_thresh, then it is set to low_thresh. This is done simply to ensure that the count in the answer is not less than the suppression mechanism allows.

3.6 Query handling for count distinct

The aggregate count(DISTINCT column) is handled differently than count(*) or count(column). Distinct query handling (DQH) has the following steps:

DQH step 1: Transform the query into its corresponding GROUP BY query.
DQH step 2: Determine which buckets of the GROUP BY query would be suppressed using QH steps 1 to 3.
DQH step 3: For each AID, compute the contribution of each protected entity to the suppressed buckets. If there are no suppressed buckets, stop here and release the true distinct.count.
DQH step 4: Based on these contributions and using QH step 5, compute the flattening amount and adjust the true distinct.count. Likewise compute base.sd.
DQH step 5: Compute sticky noise using QH step 6, and apply the noise to the (adjusted) distinct.count.

These steps are specified in the following sections. (The discussion motivating this algorithm can be found in Section 5.20.1)

3.6.1 DQH step 1: transform the query

As a first step, count(DISTINCT col) is transformed into a histogram of col values: SELECT col, count(*).

For example, the query:
SELECT count(DISTINCT col) FROM table

would be transformed to its corresponding GROUP BY:
SELECT col, count(*) FROM table GROUP BY 1
Note that this transformation doesn’t literally occur, only that the behavior of the algorithm operates as though it did. (This conceptual perspective allows us to reuse the QH steps.)

If the query is `SELECT c1, c2, count(DISTINCT col)`, then the transformed GROUP BY is `SELECT c1, c2, col, count(*)`, and subsequent DQH steps operate per `c1,c2` bucket.

### 3.6.2 DQH step 2: Determine suppressed buckets

Set `distinct_count` to the true count of distinct column values.

Using the transformed query, run QH steps 1-3 to determine which buckets would be suppressed. If there are no suppressed buckets, then use `distinct_count` as the answer (don’t perturb).

### 3.6.3 DQH step 3: Compute per-AIDV contributions

For computing `count(*)` or `count(column)`, the contribution of each AIDV is the number of rows pertaining to that AIDV. Computing the contribution of each AIDV for `count(DISTINCT column)` is different.

In this step, for each AID, each distinct suppressed column value is assigned to one and only one AIDV. The contribution of each AIDV (for a given AID) is the number of distinct suppressed columns values assigned to it.

To do this, the following steps are executed per AID:

**DQH step 3.1:** For each AIDV, list all of the suppressed column values for which the AIDV is a bucket member.

**DQH step 3.2:** Sort the AIDVs according to the number of suppressed column values ascending.

**DQH step 3.3:** Repeatedly traverse the sorted list until all suppressed column values are assigned to one AIDV. For each encountered AIDV X, if there is an associated suppressed column value that is not assigned to any AIDV, then assign it to AIDV X. (If there are no unassigned values, then AIDV X may be removed from the sorted list.)

**DQH step 3.4:** The contribution of each AIDV is the number of suppressed column values assigned to it.

**DQH step 3.5:** The AIDV set (used for seeding) is the set of AIDVs with a contribution of 1 or more.

### 3.6.4 DQH steps 4 and 5: Compute and apply flattening and base_sd

Execute QH steps 5 and 6, using the per-AID contributions computed in DQH step 3, but substituting `distinct_count` for `bucket_count`.

### 3.7 Relation to k-anonymity and Differential Privacy

Diffix Elm has deep similarities with both k-anonymity and Differential Privacy (DP).

Suppression in Diffix Elm and the grouping of K identical pseudo-identifiers in k-anonymity serve the same purpose: to prevent trivial singling-out by simply inspecting the data. Both mechanisms force column data to pertain to at least `so-many` protected entities. In k-anonymity, `so-many` is defined by K. In Diffix Elm, `so-many` is bounded by `low_thresh`, and its statistical average behavior is determined by the three parameters `low_thresh`, `supp_sd`, and `low_mean_gap`. Indeed, suppression is a key mechanism in k-anonymity (along side generalization).

DP also needs to prevent trivial singling-out by data inspection, but in general it does so by simply having no mechanism for displaying column values. Rather, it forces the analyst to state what the column values may be, and then responds with a noisy answer.

Noise in Diffix Elm and in many DP designs serve the same purpose: to obscure counts that may otherwise lead to high-precision inferences. Both Diffix Elm and DP require that the amount of noise be proportional to the contributions of heavy contributors. DP refers to this as sensitivity.

Both DP and Diffix Elm have the concept of flattening. In DP, an administrator may for instance configure bounds like the maximum row count or the maximum contribution to a sum. These bounds both determine the amount of noise, and determines how much any given protected entity can contribute. Protected Entities that contribute more are flattened to the bound. By contrast, Diffix Elm determines the amount of flattening and the amount of noise based on the contents of the data itself. This leads to more accurate results and simpler configuration, but at the expense of less privacy in certain rare cases.

### 4 Evaluation Methodology

Attacks on anonymity mechanisms have three key aspects:

1. The **effectiveness** of the attack by some meaningful measure of anonymity.
2. The **prior knowledge** required by the attacker if any,
3. The **data conditions** (or other conditions) necessary for the attack.

In an ideal world, an anonymity mechanism should be so powerful that no possible attack (known or unknown) is effective regardless of the data conditions and the attacker’s prior knowledge. Differential Privacy (DP) can
achieve this ideal when its privacy measure (Epsilon) is sufficiently low and other conditions are met (reasonable assumptions, lack of side-channel attacks), but success in doing so comes at the cost of very poor data utility and usability.

Diffix Elm achieves remarkably good data utility and usability, but doing so comes at the cost of having to do a risk assessment to demonstrate anonymity. This risk assessment requires that we design and measure attacks, and show that each attack is either ineffective, or that the cost of running the attack, especially in terms of obtaining the necessary prior knowledge, is substantially greater than the benefit of doing so (or for all practical purposes not feasible). It must also be the case that a serious, transparent, and open effort was made to find all possible attacks.

The measure of anonymity we use for Diffix Elm is based on common sense notions of privacy that are easy to relate to. We use two measures, Precision Improvement (PI) and Prediction Rate (PR). PI is a measure of how likely a prediction made by an attacker is correct. PR is a measure of how likely a high PI can be made on a randomly chosen individual in the dataset. We can define thresholds for PI and PR, below which Diffix Elm may be regarded as anonymous relative to that specific attack.

PI/PR are common-sense intuitive measures in three respects. First, the more uncertain an attacker is about a prediction, the stronger the privacy protection (related to PI). Second, the less likely an attacker is to make a high-precision prediction, the less likely a given individual’s privacy is compromised (related to PR). Finally, the less likely an attacker is to get a good PI or PR, the less incentive the attacker has to try in the first place.

If this PI/PR measure shows that a given attack is ineffective, then it doesn’t matter how easy it is to obtain the prior knowledge, or how common the data conditions are: the attack is still ineffective and Diffix Elm is anonymous for that attack.

If on the other hand the PI/PR measure shows that the attack is more effective than is comfortable (above the anonymity threshold), but it is shown that the data conditions don’t exist in the dataset, then again Diffix Elm can be regarded as anonymous for that attack and associated dataset.

If, finally, the PI/PR measure is not below threshold, and the data conditions exist, then we must consider how likely it is that the attacker has, or is willing to get, the necessary prior knowledge. If it is very unlikely that the attacker has or is willing to get the prior knowledge (i.e. Class C), then Diffix Elm can be regarded as anonymous for that attack, associated dataset, and prior knowledge.

We define three classes of prior knowledge (see Section 4.1):

| Threshold     | PI      | PR       | PK Class |
|---------------|---------|----------|----------|
| Very Strong   | 0.5     | 1/100000 | any (A, B, or C) |
| Strong        | 0.5     | 1/1000   | Class C  |

Table 3: The PI/PR thresholds below which Diffix Elm is anonymous and associated prior knowledge Class. PI = 0.5 means that an attacker’s prediction about an individual in the data is correct only 50% of the time, given that the predicted attribute is statistically rare. PR = 1/100000 means that only one in 100000 randomly selected individuals have a high PI (PI > 0.95).

Class A: Knowledge of one individual is required for the attack.
Class B: Knowledge of specific multiple individuals is required for the attack.
Class C: Knowledge of specific multiple individuals, where the attribute being learned is known for most but not all of the individuals.

Class A prior knowledge is very common (everyone knows something about someone). Class B is far less common, and Class C is very rare.

With this framework, we can define two PI/PR thresholds, one below which Diffix Elm is always anonymous (Very Strong), and another (Strong) below which Diffix Elm is anonymous if the prior knowledge is Class C prior knowledge (and the data conditions exist). While these PI/PR thresholds must be set by a DPA or DPO, in our evaluation of Section 5 we define Very Strong and Strong thresholds as shown in Table 3.

The Very Strong threshold can be read as saying “So long as PI < 0.5 or PR < 1/100000, anonymity is very strong”. PI < 0.5 means that, if the attacker is for instance predicting a rare attribute, there is roughly a 50% chance that the attacker is wrong. This in turn gives the victim strong deniability, and therefore anonymity. Depending on the attack, it is sometimes possible to occasionally get a higher PI. PR < 1/100000 means that 1 in 100K predictions may randomly (unpredictably) yield a high-precision prediction (PI > 0.95). This means that the risk of any given individual in the dataset is very low, and therefore the system is anonymous.

The Strong threshold (PI < 0.5 and PR > 1/1000) can itself be regarded as anonymous in many situations, for instance relatively non-sensitive data shared privately. Nevertheless, when combined with a requirement for Class C prior knowledge, it can be regarded as anonymous for virtually any scenario.
4.1 Classes of Prior Knowledge

The three classes of prior knowledge are listed earlier in this section. Here we motivate the need for defining multiple classes and describe the classes through examples.

There is a widespread belief that almost any anonymization mechanism can be broken if the right prior knowledge can be obtained, and that it can be surprisingly easy to obtain the right prior knowledge. In his highly influential paper from 2010 [32], Paul Ohm cites three well-known attack demonstrations:

1. Re-identifying the Governor of Massachusetts from a medical dataset (2002, [34]).
2. Re-identifying Thelma Arnold from an AOL search dataset (2006, [36]).
3. Re-identifying individuals from the Netflix dataset (2008, [31]).

From these three examples, Ohm concludes that the evaluation of anonymization technologies should assume that all necessary prior knowledge is known by the attacker.

It is critical to note, however, that in all of the above examples, the necessary prior knowledge needed to re-identify each individual is knowledge about that one individual only. Furthermore, none of the big-three mechanisms used by Diffix Elm (generalization, suppression, and noise) were used in the above three examples. Rather each of the datasets were only pseudonymized (removal of personally identifying information, but otherwise complete records released). Attacking these datasets is effectively a matter of obtaining enough prior knowledge of one individual, and checking that only one individual in the dataset has the matching prior knowledge.

We refer to prior knowledge about a single individual as Class A prior knowledge. Class A prior knowledge is indeed easy to come by, and getting easier as more and more information about individuals can be found online. An anonymization mechanism that depends on the attacker not having Class A prior knowledge is certainly not anonymous.

To make this concrete, let’s consider the example of re-identifying the Governor of Massachusetts (the victim). To do the re-identification, the following four items prior knowledge was required:

- Knowledge that the victim is a patient of the hospital from which the dataset came (obtained from a newspaper story about the victim).
- The birthdate, zip-code, and sex of the victim (taken from public voter registration records).

Only one individual in the dataset had the same birthdate, zip-code, and sex. These four items of information (membership, birthdate, zip, and sex) are obviously easy to obtain, especially for acquaintances, friends, and family but also for public figures.

Anonymization techniques that use some or all of the big-three mechanisms are generally not susceptible to attacks using Class A prior knowledge. Let’s use k-anonymity, which uses generalization and optionally suppression, as a simple example.

Assume a k-anonymized dataset containing birth-month, zip, sex, and vaccination status (Table 4). Suppose that an attacker knows the birth-month, zip, and sex of a given individual (the victim), and wants to know whether the victim has been vaccinated or not. Suppose that an attacker also knows that there are 15 individuals in the dataset with the same birth-month, zip, and sex, and also knows that 7 are vaxxed and 7 are unvaxxed. In other words, the attacker knows the vaccination status of all individuals with the same birth-month, zip, and sex except for the victim.

In this case, the attacker can infer with 100% precision the vaccination status of the victim, because that is the entry with 8 individuals. This is an example of Class C prior knowledge, and how it can be used to infer information about an individual from k-anonymity. Specifically, the attacker knows about a specific group of individuals (those with the given birth-month, zip, and sex), and also knows about the attribute being learned (vaccination status) of most but not all of the individuals.

There are two important points to make here. First, it is clear that Class C prior knowledge is a very high bar: not impossible but quite improbable. Second, if k-anonymity also added noise, as Diffix Elm does, then even with this prior knowledge, the attacker would not be able to infer with 100% confidence the vaccination status of the victim.

We don’t have an example of an attack against k-anonymity using Class B prior knowledge. Section [5.10] gives an example of an attack against Diffix Elm requiring Class B prior knowledge. Table [6] lists several attacks against Diffix Elm requiring Class C prior knowledge.
4.2 PI/PR Measure of Anonymity

Our evaluation methodology is to measure the success rate of analyst predictions. A higher success rate implies weaker anonymity.

This section starts with a number of examples that motivate the kinds of predictions that PI/PR uses. Section 4.2.1 describes how the predictions satisfy the three EDPB criteria [3], and Section 4.2.2 describes the PI/PR measure in detail.

The PI/PR measure uses the following two predictions:

Singling-out: There is exactly one individual with attributes A, B, and C.

Inference: All individuals with attributes A, B, and C also have attribute D.

As an example for singling-out, the analyst may predict that there is a single individual with attributes (gender='male', age=48, zip=48828, lastname='Wade'). If this is true, then the analyst has correctly singled out that individual. The attributes don’t need to be personal attributes as in this example. If the analyst correctly predicts that there is a single individual with the geo-location attributes (lon=44.4401, lat=7.7491, time='17:14:22'), then that individual is singled out.

On the other hand, if there are no individuals or more than one individual with the attributes, then the prediction is false, and the analyst has failed to single out an individual.

As an example for inference, the analyst may predict that all individuals with attributes (gender='male', age=48, zip=48828) also have attribute lastname='Wade'. As with singling out, the inference may be true or false. (Note that strictly speaking an inference could refer to a single individual. In this case it can be regarded as either an inference or a singling out. It doesn’t matter which.)

We define precision as the number of correct predictions divided by the number of total predictions. If we think of a prediction as defined above as a Positive prediction, a correct prediction as a True Positive (TP), and an incorrect prediction as a False Positive (FP), then this is exactly analogous to the definition of precision in statistics or machine learning as precision = \( TP / (TP + FP) \).

Of course, for an analyst to be able to make a prediction, the analyst must have some basis for the prediction. In other words, the analyst must have an attack that allows them to make a prediction. Our evaluation method-

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4 Here we use the term “individual” rather than “protected entity” because GDPR concerns itself with the protect of individuals (natural persons).

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4.2.1 The PI/PR measure uses the following two predictions:

Singling-out: There is exactly one individual with attributes A, B, and C.

Inference: All individuals with attributes A, B, and C also have attribute D.

As an example for singling-out, the analyst may predict that there is a single individual with attributes (gender='male', age=48, zip=48828, lastname='Wade'). If this is true, then the analyst has correctly singled out that individual. The attributes don’t need to be personal attributes as in this example. If the analyst correctly predicts that there is a single individual with the geo-location attributes (lon=44.4401, lat=7.7491, time='17:14:22'), then that individual is singled out.

On the other hand, if there are no individuals or more than one individual with the attributes, then the prediction is false, and the analyst has failed to single out an individual.

As an example for inference, the analyst may predict that all individuals with attributes (gender='male', age=48, zip=48828) also have attribute lastname='Wade'. As with singling out, the inference may be true or false. (Note that strictly speaking an inference could refer to a single individual. In this case it can be regarded as either an inference or a singling out. It doesn’t matter which.)

We define precision as the number of correct predictions divided by the number of total predictions. If we think of a prediction as defined above as a Positive prediction, a correct prediction as a True Positive (TP), and an incorrect prediction as a False Positive (FP), then this is exactly analogous to the definition of precision in statistics or machine learning as precision = \( TP / (TP + FP) \).

Of course, for an analyst to be able to make a prediction, the analyst must have some basis for the prediction. In other words, the analyst must have an attack that allows them to make a prediction. Our evaluation method-

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4 Here we use the term “individual” rather than “protected entity” because GDPR concerns itself with the protect of individuals (natural persons).
baseline. Further, this baseline is measured with respect to the general population of individuals selected by the attack, not with respect to all individuals in the table. We refer to this measure as Precision Improvement (PI).

While PI is the primary measure of an attack’s effectiveness, there is a second measure that is sometimes important, Prediction Rate (PR). This is needed because sometimes an analyst can improve PI by making predictions from fewer attacks. For instance, suppose in the clever PhD attack described above the analyst ran the attack 20 times, each attack produced one prediction opportunity, and indeed the analyst made 20 predictions, leading to a PI of 40%. Here the prediction rate (PR) is 100% (every prediction opportunity led to a prediction), and the PI is 40%.

Now suppose that there is a variant of the clever attack whereby the analyst knows that some predictions are more likely to be correct than others. The analyst could improve PI by making fewer predictions relative to the prediction opportunities. So for instance the analyst might be able to improve PI to 80% by making only 5 predictions. In this case, PR is 25% (5 predictions of 20 prediction opportunities).

Note that PR is similar to but not the same as recall. Recall is defined as the number of true positives divided by the number of all positives, or recall = \( TP / (TP + FN) \), where FN is False Negative. Recall doesn’t quite make sense in this context because our predictions are all positive predictions: making a negative inference or a non-singling-out are not defined as criteria for anonymity by the EDPB opinion on anonymity \([3]\). We can’t measure recall without negative predictions.

An anonymization mechanism can be still regarded as anonymous even when the PI is quite high so long as the corresponding PR is very low (see Section \(\text{4.5}\)).

### 4.2.1 IDPB three criteria for anonymity

The EDPB opinion gives three distinct criteria for anonymity: singling out, inference, and linkability. The opinion serves to both evaluate a number of well-known anonymization techniques, and to provide guidance for evaluating anonymization techniques not covered by the opinion. This section examines in more detail how the EDPB criteria apply to Diffix Elm.

The EDPB opinion defines singling out as:

Singling out, which corresponds to the possibility to isolate some or all records which identify an individual in the dataset.

The prediction used in this paper for singling out reflects this definition closely. Diffix Elm does not reveal records, but a set of attributes revealed in a singling out attack may be interpreted as a record. Predicting that one individual has the set of attributes corresponds to isolating.

The EDPB opinion defines inference as:

Inference, which is the possibility to deduce, with significant probability, the value of an attribute from the values of a set of other attributes.

The prediction used for inference matches this very well. Indeed the phrase “with significant probability” recognizes that deductions may be incorrect, and so a way to measure precision is needed.

The EDPB opinion defines linkability as:

Linkability, which is the ability to link, at least, two records concerning the same data subject or a group of data subjects (either in the same database or in two different databases). If an attacker can establish (e.g. by means of correlation analysis) that two records are assigned to a same group of individuals but cannot single out individuals in this group, the technique provides resistance against “singling out” but not against linkability.

Compared to singling out and inference, the definition of linkability is less crisp. Indeed, the definition of what constitutes linking is quite different for different mechanisms. For pseudonymization, it can relate to either associating the records within a dataset that have the same IDs, or associating individual records with those in external datasets. For noise addition and permutation, it can likewise refer to associating individual records with those in external datasets.

In each of these cases, linking is possible because there is a 1-1 correlation between records in the anonymized/pseudonymized dataset and the original dataset. The Diffix Elm equivalent to an individual record would be a record composed of the attributes of a singled out individual. As such, linkability by this definition is only possible in Diffix Elm if singling out has taken place. Therefore, the singling out prediction itself encompasses linkability.

In the case of aggregation (k-anonymity, l-diversity, or t-closeness), the EDPB opinion considers linking to take place merely by observing that the records comprising a group of k individuals (i.e. a group with the same attributes) are linked by virtue of having the same attributes. This is effectively a tautology and doesn’t appear to represent a privacy violation in any meaningful way. Nevertheless, the same linking takes place with any bucket produced by Diffix Elm.

In the case of Differential Privacy, the EDPB opinion considers linking to take place when answers to two
queries comprise the same set of individuals. This interpretation can apply to Diffix Elm, but either the linking is trivial (the answers to the same queries), or there are no known attacks. Even if there were attacks, however, there is no reason to believe that this constitutes a privacy violation.

Given the above, either we see no good way to design predictions based directly on linkability (aggregation or DP), or the singling out prediction encompasses linkability.

### 4.2.2 PI and PR in detail

With the above intuition in place, we can now specify how PI and PR are computed in detail. Note that this evaluation methodology is defined by the GDA Score Project [6]. A software library for computing PI and PR is available on Github [5].

If a given attack yields PO prediction opportunities, and the analyst makes $TP + FP$ predictions, then the prediction rate PR is simply

$$PR = (TP + FP) / PO$$  \hspace{1cm} (1)

PI is measured as:

$$PI = (P - B) / (1 - B)$$  \hspace{1cm} (2)

where $P$ (precision) is the ratio of correct predictions to total predictions $P = TP / (TP + FP)$, and $B$ is the baseline probability of a correct prediction.

To compute $B$, we need to understand what is a priori known by the analyst, and what is unknown (i.e. what is being learned). Furthermore, of the known attributes, we use only those that lead to the best baseline probability. So for instance if ema11 and zip are known, and the political party is unknown, then we only use zip as the known attribute since it yields the best baseline prediction for party.

$B$ is computed as the fraction of individuals that have the predicted unknown attributes compared to the total number of individuals that have the used known attributes. Since different predictions may have different known and unknown attributes (i.e. the different known zips and unknown parties in the attack above), $B$ is computed as the average over all predictions:

$$B = (\sum_p N^p_{ua} / N^p_{ka}) / (TP + FP)$$  \hspace{1cm} (3)

### 4.3 Limitations

The key limitation of this attack-and-measure evaluation approach is that it requires that all attacks are known. In practice there is no guarantee that all possible attacks have been found. For all practical purposes, however, this limitation exists for all anonymization mechanisms. For instance, in the years following the definition of $k$-anonymity [34], a series of attacks and weaknesses were discovered, leading to improvements like l-diversity [29] and t-closeness [28].

Not even Differential Privacy (DP), with its mathematical guarantees of privacy, is exempt from an informal attack-based evaluation in practice. For instance, severe side-channel attacks [25, 14] have been found in several prominent query-based DP designs, including PINQ [30], Airavat [33], Chorus [27] (used in-house by Uber), and as well in an earlier version of Diffix, Diffix Birch.

Even the proposed DP release of the US Census must effectively undergo an informal privacy evaluation. The reason is because the US Census plans on using a budget of around 20. A budget this high does not provide a formal guarantee of privacy. The noise of a single query with an Epsilon of 20 is well below 0.5 with very high probability, thus being able to definitely expose the presence or absence of a single user under the right circumstances. As such, the US Census release must rely on informal non-DP mechanisms, such as generalization, to argue that the data release is private.

Having said all that, it is far easier to reason about simple mechanisms than complex mechanisms. Diffix Elm is far simpler than earlier versions of Diffix, and so an attack-and-measure approach is more tenable.

It is worth pointing out that the EU criteria are conservative. The possibility of singling-out, for instance, does not necessarily imply that an attack is practical. It may be, for instance, that singling-out is possible for only certain attributes or certain individuals, and that these are not of interest to an attacker.

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3GDA Score uses different terminology: Confidence instead of Precision, and Claim Rate instead of Prediction Rate, but the concepts are the same.
It could also well be that, even though individuals can be singled out, they can’t be identified. For example, suppose that a single individual with the geo-location attributes \((\text{lon}=44.4401, \; \text{lat}=7.7491, \; \text{time}=17:14:22)\) is singled out. This is of little value to an attacker unless the individual can also be identified. The criteria for the anonymity of Diffix Elm do not rely on the ability to identify, only to single out, link, or infer.

### 4.4 Relation to k-anonymity and Differential Privacy

It is customary to measure the strength of anonymity as \(K\) for k-anonymity and as \(\epsilon\) and optionally \(\delta\) for DP. These measures are specific to the mechanisms of k-anonymity and DP, and don’t apply to Diffix Elm. The reverse, however, is not the case. The PI/PR measure can also be applied to k-anonymity and DP. In this sense, PI/PR is a more general measure.

By way of example, consider the simple attack of Section 5.6. Here the attacker knows that there are either \(N\) or \(N + 1\) individuals with a certain set of attribute values. If the attacker can determine that there are \(N + 1\) individuals, then the attacker knows that the victim has those values and the victim is singled out.

For DP and Diffix Elm, different PI and PR values may be obtained depending on how much noise is added. The values for Diffix Elm, displayed for three different noise settings, is shown in Figure 4. The values for DP would depend on a number of factors, but if \((\epsilon, \delta)\) DP is used, then there would similarly be data points with low-PI high-PR as well as data points with low-PR high-PI (though likely with better values than in Figure 4).

K-anonymity, on the other hand, does not protect against this particular attack, and so would have \(PI = 1.0\) and \(PR = 1.0\), the worst possible measure.

### 4.5 Relation to GDPR

GDPR recital 26 states that data is anonymous when “the data subject is not or no longer identifiable”. GDPR recital 26 further states that:

To determine whether a natural person is identifiable, account should be taken of all the means reasonably likely to be used, such as singling out ...

To ascertain whether means are reasonably likely to be used to identify the natural person, account should be taken of all objective factors, such as the costs of and the amount of time required for identification ...

The evaluation of Diffix Elm in this document is designed to support a determination as to whether identification means are reasonably likely to be used. It measures the effectiveness of all known attacks. The measure, PI/PR, is directly related to metrics meaningful to an attacker: the likelihood and frequency of correct predictions. The predictions themselves are based on the three criteria for anonymity set forth by the EDPB opinion on anonymity [4]. Given the sensitivity or value of a given dataset, a DPA or DPO can therefore make a reasonable estimate as to what PI and PR thresholds would render the data as having no value or marginal value to the attacker.

The evaluation in this paper also describes the prior knowledge required to execute each attack. Using this, a DPA or DPO can estimate the cost to an attacker of obtaining the necessary prior knowledge. So long as the cost of obtaining the prior knowledge substantially exceeds the marginal value of the data, or exceeds the cost of identifying data subjects by other means, Diffix Elm may be regarded as anonymous by GDPR standards.

### 5 Evaluation

The first version of Diffix was published in 2017 [22]. In the four years that have elapsed, numerous attacks have been discovered, and corresponding defenses designed. Most of those attacks are documented in [21]. This section evaluates the effectiveness of all these attacks, plus a few additional attacks, on both modes of Diffix Elm. This set of attacks represent all known attacks. The attacks have been discovered through our own analysis, and by others from our open publications [22][23][19][21] and the bounty programs [18][20]. We believe that the probability of attacks being known to others and not to us is very low. The probability that there remain attacks unknown to anybody is somewhat higher.

A substantial fraction of the known attacks for prior versions of Diffix cannot be run on Diffix Elm simply because the required SQL is not supported. Those attacks are listed in Table 6 along with reason the attack cannot be executed. (Note that the name of the attack may differ slightly from those of Table 6; but the correspondence should be clear.) In particular, both published attacks discovered by external researchers on prior versions of Diffix are in Table 6. These include the attack by Gadotti et.al. [24] on Diffix Birch, labeled Noise exploitation: chaff conditions in Table 6 and the attack by Cohen and Nissim [15], labeled Linear program reconstruction: random user groups in Table 6.
Table 6: List of attacks from prior versions of Diffix [21] that cannot be executed because the required features don’t exist in Diffix Elm

| Attack                                                                 | Reason attack cannot execute |
|-----------------------------------------------------------------------|------------------------------|
| Attack Reason attack cannot execute                                   |                              |
| Noise magnitude report                                                | Not reported                 |
| Averaging: different syntax, floating                                  | Not enough syntax options    |
| Averaging: different syntax, no floating                               | Not enough syntax options    |
| Averaging: split Tracker                                              | No negative AND              |
| Tracker                                                               | No OR                        |
| Linear program reconstruction: random user groups                      | No math                      |
| JOINs with non-personal tables                                        | No JOIN                      |
| Difference: First derivative, negative AND                            | No negative AND              |
| Difference: Counting NULL                                            | No count(col)                |
| Noise exploitation: chaff conditions                                  | No WHERE clause              |
| Noise exploitation: extreme contribution                              | All protected entities contribute 1 |
| Multiple isolating negative AND                                       | No negative AND              |
| Shadow table exploitation                                             | No shadow table              |
| SQL backdoor                                                          | No math                      |
| Side channel: Divide by zero                                          | No divide function           |
| Side channel: Square root of a negative number                        | No square root               |
| Side channel: Overflow                                                | No math                      |
| NULL producing safe function: IS NOT NULL                             | No safe functions            |
| NULL producing safe function: NULL within aggregation                 | No safe functions            |
| Side channel: JOIN timing attack                                      | No JOIN                      |

Table 7: Privacy settings tested in this evaluation. Note that low_thresh is not modified because it does not influence the results of any of the attacks per se. Nevertheless it is an important parameter for suppression (See Section 5.4).

| Parameter, Parameterisations | P | XP | XXP |
|------------------------------|---|----|-----|
| low_thresh                   | 2 | 2  | 2   |
| low_mean_gap                 | 2 | 3  | 4   |
| supp_sd                      | 1 | 1.5| 2   |
| base_sd                      | 1.5| 2.25| 3.0 |
| (Per layer SD)               | 1.0607 | 1.5910 | 2.1213 |

5.1 Additional evaluation information

Many of the attacks described here are demonstrated in software posted in the repo https://github.com/diffix/attacker under the directory diffixElmPaperAttacks. The code for each individual attack is in a subdirectory, the name of which is given in each attack’s evaluation.

In general, we tested three anonymization parameter settings, which we refer to as Private (P), Extra Private (XP) and Extra Extra Private (XXP). The P settings are the minimum values allowed by Diffix Elm. XXP represents extremely strong settings beyond which diminishing privacy returns accrue. The values are shown in Table 7. Note that the parameters associated with suppression can be configured independently from those associated with noise. We group them here for experimental convenience.

The parameters outlier_range and top_range only apply to attack Detect outlier bucket [5,20]. The associated settings are discussed there.

Note that in many of the attacks, we use the function count(). This is to be interpreted as either count(DISTINCT aid) or count(*). In general, however, unless the victim is a heavy contributor to the number of rows, using count(DISTINCT aid) is a better approach for the attacker because otherwise there will be more noise relative to the contribution of the victim.

5.2 How to interpret the graphs

Much of the evaluation is illustrated with scatterplots of Precision Improvement (PI) and Prediction Rate (PR). An example is Figure 4. These plots have a shaded area where PI and PR do not meet the thresholds for Very Strong anonymity as given in Table 3. Data points outside of this shaded “risk area” may be regarded as attacks where anonymity is preserved.

The shaded area is green in cases where the prior knowledge is Class C (very unlikely), or where a malicious analyst has access to a trusted-mode interface. The shaded area is red otherwise. Because Class C prior knowledge is so unlikely, attacks with data points within
a green risk area may still be regarded as anonymous. Attacks with data points in a red risk area, however, might not be regarded as anonymous. (For color blind readers, the prior-knowledge class and trust mode are also summarized in Table 8)

Of course, it is up to the DPA or DPO to determine the thresholds for anonymity. We believe, however, that the thresholds we have selected are very conservative.

Note that, unless otherwise stated, all evaluation data uses the \texttt{count(DISTINCT aid)} form of attack.

5.3 Multiple AIDs

The noise amount (standard deviation) used for any given bucket comes from the worst-case per-AID noise amount. The purpose of noise is to hide the effect of any given protected entity. Because noise amount is worst-case, the noise chosen to protect the worst-case AID naturally protects entities defined by other AIDs. Because of this, with respect to noise amount, it suffices to evaluate the various attacks on the assumption that there is a single AID.

The flattening amount used for any given bucket comes from the worst-case per-AID flattening amount. The only attack that tries to exploit the flattening mechanism is the \texttt{Detect outlier bucket} attack (Section 5.20). The effect of multiple AIDs is discussed in that section.

5.4 Attribute value inspection

Prior Knowledge: None This attack requires no prior knowledge.

Additional conditions: None There are no additional conditions.

Goal In this attack, the attacker wishes to single-out protected entities by simply displaying the column values. If any set of one or more column values pertain to a single protected entity, then the attack succeeds.

Attack A query in this attack selects one or more columns, where each resulting set of values would isolate protected entities were it displayed (regardless of the count).

\begin{verbatim}
SELECT col1, col2, count() FROM ...
\end{verbatim}

Evaluation The suppression mechanism suppresses any output rows that pertain to fewer than low\_thresh protected entities. Since the minimum value of low\_thresh is 2, a set of column values for a single protected entity will never be displayed. Therefore strictly speaking, \( PI = 0 \).

Discussion It is important to note, however, that while a count of 2 may strictly speaking satisfy GDPR requirements for not singling out, there may be conditions in the data that nevertheless lead to privacy loss. These are discussed in sections 6.2 and 6.3. So long as low\_thresh is set carefully, anonymity is maintained (singling-out, inference, or linkability does not occur).

5.5 Unique inference

Prior Knowledge: Class A The attacker must know enough attributes about a victim to know that the victim is in one and only one bucket. Note that these attributes are not unique to the victim. The attacker must also know that the victim is in the dataset.

Additional conditions: Common There are no particular conditions on the original data per se, but the conditions required in any given output may or may not exist. It could be that the data conditions necessary to produce the output don’t exist, or (more likely), the conditions exist but don’t manifest themselves because of the generalization parameters chosen by the analyst.

Goal The goal is to infer an unknown attribute given a set of known attributes.

Attack The attack can be run on the output of any given query. Given an output where \( N \) columns are selected, the attacker inspects the output for any bucket whereby the values for \( N - k \) columns appears in only one bucket. The attacker then infers the values for the remaining \( k \) columns.

If the attacker knows a victim that matches the values of the \( N - k \) columns, and knows that the victim is in the dataset, the attacker then infers the remaining \( k \) values.

Evaluation PR for this attack is 1.0.

There are two reasons why a unique value inference can be made:

1. All but one value has been suppressed.
2. There is indeed only one unique value.

In the first case, the attack’s precision is less than 100%, because the true value might be one of the suppressed values, and the prediction would be incorrect. In the second case, the attack’s precision is 100%.

In both cases, however, PI is always zero: the attack precision is the same as what would come from a statistical guess (were the actual statistics known). In other words, for the second case, even though precision is 100%, that does not improve on a statistical guess.
Discussion  In spite of the fact that $PI = 0$, a DPO or DPA might well regard this attack as violating anonymity on the basis of the EDPB inference criteria. Note that this attack is essentially the same as the vulnerability in $k$-anonymity which is solved by $l$-diversity.

A DPO or DPA can examine the output of Diffix Elm to determine if any output buckets satisfy the criteria for this attack. If any do, the DPO or DPA can determine the precision of the resulting inference, and the sensitivity of the inference if the precision is high.

As a general rule, the precision of the inference is lower when the number of distinct AIDVs (protected entities) is low. When there are multiple distinct values and associated buckets, but all of them have a low number of AIDVs, then it can easily happen that all but one of the buckets is suppressed. In this case, precision is low and privacy is maintained both by the PI measure and the absolute precision measure.

If on the other hand the number of distinct AIDVs in the uniquely inferred bucket is large, then most likely the absolute precision will be high. The exception would be where there are a large number of suppressed buckets, such that the number of distinct AIDVs in the suppressed buckets is about the same or more than the number of AIDVs in the non-suppressed bucket.

Assuming that there are few or no suppressed buckets, then the absolute precision is high. In this case, an important consideration is whether the distribution of the unique value of values (the $k$ column values) is substantially different in the context of the values of the $N-k$ column values, than in the context of the entire dataset. If it is not substantially different, then the unique inference is not surprising, and privacy is not lost (the zero PI value is an accurate indicator of real privacy loss).

To give an example, suppose that some column $U$ has a value $V_u$ which occupies 90% of all rows. Further, suppose that a given unique inference bucket has a count of 20. We would then expect that there are two additional rows that have a value other than $V_u$ for column $U$, and most likely these would be suppressed. This would almost certainly be an acceptable unique inference.

If on the other hand the unique inference bucket for the same column $U$ and value $V_u$ has a count of 2000, then we would expect there to be an additional 200 rows and it would be very surprising if all of these rows were suppressed. In this case, the DPA or DPO should look at the bucket and determine if it represents a privacy violation or not.

For example, suppose that the unique inference bucket had two columns, age and years_married. It would not be surprising, nor would it be a privacy violation, if all individuals with age=10 also have years_married=0.

5.6 Simple knowledge-based: Noise

Prior Knowledge: Class C  In this attack, the attacker has the following prior knowledge:

- A given protected entity $I$ is in the database
- There are $N$ protected entities in the database, none of whom are $I$, that have a given attribute (e.g. age=25) or set of attributes.
- No other protected entities in the database, with the possible exception of $I$, have that given attribute.

Additional conditions: Common  In addition, $N$ is large enough that a query for the attribute will not be suppressed with high probability.

Goal  The goal of the attacker is to determine whether $I$ has the attribute or not.

Attack  The attack is to simply query for the count of the attribute:

```
SELECT attr_col, count(DISTINCT aid)
FROM ...
```

If the count is greater than $N+1/2$, then $I$ is assumed to have the attribute, otherwise $I$ is assumed not to have the attribute.

The attacker can improve Precision Improvement PI at the expense of Prediction Rate PR by raising the threshold at which the attacker makes a prediction. For instance, if the attacker requires that the count must be greater than $N+2$ in order to make a prediction, then PI will improve, but fewer protected entities will be attacked because fewer predictions are made.

Evaluation  Figure 4 gives the results. The experimental parameters are described in Section 5.1. The code for this attack is in the subdirectory simpleKnowledgeBasedNoise.

Value Freq. is the frequency at which the given attribute appears in the data. A value frequency of 0.5 means that 50% of the data has that particular attribute value. Overall PI increases with higher value frequency. The reason for this is that the absolute change in precision required for a given PI is smaller for higher value frequencies. For example, if the value frequency is 90%, a 5% increase in absolute precision yields a PI of 0.5. On the other hand, if the value frequency is 10%, the same 5% increase in absolute precision yields a PI of only 5.3%.

Note that Figure includes data for a noise level below the minimum allowed ($SD=1.0$). This is included to capture the case where the Averaging, different semantics
**Discussion**  The Class C prior knowledge requirements for this attack set a very high bar for the attacker. Not only does the attacker need to have knowledge of multiple protected entities, it would be quite unusual for an attacker to not know whether the victim has a given attribute when the attacker does know the exact number of other protected entities with the attribute. A plausible scenario where this could happen is where an analyst formerly had access to the raw data but no longer has it, and in the interim one protected entity was added to the data set, and the analyst subsequently has access to anonymized results.

Nevertheless, even if the prior knowledge requirement is met, the attack is ineffective for most privacy settings and Value Frequencies. If it is absolutely necessary to avoid the risk area, a higher privacy setting can be set.

### 5.7 Simple knowledge-based: Suppression

**Prior Knowledge: Class C**  In this attack, the attacker has the following prior knowledge (note this is the same prior knowledge as in the previous attack 5.6):

- A given protected entity $I$ is in the database
- There are $N$ protected entities in the database, none of whom are $I$, that have a given attribute (e.g. age=25) or set of attributes.
- No other protected entities in the database, with the possible exception of $I$, have that given attribute.

**Additional conditions: Common**  If the attacker wants high PI at the expense of low PR, then the number of known protected entities $N$ must be low. If the attacker wants high PR at the expense of low PI, then $N$ can be at or adjacent to the mean suppression threshold.

**Goal**  The goal of the attacker is to determine whether $I$ has the attribute or not.

**Attack**  The attack is to simply query for the count of the attribute:

```
SELECT attr_col, count(DISTINCT aid)
FROM ...
```

If the bucket is not suppressed, then the attacker knows with 100% certainty that the victim has the attribute (at least, given 100% precision in the accuracy of the prior knowledge). If the bucket is suppressed, then the attacker learns (almost) nothing new, and cannot make a prediction.

If $N = \text{mean suppression threshold}$, then the attacker assumes that the victim does not have the attribute if the bucket is suppressed, and assumes that the victim does have the attribute if the bucket is not suppressed. In this case, the attacker learns something in every attack, and so can make a prediction for every attack (high PR).

**Evaluation**  Figure 5 gives the results. The experimental parameters are described in Section 5.1.

The code for this attack is in the subdirectory `simpleKnowledgeBasedSuppress`.

Both PI and PR increase as both the privacy settings and the value frequency increase. Though not apparent from Figure 5, different suppression parameters take affect depending on whether the attacker is optimizing for...
The prior knowledge requirement for this attack Class C. Value Freq. is the frequency at which the attacked data value appears in the column. 0.5 means that 50% of the data has the given value.

When optimizing for PR (the cluster of points on the lower right), it is the increase in suppression standard deviation $\text{supp}_\text{sd}$ that leads to increased PI. Increase in the low mean gap does not affect PR. By contrast, when PI is optimized (data points at the top where $PI = 1$), it is low mean gap that leads to a higher PR: $\text{supp}_\text{sd}$ has no effect.

From the data, we can see that attacks with privacy setting P and XP fall within our risk area. For setting P, this includes Value Frequencies where 10% or more of protected entities have the unknown value, and for setting XP, where 50% or more of protected entities have the unknown value. The XXP setting has no attacks that fall in the risk area.

Discussion

As with the knowledge-based attack using noise (Section 5.6), this attack requires Class C prior knowledge, and is therefore extremely unlikely to be possible in practice. If the DPA or DPO is nevertheless concerned with this possibility, then an XP privacy setting leads to a high-precision prediction in roughly 1/1000 predictions for values that are 90% common, and roughly 1/20000 predictions for values that are 50% common. Note that such common values are rarely sensitive.

5.9 Averaging: different semantics, same result

Prior Knowledge: None

Additional conditions: Common

This attack requires specific conditions in the data: it must be the case that multiple different bucket conditions generate the same data. In the case of text columns, this could occur when specific characters in fixed positions are the same for a given value and not for other values. For instance, suppose that a text column had three values, “Married”, “Single”, and “Divorced”. The following bucket conditions would all produce outputs consisting of the same protected entities in the same buckets:

\[
\text{SELECT substring(col FOR 1), count(\ldots)}
\]
\[
\text{SELECT substring(col FOR 2), count(\ldots)}
\]
\[
\text{SELECT substring(col FOR 3), count(\ldots)}
\]

\[
\text{\ldots}
\]

In UA-Mode, only substrings starting at offset 1 may be formed.

A similar effect is possible with numeric and date-time columns, but far less likely to occur. It would require for instance that all protected entities in the bucket 0-100 also exist in the bucket 0-50. As a result, \(\text{floor}(\text{col}/100)*100\) and \(\text{floor}(\text{col}/50)*50\) would produce the same bucket.

Goal

Eliminate the noise from counts. While a successful attack wouldn’t break anonymity in and of itself, the resulting noise-free counts could then be used in other attacks, for instance the Linear program reconstruction: aggregate combinations attack (Section 5.11).
Figure 6: The number of noise samples needed to reduce the effective noise to less than ±0.5 for different levels of precision and noise. Noise less than ±0.5 exposes the true count for \( \text{count(DISTINCT aid)} \) queries. Data points generated through simulation.

**Attack** The attack is to form multiple buckets using different bucket conditions as described above, and then to average out the resulting multiple noise values.

**Evaluation** The attack fails because of the aid-layer noise. Although the sql-layer changes with each query, and can therefore be averaged out, the aid-layer remains the same.

Nevertheless, this attack effectively reduces the total amount of noise applied to counts, and so could be used in combination with other attacks to weaken the anonymity of those attacks. For example, in the case where \( SD = 1.5 \), the effective noise (if the sql-layer noise could be completely removed) would be just over 1.0. It is therefore useful to know under what conditions this attack can succeed.

Figure 6 shows how many attack queries are required to result in noise less than ±0.5 for different levels of precision and amounts of noise. From this we see, for instance, that to achieve 99% precision, and a standard deviation of 1.0 (which is roughly that of one noise layer when \( \text{base.sd}=1.5 \)), around 25 queries are needed.

The simulation used to derive these numbers can be found in the code `attack.py` in the subdirectory `avgDiffSyntaxSameSemantic`. The number of required samples represents the number of characters that would be needed to generate the samples in UA-Mode using `substring()`.

**Discussion** This attack would not accidentally be executed by a non-malicious analyst. It therefore only applies to UA-mode operation.

This attack increases in likelihood as the number of columns with few distinct values and lengthy text strings increases (relative to the per-layer SD). In data where this is a concern, the columns can be pre-processed so that the strings are reduced in size or replaced with digits.

5.10 Linear program reconstruction: randomness in column

**Prior Knowledge: Class B** In this attack, there are one or more identifying columns, and an unknown column. The identifying columns, taken together, uniquely identify each protected entity being attacked. The unknown column is what is being learned. The attacker must know all values of identifying columns.

**Additional conditions: Common** The identifying columns must be text columns (the attack uses the `substring()` function which only works on text columns). The identifying columns must have substantial internal randomness. A substantial number of characters in the text string must be randomly assigned, and as such have no correlation with other random characters.

Most commonly this would be a column that serves as an identifier, and whose values are randomly assigned (for instance a UUID value).

**Goal** The goal is to reconstruct the identifying and unknown column values. If this can be done, then each protected entity can be singled out because of the identifying columns.

**Attack** The attack is patterned after the original 2003 reconstruction attack of Dinur and Nissim [16], and a later variant successfully executed against Diffix Cedar by Cohen and Nissim [15]. As with Diffix Elm, the attacker can request the count of protected entities that have a given value in the unknown column. Also like Diffix Elm, noise is added to the counts (though there is no suppression). Critically, in the Dinur attack, the attacker has the ability to specify which protected entities are included in each count. This allows the attacker to select counts composed of random but known protected entities.

The corresponding SQL for the Dinur attack could for instance be:

```sql
SELECT count(DISTINCT aid) FROM table
WHERE unknown_col = X AND
identifying_col IN
(i1,i6,i11,i12,...,i142)
```

For each count with a set of selected protected entities, a pair of equations are formed:

\[
i_1 + i_6 + i_{11} + i_{12} + \ldots + i_{142} > \text{count} - \delta
\]

\[
i_1 + i_6 + i_{11} + i_{12} + \ldots + i_{142} < \text{count} + \delta
\]

Each variable \( i_X \) represents one protected entity, and can take the values 1 or 0 corresponding to whether the protected entity has or does not have the unknown value. ±\( \delta \) is the range of noise that can be added to the count.

The attacker makes multiple queries, each with a randomly selected subset of protected entities. This results...
in a set of equations that can be solved for the values of $i_X$. If there are enough equations relative to the amount of noise, then there is a single correct solution to the equations and the attacker can determine the correct value of each $i_X$, and therefore the unknown column value of each protected entity. As a result, all protected entities are correctly singled out.

Unlike the Dinur setup, Diffix Elm does not allow the attacker to specify which protected entities can be included in an answer. Therefore, the attacker must rely on randomness in the identifying column itself, combined with prior knowledge of the values of the identifying column, to build the equations.

In T-mode, the attacker can make a set of queries of the form:

```sql
SELECT substring(identifying_col FROM X FOR Y),
unknown_col, count(DISTINCT aid)
FROM table
GROUP BY 1,2
```

By varying X and Y, the attacker creates different sets of protected entities. In the case of UA-Mode, X is always 1, so the attacker can form only a relatively small number of equations (limited by the length of the identifying column or columns themselves). In TA-Mode, however, the attacker (if the analysts indeed turned out to be malicious) can both generate more random groups (vary X), and can better control the size of the groups (vary Y).

**Evaluation** The code for this attack may be found in subdirectory `linearReconstructionRandom`. The constraint builder and solver is in file `lrAttack.py`, routine `makeProblem()`. There is a Jupyter notebook at file `basic.ipynb` that explores the results.

In our experiments, we assumed a single identifying column, and assumed only two values in the unknown column. We tested the attack for both UA-Mode and TA-Mode across a range of parameters:

- **Number of protected entities being attacked:** From 10 to 100 protected entities for untrusted, 10 to 800 for trusted
- **Length of ID string:** 120 characters for untrusted, and from 15 to 240 characters for trusted
- **Number of symbols per ID character:** 2, 8, and 32 symbols
- **The frequency of the unknown value:** 10% and 50% frequency

The main result for UA-Mode is shown in Figure 7, which shows the Precision Improvement (PI) for different anonymity strengths and prior knowledge. Prediction Rate (PR) is always 1.0. The different points comprising the box plots represent different experimental parameter settings. The parameters associated with P, XP, and XXP are given in Table 7.

![Figure 7: Untrusted Analyst Mode: Precision Improvement for different strengths of anonymity and amounts of prior knowledge. Prediction Rate (PR) is always 1.0. The different points comprising the box plots represent different experimental parameter settings. The parameters associated with P, XP, and XXP are given in Table 7.](image)

Even where the attacker knows all data except for one protected entity, the attacker never achieved better PI than 0.5. (The high point for the ‘P’ anonymization strength is for an attack on 10 protected entities and 8 symbols per ID character.)

In short, the attack for UA-Mode is not effective.

In spite of the fact that a trusted analyst would not accidentally run the attack, we should understand the extent to which the attack is effective in TA-Mode. The main result for TA-Mode is shown in Figure 8 which shows the Precision Improvement (PI) for different anonymity strengths and prior knowledge. Prediction Rate (PR) is always 1.0 for this attack. The different points on the box plots represent the different combinations of the above experimental parameter settings (see the Jupyter notebook for more detail). The core result is that, even when the attacker knows the unknown values for half of the protected entities, PI is never more than 0.2.

The experimental variable that has the strongest effect is the amount of randomness in the identifying columns: more randomness leads to more effective attacks because the attacker can make more equations and so reduce the possible set of correct answers. Figure 9 shows the effect of the length of the ID value on PI. For this graph, 200 protected entities were attacked, there were 8 symbols per ID character, and the unknown value appeared with 50% probability. These are conditions favorable for the attacker.

From Figure 9 we see that anonymization strength of
Figure 8: **Trusted Analyst Mode (but malicious analyst):** Precision Improvement for different strengths of anonymity and amounts of prior knowledge. Prediction Rate (PR) is always 1.0. The different points comprising the box plots represent different experimental parameter settings. The parameters associated with P, XP, and XXP are given in Table 7.

Figure 9: **Trusted Analyst Mode (but malicious analyst):** Precision Improvement for different amounts of randomness in the identifying columns (based on length of ID). Prediction Rate (PR) is always 1.0. 200 protected entities were attacked, there were 8 symbols per ID character, and the unknown value appeared with 50%. The parameters associated with P, XP, and XXP are given in Table 7.

\[ 'P' \text{ hits 50\% PI at around } 30 \text{ 3-bit symbols (90 bits of randomness)} \]
\[ 'XP' \text{ at around } 60 \text{ 3-bit symbols (180 bits of randomness)} \]
\[ 'XXP' \text{ at around } 200 \text{ 3-bit symbols (600 bits of randomness)} \]

For comparison, a typical UUID has around 96 bits of randomness (24 4-bit random symbols).

Note that PI eventually starts decreasing with still more random bits. We speculate that this is because, once diminishing returns in the amount of randomness is reached, more symbols only leads to more possible solutions, and so the solver has a larger chance of producing an incorrect solution.

**Discussion**

It seems virtually impossible for a trusted analyst to accidentally execute the queries necessary to run this reconstruction attack. The analyst would have to run a sequence of `substring()` over a column with no particular analytics value (because of the randomness).

Note also that the attack leaves a very distinctive signature. If query activity is monitored, this could help to dissuade an attack in TA-Mode.

Note finally that it may be possible to pre-process the data so that excess randomness is removed, especially given that randomness has little analytic value.

### 5.11 Linear program reconstruction: aggregate combinations

**Prior Knowledge:** None For the columns being attacked, the attacker must know the set of distinct column values (i.e. if the column is account status), the attacker would need to know that the possible values are 'active' and 'inactive'). This is typically public knowledge.

While the attacker does not need to know any data about protected entities to run the attack, some knowledge of protected entities may help reconstruct the data of unknown protected entities.

**Additional conditions:** None

**Goal** The goal of this attack is to reconstruct the column values in the data. Individual rows with a distinct set of values are effectively singled out.

**Attack** This attack uses a constraint solver to try to compute what the original table values must be. It makes a set of queries that cover every combination of the columns that are being attacked. For instance, if three columns, C1, C2, and C3 are being attacked, then the attacker queries for each column separately, each of three combinations of two columns, and all three columns.
Based on the answers, the attacker can then define a set of constraints:

1. There are N protected entities, where N is the noisy answer to the count of all rows.
2. For any given histogram of one or more columns, a protected entity appears in exactly one bucket.
3. The count of protected entities in any reported bucket is constrained by the noisy count plus or minus some range (typically between 1 and 3 standard deviations of the noise), but no fewer than \( \text{low\_thresh} \).
4. The count of protected entities in a suppressed bucket (which is known to be suppressed because all possible column values are known a priori), is constrained by zero and a range above the mean \( (\text{low\_thresh} + \text{low\_mean\_gap}) \) typically between 1 and 3 standard deviations of the suppression noise \( \text{supp\_sd} \).
5. Each protected entity in a sub-bucket also appears in the associated parent buckets. For example, if a protected entity appears in the bucket defined by the two column values \( \text{age}=20, \text{zip}=12345 \), then the protected entity also appears in the one-column buckets \( \text{age}=20 \) and \( \text{zip}=12345 \).

A solution for these constraints results in a reconstructed table containing zero or more distinct protected entities, where a protected entity is distinct if it has a unique set of column values. A singling-out prediction is made for each distinct protected entity. No singling-out predictions are made for non-distinct protected entities (leading to a lower PR).

Note that column values can themselves be generalizations. For instance, an age group of 25-years may serve as a column value (leading to four distinct “values” to attack). This is important because the attack scales exponentially with the number of columns and column values. Generalization effectively reduces the number of column values that need to be solved for, though at the expense of the attacker obtaining less precise information about the data.

**Evaluation** The code for this attack may be found in subdirectory `linearReconstructionAggregate`. The constraint builder and solver is in file `lrAttack.py`, routine `makeProblem()`. There is a Jupyter notebook at file `basic.ipynb` that explores the results.

Figure 10 gives the main result. Each point on the graph is the average PI and average PR over 30 attack runs for tables with different numbers of columns and distinct values per column. The number of columns and values is relatively small, ranging from 3 to 5 columns and from 3 to 5 distinct values per column. The reason we tested with relatively small tables is because the solver scales with the product of the number of column/value combinations and the number of rows. The number of rows assigned to each table is equivalent to the number of column/value combinations. Each row is assigned a value from each column randomly with uniform probability.

As a validation, we also ran the attack with no anonymization at all. These attacks show perfect reconstruction, and obtained \( \text{PI} = 1.0 \) and PR in the range between 35% and 45%. This PR range is because only this fraction of entries in the table had distinct column values, and so predictions were made only on these entries.

The key result is that the attack is unable to achieve PI greater than 50% for even the lowest privacy setting of P. This attack is not effective. Note as well that stronger anonymization does not make a huge difference in the effectiveness of the attack. Even a small amount of noise leads to incorrect solutions.

Note that, while the data points shown in Figure 10 each represent the average of 30 runs of the attack, the difference between individual attacks is quite large. Figure 11 gives the data for the individual attacks. Here we can see that individual runs range from perfect reconstruction to far worse than a statistical guess (negative PI). The attacker has no way of knowing where on this spectrum any given attack lies, and so the average from Figure 10 approximates the actual PI and PR overall.

Figure 12 gives the results for different amounts of prior knowledge. Contrary to what one might expect, prior knowledge does not improve PI. Indeed it lowers PI while increasing PR, although this effect is an artifact of how we measure PI and PR in this case.
Specifically, what we do is to remove the prior known protected entities from both the original and reconstructed tables, and then measure PI and PR on the resulting tables. More prior knowledge leads to smaller measured tables. At the extreme, when the attacker knows all of the date except for one row, then the measured original and reconstructed tables have only one entry each.

As the number of rows in the measured tables shrinks, the proportion of unique rows increases. Indeed a table with one row only by definition has a unique row. This causes PR to increase, and at the same time lowers the accuracy of predictions simply because the decision to make a prediction is based relatively less on the selectivity of the solution, and more on the probability of there being a unique entry by chance.

Note, however, that the PI difference between no prior knowledge and half prior knowledge is not that much. We believe that the solver simply often finds the wrong solution, and so there are always incorrect predictions. We could not test this, however, because larger tables take very long to solve because of the exponential increase in variables.

**Discussion** This version of the reconstruction attack is not effective. With noise and suppression, there are too many solutions that are correct in that they satisfy the constraints, and we don’t know how to detect which solutions might be better. We have not aggressively explored how one might do this: we don’t have any good ideas and our intuition is that this simply isn’t a fruitful avenue of attack.

5.12 Difference: positive AND, single victim

Note that this attack does not work because of suppressed bucket merging (see 3.5.4). However, we describe it here to motivate the need for suppressed bucket merging.

**Prior Knowledge: Class C** This attack requires that a certain condition holds in the data, and that the attacker knows of the condition. Specifically, it must be the case that a single user has a different value from all other protected entities in a given column (the isolating column) for some subset of the data, and that the attacker knows this. For example, everyone in the subset computer science department has isolating column value gender='male' except one person.

**Additional conditions: Rare** There must be enough protected entities with the common value (i.e. males) in the subset (i.e. CS department) that very few if any of the
buckets corresponding to the unknown values are suppressed.

**Goal** The goal of the attacker is to single out the protected entity with the unique value in the given subset of the data (i.e. the female among males).

**Attack** The attacker creates two queries, one that creates a bucket that excludes the victim (i.e. the female in the CS department), and another that creates a bucket that may or may not include the victim depending on whether the victim has the unknown attribute. For example, in the following two queries, the unknown attribute is title.

```
SELECT dept, gender, title, count() 
FROM table GROUP BY 1,2,3
```

```
SELECT dept, title, count() 
FROM table GROUP BY 1,2
```

The attacker is interested only in the buckets with `dept='CS'`. The victim is never in the bucket of the first query (where `gender='male'`).

If not for suppressed bucket merging, the victim would be in the bucket of the second query where the title matches that of the victim (V In), and not in the other buckets of the second query (V Not In). Therefore, the underlying true count between the second and first query would differ by 1 for the V In pair, and wouldn’t differ for the V Not In pair.

The AIDV set would always the same for the V Not In pairs, and different for the V In pair. Correspondingly, the seed material related to the aid-layer would be the same in the V Not In pairs, and would differ only for the V In pair.

The seed material for the sql-layer differs for every bucket of both queries.

If we take the difference between the first and second noisy count for matching buckets (again, assuming no suppressed bucket merging), we find that:

- For V Not In pairs, there is no difference in the underlying count, and the difference in noise is that of one layer.
- For V In pair, the underlying count differs by 1, and the difference in noise is that of two layers.

In other words, there would be two signals that the attacker could use to try to deduce the victim’s bucket.

Given these two signals, the attacker has two strategies. The first is to make a prediction with every attack (PR=1) by assuming that the bucket where the difference in count between the second and first queries is largest is the one that holds the victim. The second is to only make a prediction if the magnitude of the difference exceeds some threshold. This improves PI at the expense of a lower PR.

**Evaluation of likelihood that table conditions exist** The file `findConditions.py` in subdirectory `findConditions` contains code that measures the extent to which the conditions for this attack exist in the data. Using this code, we evaluated the number of times the conditions exist in three real datasets:

- **Census**: 15 columns and 3.8 million protected entities
- **Banking**: 15 columns and 5369 protected entities
- **Taxi**: 21 columns and 12995 protected entities

`findConditions.py` operates in two phases. First, it examines pairs of columns, an isolating column and an subset column, looking for the attack condition whereby there are two values in the isolating column, and only one protected entity has one of the values. When discovered, it then examines the remaining columns as unknown columns to ensure that no suppression takes place. When all these conditions are met, then we have a working attack.

The conditions for the attack occur whenever the isolating column has a small number of distinct values, and:

1. There is a strong negative correlation between an isolating column value and a subset column value (as in the CS department example above), or
2. One of the values in the isolating column has a very high occurrence.

In our measures, we never found a case where the attack conditions exist for the first reason. In all there datasets, however, there are columns were one value dominates.

For instance, in the census dataset used in our measure, the second existed for four columns:

- **citizen**: Four values, dominant value 93%
- **race**: Five values, dominant value 88%
- **school**: Two values, dominant value 83%
- **speaks english**: Three values, dominant value 73%

(Note that the census dataset has a `gender` column with only two distinct values, but they are roughly evenly split and don’t correlate with other columns, and so no attack conditions were found using `gender` as the isolating column.)

The number of protected entities for which the attack conditions existed at least once are:

- **Census**: 70 of 3.8 million protected entities (1/54000)
- **Banking**: 14 of 5369 protected entities (1/380)
- **Taxi**: 5236 of 12995 protected entities (1/2.5)

The reason that the taxi dataset has a high occurrence relative to the other two datasets is because it is a time-series dataset with 440K rows (average 33 rows per protected entity, where protected entities are taxi drivers, and
each row corresponds to a trip). Each trip creates a scenario where the conditions might hold with respect to that trip. Usually the subset in the taxi measure was a column like trip start time or trip start latitude, which effectively isolated a taxi ride for some isolating column.

**Evaluation of effectiveness (assuming conditions exist and no suppressed bucket merging)** Suppressed bucket merging prevents this attack from working. It detects the condition, and places the rows from the victim into the corresponding bucket.

Nevertheless, we ran the attack on the assumption of no suppressed bucket merging. The code for this attack may be found in subdirectory `diffAttack` in file `diffAttackClass.py`, where the configuration `attackType = 'diffAttack'` is set.

We found that if the attacker uses $PR = 1$, then PI is always below 50%. If, however, the attacker lowers PR, then the attacker can achieve $PR > 0.95$ with prediction rates that fall within the designated risk area. In the worst case, with the minimum noise amount of $\text{base}_sd = 1.5$, 95% PI is obtained for 1/50 protected entities when 2 unknown values are being attacked. The attack is less effective as the noise or the number of attacked unknown values grows.

**Discussion** We believe that the likelihood of this attack occurring in practice (if suppressed bucket merging did not exist) would be extremely small. The data conditions are rare, and the required prior knowledge is substantial.

Further, when the conditions do occur, the attacker can learn only one of a small number of unknown values, usually just 2. Normally values that are shared by a substantial portion of the population are not as sensitive.

On the other hand, not all users may agree with this assessment, and it is the case that a trusted analyst could inadvertently formulate the attack (at least, more likely than other attacks like linear reconstruction or range creep). Therefore, from an abundance of caution, we implement suppressed bucket merging and prevent this attack.

**5.13 Difference: positive AND, group of victims**

**Prior Knowledge: Class C** As with the difference attack exploiting positive AND against a single victim (Section 5.12), this attack requires that certain conditions exist in the data, and that the attacker knows of the conditions. The difference is that here the conditions apply to multiple protected entities instead of a single one. It must be the case that a group of protected entities (victims) a different value from all other protected entities in a given column (the *isolating column*) for some subset of the data, and that the attacker knows this.

**Additional conditions: Rare** The protected entities should all have the same value for the unknown attribute. To the extent that they do not, the attack is less effective. The number of protected entities must be enough that suppressed bucket merging is not triggered.

**Goal** The goal is to infer the unknown value shared by the group of victims. By the strict GDA score definition of inference, the goal fails if a single victim does not share the unknown value. An alternative goal would be to guess the unknown value of a single one of the victims based on prior knowledge that that specific protected entity is one of the victims. In this case, the attack may succeed even if the group of victims does not share the same unknown value. In this latter case, singling out would occur if the attacker has prior knowledge that distinguishes the specific victim from the other victims.

**Attack** The attack mechanism is the same as that of Section 5.12.

**Evaluation** The code for this attack may be found in subdirectory `diffAttack` in file `diffAttackClass.py`, where the configuration `attackType = 'diffAttackLed'` is set. The attack run by this code is the singling-out goal, not the inference goal. The attacker assumes that the victim is in the bucket that exhibits the greatest noisy count difference. We used the `count(DISTINCT AID)` aggregate.

To run the attack, we label `Num Isolated` protected entities as the group of victims. We randomly assign an unknown value to each victim (they do not necessarily all have the same value). We randomly select one from the group of victims as the singled-out victim. The attack succeeds if we correctly guess the unknown value of this specific victim.

The results of the attack are shown in Figure 13. As can be seen, the attack is ineffective. The fact that PI is higher for for a larger number of unknown values seems counter-intuitive (it should be easier to guess among fewer values than more values). This is an artifact of the definition of precision improvement: the absolute precision is much less for more unknown values.

**Discussion** Suppressed bucket merging only merges when all AIDVs in the otherwise-suppressed bucket share a potential unknown value. When this happens, then the first and second query answers are identical, and the attacker learns nothing.
Unknown Vals is the number of distinct values for the unknown attribute. Num Isolated is the number of victims in the isolated group. PI values above 1.0 denote cases where there were insufficient correct predictions to derive a statistically meaningful value (fewer than 10).

When this is not the case (and suppressed bucket merging is not invoked), then the attack fails because the isolated AIDVs are spread around, leading to 1) ambiguity as to which bucket may contain the victim, and 2) less of a difference between the bucket pair, which in turn means that the noise is more likely to obscure what is happening. Due to both of these effects, the attack is not effective.

Note that if this were not the case, then we would have to modify suppressed bucket merging so as to merge even in this case, which would create additional distortion.

5.14 Range creep with averaging (TA-Mode only)

Note that this attack only works in TA-Mode. In UA-Mode the precision of X in the expression floor(col/X)*X is not enough to generate the attack conditions.

Prior Knowledge: Class A The attacker must have prior knowledge of the victim’s value in a numeric column, and must either have explicit knowledge of the next lower and higher values in the column, or be able to deduce with high probability how far away the next lower and higher values are (e.g. through knowledge of the precision on column values).

Additional conditions: Common This attack requires that the victim has a value in a numeric column that is distinct from all other users. It also requires that there are enough other protected entities that have values higher than the victim’s next lower value, and lower than the victim’s next higher value, to avoid suppression (see attack description below).

Goal The goal is to learn the victim’s value for an unknown column by singling out the victim by averaging out the noise using slight increments of the floor() bucketizing function.

Attack By way of example, suppose that the victim has the value 1000 in some integer column, that no other user has this value, and that the attacker knows it.

The attacker makes the following query:

```
SELECT floor(int_col/999.9)*999.9, unknown_col, count(*)
FROM table GROUP BY 1, 2
```

The buckets with int_col in the range 0-999.9 exclude the victim’s row. The victim’s row is in one of the buckets in the range 999.9-1999.8 (the one matching the victim’s unknown value).

The attacker then makes a series of queries with very slight increments of the int_col width, for instance 999.901, 999.902, 999.903 etc. Each of these queries results in the same set of protected entities in the buckets. However, the seed material for the sql-layer noise sql_noise changes with each query, leading to different noise values for each query, which in turn allows the attacker to average out the noise. As a result, the attacker establishes a noisy count for the buckets from the lower range as being composed of true_count + aid_noise.

Next, the attacker makes a query as follows:

```
SELECT floor(int_col/1000.01)*1000.01, unknown_col, count(DISTINCT aid)
FROM table GROUP BY 1, 2
```

followed by queries that slightly increment the bucket width (1000.02, 1000.03, etc.). In each of these queries, the victim’s row will be added to the lower-range bucket corresponding to the victim’s value in unknown_col, and likewise removed from the upper-range bucket. This series of queries also averages out the sql_noise. As a result, the true_count changes for only the two buckets that match the victim’s value in unknown_col. Further, if there is one row per protected entity, the aid_noise will also change only for the bucket with the victim’s value.

Evaluation Assuming the attack conditions and prior knowledge exist, this attack certainly works with high probability (TA-Mode). Figure 6 shows how many samples are needed to overcome the noise for a single layer in this attack. In any event, given arbitrary precision in choosing bucket boundaries, an attacker can certainly generate enough queries.
Discussion The probability that a trusted analyst would accidentally run this attack is virtually zero. There is no reason that an analyst would make such small increments to the bucket size, given that nothing is learned from doing so.

The attack leaves a distinctive fingerprint, and so a system that logs queries would act as a deterrent for a trusted analyst that nevertheless wishes to run the attack.

The conditions required for this attack to work in UA-Mode almost certainly cannot exist. Referring to Figure 6, let’s assume that the attacker requires 95% precision, and that base.sd=1.5, which puts the per-layer standard deviation at roughly 1. The attacker therefore needs to make 12 queries on each side. Now suppose that the value prior to that of the victim is 1000. To exclude the victim, the attacker would need to generate queries with bucket sizes of 2000, 5000, 10000, and so on. The 12th such query would have a bucket size of 10M. In other words, there would have to be a gap between the protected entity with value 1000 and the victim of nearly 10M, and the victim’s value must be greater than 10M. If there is a protected entity with a value higher than that of the victim’s, then to form the 12 queries that place the victim in the lower bucket, the next protected entity’s value would need to be greater than 10^{11}. Note that if the victim has the maximum value, then the attack doesn’t work because the upper bucket would be suppressed.

5.15 Salt: Dictionary attack on table

Prior Knowledge: Class X (assumed not possible)
The attacker must have near-complete knowledge of the contents of the table. In addition, the attacker must know the possible values of the remaining unknown values. (Almost by definition attackers cannot have this much prior knowledge. It is the moral equivalent of knowing the first 10 characters of an 11-character password. As such, it falls outside of the A/B/C classification of prior knowledge.)

Additional conditions: Common The number of possible values of the unknown values must be small enough that a brute-force attack on these values is feasible.

Goal To determine the value of the remaining unknown contents of the table by determining the salt and validating that the salt is correct.

Attack In this brute-force dictionary attack, the attacker tries every combination of potential values that the unknown values can take. Each such combination produces a proposed replication of the table. Given each replica, the attacker can duplicate the behavior of Diffix Elm, first by computing a proposed salt, and then replicating noise and suppression.

The attacker tries a number of queries, and compares the duplicate results with the results from the Diffix Elm system. If the proposed salt is incorrect, then even with the minimum noise of SD=1.5 and counting distinct AIDs, the probability that any given noisy count differs between the Diffix Elm system and the attacker’s replica is roughly 0.74. With only a few 10s of buckets that all match, the attacker can determine with very high probability the correct table has been replicated.

Evaluation This brute-force attack on the table is analogous to a brute-force dictionary attack on a password. So long as the number of unknown values and corresponding possible values that they can take is small enough, this attack works.

Discussion A scenario where this attack is possible seems very unlikely. It requires a situation whereby an attacker on one hand has almost complete knowledge of the table, but on the other hand should not have knowledge of the remaining small portion of the table. Further, it only makes sense if the size of the unknown knowledge is less than the size of the salt. Otherwise a brute-force attack on the salt would be easier.

In any event, Diffix Elm should not be used in scenarios where this attack is feasible.

5.16 Salt: Knowledge attack

Prior Knowledge: Class X (assumed not possible)
The attacker knows the salt value and the AID values.

Additional conditions: None Note that if the table has one row per AID, and the Diffix Elm implementation uses the row index as the AID value, then the attacker knows that the AID values are simply the sequential values from 0 to the table size (which the attacker knows approximately from a simple count query).

Goal Reconstruct the table.

Attack Here we provide a sketch of the attack.

The attacker generates a set of queries that produce relatively low counts. This can be done by selecting a large number of columns, or by selecting columns with a large number of distinct values.

By way of example, suppose that the noisy count for one such bucket is 2. Knowing the salt, the attacker can replicate the sql noise layer. Given this, the attacker knows the possible number of distinct AIDs in the bucket
with high probability. They can then try different combinations of AID values, compute the resulting aid noise, and compare with the noisy count. When the attacker’s noisy count does not match the system’s noisy count, then the attacker knows that at least one of the AID values does not match. Given this, the attacker builds a set of constraints and uses a solver to determine which AID values belong to which buckets.

In this way, the attacker learns some of the column values associated with AIDs. Given this knowledge, the attacker can then build larger buckets composed partially of known columns, and again solve for the unknown parts. Eventually the attacker can reconstruct the entire table.

**Evaluation** We do not know if this attack is feasible, because we have not tried it.

**Discussion** In TA-Mode, this attack appears impossible because the attacker would not have access to the set of queries required to build up the reconstruction.

Protecting the salt in Diffix Elm is somewhat analogous to protecting an encryption key or a password. A system deploying Diffix Elm must protect the salt just as encryption keys or passwords must be protected. Note, however, that it is far easier to protect the salt because, unlike a key or a password, it never needs to exist external to the system.

**5.17 Access to multiple (incorrect) instances**

**Prior Knowledge:** None

**Additional conditions:** (should never happen) The data is deployed on multiple instances of Diffix Elm (for instance for scalability). The attacker has access to the multiple instances. Critically, initialization of the salt is incorrectly implemented, such that each instance has a different salt.

**Goal** Remove the noise, and from there launch a linear reconstruction attack.

**Attack** Replicate the same query on each of the instances, and compute the average count to eliminate the noise.

**Evaluation** As long as there are enough instances (see Figure [this attack will work] noting that the condition of incorrect implementation exists).

**Discussion** This attack isn’t possible on a correctly implemented system. We describe it here primarily to document the need for correctly implementing seed initialization.

### 5.18 Incremental data update: difference

**Prior Knowledge:** Class A The attacker must have knowledge that only one protected entity’s data changes in the data update (see Additional conditions below), or must be able to infer this with high probability (based on knowledge of the general rate of change and specific knowledge of the victim).

**Additional conditions:** Common The table is an update table (the salt is changed with modifications to the table). Among the subset of data being queried, the update must pertain to only a single protected entity.

**Goal** Detect that the change has taken place, therefore inferring information about a single protected entity.

**Attack** An example of this attack would be one where a person in a given department has been promoted, and only that person. The attacker knows that the promotion may come with a salary raise, and that no other protected entity in the department has a salary raise at the same time. The attacker makes the following query both before and after the promotion:

```sql
SELECT floor ( salary /10000)*10000 ,
    dept , count ( DISTINCT aid )
FROM table GROUP BY 1
```

The underlying true count for the two queries will change for two buckets, that of the prior salary, and that of the new salary (assuming that the salary change enough to move from one bucket to the other). The salary bucket with the largest increase from before to after the change is that of the victim. The attacker can improve PI at the expense of PR by requiring that the change exceed a threshold.

**Evaluation** The file diffAttackClass.py in subdirectory diffAttack contains code that measures this attack, setting attackType=changeDiffAttack.

Figure [this attack is not effective] shows that the attack is not effective. The attack fails because the salt will have changed after the table update, and so every salary bucket will have different noise from both noise layers.

**Discussion** This attack would be effective if the salt were not changed (i.e. as with append table salt management). In this case, the noisy count for every bucket except those of the victim would remain the same. This
Figure 14: Difference attack where the underlying data has changed. *Unknown Vals* is the number of distinct unknown data values in the unknown column. *SD* is the standard deviation of the total amount of noise.

underscores the importance of managing the salt and data changes appropriately.

5.19 Incremental data update: averaging

**Prior Knowledge:** Class A  
The attacker must have knowledge that only one protected entity’s data changes during the set of data updates (see Additional conditions below).

**Additional conditions:** Very rare  
The table must be updated multiple times (with a change of salt each time). For a given subset of the data, the data for only one protected entity changes once over the course of the multiple table updates. In addition, there are multiple updates both before and after the change.

**Goal**  
The goal is to reduce or eliminate the noise from counts both before and after the change through averaging, and in this way learn the change for a specific protected entity.

**Attack**  
This attack is the same as the incremental data update attack of Section 5.18 except that here the attacker gets multiple samples and averages them.

**Evaluation**  
The file `diffAttackClass.py` in subdirectory `diffAttack` contains code that measures this attack, setting `attackType=changeAvgAttack`.

Figure 15 shows that the attack is not effective even with up to 50 table changes before and after the modified data.

Figure 15: Difference attack where the underlying data has changed multiple times. This data is for $SD=2.25$ and 5 distinct unknown column values. PI values above 1.0 represent cases where there are zero predictions or too few predictions to produce a statistically meaningful PI value.

**Discussion**  
Figure 15 shows that more samples does lead to better PI (see data points for PR=1.0). Since the effective standard deviation grows with the square root of the number of samples, however, it takes a large number of samples to get meaningful increases in PI. This means that, while the administrator should take care not to update the dataset too frequently, the system can tolerate a substantial number of updates with few changes to a given subset of the dataset.

5.20 Detect outlier bucket

**Prior Knowledge:** Class C  
The attacker knows of one or more of a small number of protected entities that have substantially more rows than all other protected entities. These protected entities are here called *outliers*.

**Additional conditions:** Very rare  
The number of outliers must be more than the minimum outlier range so that at least one outlier is sometimes assigned to the top group. The number of outliers must also be somewhat less than the sum of the max outlier range and max top range. This is so that the amount of noise is not dominated by the outliers themselves.

The unknown column that is being inferred in the attack must be one whereby all rows of a given protected entity are assigned the same value, and therefore the victim appears only in a single bucket.

**Goal**  
The goal is to infer an unknown value of a single protected entity outlier by detecting when a given bucket has a substantially higher count than expected. This higher count is due to the fact that one or two of
the few outliers is in the top\_group, and therefore isn’t flattened, thus pushing up the bucket’s count.

**Attack** The attack comes in two phases. In the first phase, the attacker determines the following:

1. The total number of protected entities (noisy count)
2. The total number of rows (noisy count)
3. The total number of protected entities per bucket

From this, the attacker computes the average number of rows per protected entity, and a baseline expected number of rows per bucket by multiplying the number of protected entities by the average number of rows per protected entity.

In phase two, the attacker queries for the actual (noisy) number of rows per bucket, and assumes that the victim is in the bucket where the actual number of rows exceeds the expected number of rows in the most.

**Evaluation (for the normal case):** The file beta\_Attack\_Class.py in subdirectory outlier\_Attack contains code that measures this attack.

To evaluate the effectiveness of this attack, we first consider a “normal” case where the distribution of individual contributions is quite skewed towards a few extreme contributors (using a Beta distribution), but otherwise randomly assigned to buckets.

Specifically, we generate 1000 protected entities. We assign the protected entities evenly to a varying number of buckets (2, 5, and 20). We assign a number of rows to each protected entity according to a Beta distribution, variably using alpha:beta of 2:4, 2:16, and 2:32. Examples of these three distributions are shown in Figure 16. As beta increases, these distributions generate increasingly extreme outliers.

We assign the protected entity with the most rows to be the victim. We assume that the bucket with the most rows contains the victim. We also vary the value of a threshold, requiring that the bucket with the most rows must exceed the average bucket size multiplied by the threshold. This increases PI at the expense of lower PR.

The code for this attack is in the outlier\_Bucket subdirectory, file beta\_Attack\_Class.py.

The results are shown in Figure 17. This shows that, for the distributions in the attack, the flattening and proportional noise mechanism of Diffix is very effective, even for skewed distributions that generate extreme contributors.

**Evaluation (for the worst case, very rare):** The file attack\_py in subdirectory outlier\_Attack contains code that measures this attack.

The above evaluated skewed distributions, but did not evaluate worst-case distribution. Here we evaluate row counts that represent the worst case for the Diffix flattening and proportional noise mechanism. Specifically, we generate row counts that perfectly match the conditions required for the attack to work. In practice, we expect this scenario to be extremely rare.

The worst-case distribution used in our test is a combination of two distributions. One distribution generates a set of protected entities called normal\_contributors. The number of rows for each normal contributor is uniformly distributed between 1 row and 10 rows. The second distribution generates a set of protected entities called extreme\_contributors. The number of rows for each extreme contributor in Figures 18 and 19 comes from a uniform distribution between roughly 35 and 40 rows.

We vary the number of extreme contributors relative to how many extreme contributors are in the noise/flat-tening groups outlier\_group and top\_group as:

- **min:** The number of extreme contributors equal to minimum outlier\_range, leading to extreme contributors only in outlier\_group.
- **max:** The number of extreme contributors equal to maximum outlier\_range, leading to one or two extreme contributors often in the top\_group.
- **max+1:** The number of extreme contributors equal to maximum outlier\_range plus one, leading to at least one extreme contributor in the top\_group.
- **max+max:** The number of extreme contributors equal to maximum outlier\_range plus maximum top\_range, leading to both the outlier\_group and top\_group being filled with extreme contributors.

The results is shown in Figure 18 with Figure 19. As beta increases, these distributions generate increasingly extreme outliers. The zooming in on the green risk area. At PR=1, the attack is ineffective for all data distributions. The attack is also ineffective for the min setting, where all of the extreme contributors are in the outlier\_group, and are all flattened to match the average contribution of the normal contributors in the top\_group.

For the max+max setting, where the extreme contributors make up both the top\_group and outlier\_group, there is no flattening. In this case, the attack is effective when all or most extreme contributors have the same unknown value, including the victim, and the noise value is large enough to exceed the attack threshold. When there are only two unknown values, this happens roughly once every 200 attacks. It happens less often with more distinct unknown values.

The max and max+1 settings are the worst case. In these cases, there is typically one or two extreme contributors in the top\_group that are on one hand not flattened, but on the other don’t contribute enough to the noise amount to become hidden. From the zoom-in of Figure 19, we
Figure 16: Examples of the Beta distributions used in the outlier detection attack. The Y axis represents the number of rows for the corresponding AID.

Figure 17: Results of an attack trying to detect the value of the extreme contributor. Unknown Vals is the number of distinct values in the unknown column. Alpha-Beta are the parameters of the beta distribution of individual contributions (see Figure 16). PI values above 1.0 represent cases where there are zero predictions or too few predictions to produce a statistically meaningful PI value.

Figure 18: Theoretical worst-case results of an attack trying to detect the value of the extreme contributor. The dataset conditions with Settings max and max+1 are pessimal for the attack, and presumed to be extremely rare. Data points are for SD values between 1.5 and 3.0, and for a mean extreme contribution of roughly 37 rows.

Discussion
For almost any real dataset, the proportional noise and flattening mechanism is very effective. Nevertheless, we demonstrate that for worst-case scenarios, high PI can be obtained along with relatively high PR.

We argue that these worst-case scenarios are extremely rare and therefore should not be a concern in the general case. There are several reasons:

1. The data conditions themselves are rare (bimodal distribution with just the right number of extreme contributors),
2. The attacker knows that these data conditions exist,
3. The attacker is interested in learning from unknown columns with a very small number of distinct values.
Figure 19: This is a zoom-in of the green risk area of Figure 18.

Figure 20: Theoretical worst-case results of an attack trying to detect the value of the extreme contributor, where $\text{PI} > 0.95$. The extreme contributors distribution is uniform between plus and minus 10% of the average. The normal contributors distribution is uniform between 1 and 10. Data points are for SD values between 1.5 and 3.0, and all four Setting types.

Nevertheless, if this case is a concern, then the underlying data can be measured to determine if the data conditions exist. If they do, then the extreme contributors may be completely removed from the data prior to anonymization. Figures 19 and 20 suggest that data with a bimodal distribution of row counts, where the gap between the upper and lower modes is roughly 2x or more, and where the number of extreme contributors is around the maximum outlier range value plus one or two, may require removal of the extreme contributors or adjustment of the outlier_range/top_range parameters.

5.20.1 Outlier based on distinct values

In a variation of this attack, the attacker knows that a small number of protected entities have an unusually large effect on the number of distinct values in a given column. This would most normally occur if a column consisted primarily of unique values, and a small number of protected entities simply have substantially more rows than other protected entities.

When this is the case, then the algorithm for counting distinct values (Section 3.6) detects the contributions of outlier protected entities, and uses flattening and proportional noise to hide them.

When the column values associated with $\text{count(DISTINCT column)}$ are all unique, then the sorted list traversals in DQH step 3.3 (Section 3.6.3) cause all of the unique column values associated with a given protected entity to be assigned to that protected entity as its contribution. In this case, the contribution of each protected entity is identical to the number of rows, and so the results of Figures 17 and 18 apply directly.

At the other extreme, when each column value has a large number of protected entities associated with it (enough to prevent suppression), then the count of distinct values is exact, and there is no observable effect to do large contributors.

When each column value is shared by a small number of protected entities, only one of the protected entities is assigned a contribution for the value. The total magnitude of contributions is less, but protected entities with more rows will still have higher contributions because they persist longer in the sorted list traversals in DQH step 3.3. Flattening hides these higher contributions.

The setup for this attack is similar to that of the Beta distribution attack above (Section 5.20). There are 1000 protected entities, randomly assigned to a varying number of buckets (2, 5, and 20), and with a random number of rows taken from a Beta distribution (2:4, 2:16, and 2:32). In addition, values are assigned such that each value is represented by from 2 to 4 AIDVs. The attacker then tries to determine which bucket the most extreme outlier is in by selecting the bucket with the highest num-
Figure 21: Results of an attack trying to detect the value of the extreme contributor to \( \text{count} \text{(distinct col)} \). Unknown Vals is the number of distinct values in the unknown column. Alpha-Beta are the parameters of the beta distribution of individual contributions (see Figure 16).

Figure 21 shows the results. We see that the attack is not at all effective: the extreme outlier is hidden through flattening.

5.21 Attack Summary

Table 8 summarizes the attacks according to the three main risk criteria, PI and PR measures, required prior knowledge, and necessary conditions.

Green shading denotes very strong protection, either because the PI or PR measures are very good, the required prior knowledge is very unlikely to exist, or the necessary conditions are very rare in practice. Yellow shading denotes strong protection.

**PI/PR column:** The PI/PR column summarizes the strength of anonymization against the given attack as measured by PI and PR. The codes are:

- **X** The attack simply doesn’t work: nothing to measure.
- **X(T)** The attack would not accidentally take place with normal trusted analyst behavior.
- **VS** Very Strong: PI < 0.5 or PR < 1/100000.
- **S** Strong: PI < 0.5 or PR < 1/1000.
- **W** Weak: PI < 0.5 or PR < 1/10.
- **W-VS** Protection ranges from Weak to Very Strong depending on the privacy settings.

**PK Class column:** The PK Class column summarizes the class of prior knowledge needed by the attacker for the given attack. The codes are:

- **X** The attacker cannot have the necessary prior knowledge (for instance because protected by administrator)
- **C** Class C (prior knowledge of multiple protected entities and uniqueness in data).
- **B** Class B (prior knowledge of multiple protected entities).
- **A** Class A (prior knowledge of a single protected entity).
- **blank** - No prior knowledge is required.

**Conditions column:** The Conditions column summarizes the likelihood of the conditions necessary for the attack.

- **X** The conditions can be detected and eliminated, or can only occur through deployment errors.
- **VR** Very Rare: The conditions are so rare as to never occur for all practical purposes.
- **R** Rare: The conditions sometimes occur for a small fraction of protected entities.
- **Com** Common: The conditions commonly occur.
- **blank** - There are no special conditions (i.e. all datasets can be attacked).

Table 9 summarizes the attacks that are affected by each anonymization configuration parameter.

While it is of course up to the DPA or DPO to determine the thresholds and criteria for anonymity and the associated configuration parameters, we regard the settings reflected in the Table 8 as quite conservative.

Table 9 in particular, is that the protection afforded by Diffix Elm is very strong and can certainly be regarded as anonymous.

Of the PI/PR scores, only one attack does not achieve a Very Strong (VS) score, namely the Detect outlier bucket 5.20 attack. In this case, the data conditions can be detected and prevented in advance, thus leading to a Very Strong PI/PR score.

In TA-mode, two attacks can have a PI/PR score below Very Strong depending on the anonymization parameters (the two Simple knowledge-based attacks 5.6 and 5.7). In both cases, the prior knowledge is Class C, and so a lower PI/PR score may be perfectly reasonable, especially in a non-public data sharing scenario.

All other attacks have a Very Strong PI/PR score (and in some cases also Class B or Class C prior knowledge).

6 DPA, DPO, and data controller guidance

This section provides guidance to DPAs and DPOs and data controllers or data processors for evaluating the privacy risk associated with any given deployment of Diffix Elm. In this section, we refer to all of these four entities as simply the DPx.

Tables 6 and 8 taken together list all of the known attacks on various versions of Diffix compiled over the last
Table 8: Attack Summary: The PI/PR column indicates strength of protection from PI and PR measures. The PK Class columns indicates the class of prior knowledge needed for the attack. The Condition column indicates the likelihood that the required conditions exist in the data. Green shading denotes very strong protection, while yellow shading denotes strong protection. See Section 5.21 for descriptions of the codes.
Table 9: Table summarizing which attacks are affected by which anonymization parameters. Attacks in parenthesis are affected less.

| Parameter     | Associated attacks                                               |
|---------------|------------------------------------------------------------------|
| Suppression:  |                                                                 |
| low,thresh    | 5.4 Attribute value inspection                                   |
|               | (5.10 Linear program reconstruction: randomness in column)       |
| low_mean_gap  | 5.7 Simple knowledge-based: Suppression                          |
| supp_sd       | (5.10)                                                           |
| Noise:        |                                                                 |
| base_sd       | 5.6 Simple knowledge-based: Noise                                 |
|               | (5.9 Averaging: different semantics, same result)                |
|               | (5.10 Linear program reconstruction: randomness in column)       |
| Flattening:   |                                                                 |
| outlier_range | 5.20 Detect outlier bucket                                       |
| top_range     | 5.20.1 Detect outlier bucket                                     |

Table 6 lists the attacks from prior versions of Diffix that can’t be executed on Diffix Elm simply because the query syntax does not exist. Table 8 is a summary of the attacks from Section 5. Table 9 lists which anonymization parameters affect which attacks.

This section focuses specifically on issues related to the correct configuration of Diffix Elm, and on the preparation of data prior to use with Diffix Elm. The broader issue of how to do a risk evaluation in light of how to set the PR/PI thresholds relative to risks of prior knowledge and data conditions is out of scope.

6.1 Protected entities

The DPx must ensure that the privacy of individuals (natural persons) in the original dataset is protected. To do this, it must be clear how the individual is identified in the dataset.

Strictly speaking, Diffix Elm protects the privacy of protected entities. A protected entity may literally be an individual, for instance as defined by a social security number. A protected entity may also be something that is closely associated with an individual, like a mobile phone, a car, or a credit card. In these cases, the correlation between protected entity and individual may not be perfect: more than one individual may use a given phone or drive a given car.

Furthermore, the protected entity may refer to a small group of strongly related individuals, for instance two individuals sharing a bank account, or the members of a household.

Datasets may have one row per protected entity, or multiple rows per protected entity. Survey data, demographic data, and census data typically are one-row datasets (see Table 10 for example). Time-series data is multi-row (see Table 11 for example).

Datasets may have multiple protected entities. There are primarily three scenarios where this can occur:

1. There is a relationship or interaction between two individuals, for instance send and receive email, sender and receiver in a bank transaction, doctor and patient, or friends on a social network.
2. There are strongly related groups of individuals, for instance a household or a joint bank account, where the group is deemed to have privacy concerns similar to the individual.
3. The data owner wants to protect some other kind of information (perhaps to maintain business secrets), such as a branch office or store.

6.2 Relationship between individual and protected entity

Ideally, a given individual (natural person) is associated with one and only one protected entity (as identified by the AID column). This association can be one-to-one (each AID value is associated with one individual), or many-to-one (each AID value is associated with multiple individuals). An example of one-to-one is a national identity number like a social security number as the AID. An example of many-to-one would be the address of a single dwelling is the AID (where the residents of the address are the individuals).

Real datasets may deviate from this ideal to a greater or lesser extent. For instance, if the AID is a mobile phone identifier, and a person uses multiple mobile phones (at a single time or over time), then that person appears in the dataset as different persons. This is an example of a one-to-many relationship between individual and protected entity. If an attacker can link the AIDs related to the person, then the anonymity of that person is weakened.

For example, suppose that the addresses of mobile phone owners is in the dataset, and the individual with multiple phones has the same address each time. Then an attack could select that address in the query and learn information about a single individual.

One way to remedy this is to assign two AIDs, one for
Table 10: This is an example of a one-row dataset, where each protected entity occupies exactly one row of the dataset. One-row datasets do not require an AID column (Diffix Elm automatically inserts an AID column). Typical examples of one-row datasets are survey data, census data, and demographic data.

| Gender | Zip Code | Age | Education  | Job       | ... |
|--------|----------|-----|------------|-----------|-----|
| M      | 12345    | 46  | High School| Plumber   |     |
| O      | 54321    | 23  | Bachelor   | None      |     |
| F      | 48572    | 32  | PhD        | Professor |     |

Table 11: This is an example of a multi-row dataset, where each protected entity may occupy more than one row in the dataset. Multi-row datasets must have at least one column that identifies the protected entity (here the IMEI column). Time-series data is multi-row.

| IMEI | Time        | Latitude  | Longitude |
|------|-------------|-----------|-----------|
| 123  | 2021-10-01 21:34:19 | 43.27366  | 81.36623  |
| 123  | 2021-10-01 21:36:21 | 43.43884  | 81.39229  |
| 123  | 2021-10-01 22:02:51 | 43.81922  | 81.40221  |
| ...  | ...         | ...       | ...       |
| 456  | 2021-02-13 17:34:19 | -17.27366 | 67.36623  |
| 456  | 2021-02-13 17:36:21 | -17.43884 | 67.39229  |
| 456  | 2021-02-13 17:02:51 | -17.67883 | 81.40221  |
| ...  | ...         | ...       | ...       |

the mobile phone identifier, and one for the address. Another way to remedy this would be to remove the address information from the dataset (though this might unnecessarily degrade data quality).

Note finally that an individual may be associated with multiple protected entities simply because the data is dirty. For instance, the user id of an individual may have been typed incorrectly, thus leading to two entries for the same individual.

It is therefore important that the DPx understands to what extent individuals may appear as multiple protected entities, and ensure either that there are no columns in the dataset that can link the protected entities, or that multiple AIDs have been assigned to protect against the linking.

6.3 Small groups of strongly related individuals

Often it can happen that small groups of individuals are strongly correlated in a dataset. This can easily happen for instance with family units or married couples.

As an example, suppose a hospital dataset has a column for insurance number, but that the insurance number is shared by the whole family. If the protected entity is individual persons, and the insurance number remains in the dataset, then information about the entire family can be viewed. For instance, the following query would give the family’s total health care expenditure so long as the suppression threshold for the associated bucket is lower than the number of family members:

```
SELECT insurance_num, sum(paid)
FROM hospital_dataset
GROUP BY insurance_num
```

There are several remedies to this problem.

First, the offending column (here insurance num) can be removed.

Second, the group itself (i.e. insurance num) can be defined as a second protected entity.

A third approach is to set the suppression threshold low to be larger than the maximum number of individuals that share an insurance number (while keeping only the individual as the protected entity).

6.4 Trust Mode

Diffix Elm has two modes, Trusted Analyst mode (TA-mode), and Untrusted Analyst mode (UA-mode). TA-mode has more generalization capabilities (any numeric bucket size instead of snapped, and any substring offset instead of only first-character offset).

If Diffix Elm is operated in UA-mode, then the attacks LPR: randomness in column (5.10) and Range creep with averaging (5.14) are ineffective.

In TA-mode, the attacks would be effective if an analyst executed them. There is no reason that a trusted analyst would accidentally run these attacks. In addition, Diffix for Desktop gives the analyst access to the original data, and so if an analyst were malicious, then they
could simply exploit the original data directly rather than run an attack.

The DPx must verify that safeguards are in place to ensure that the set of queries necessary to exploit the above-mentioned attacks are not released to untrusted individuals or to the public. Simply ensuring that the analysts are trusted may be adequate protection, since the queries would not be accidentally released in a normal analytic task.

Additionally, trusted analysts could be informed about the possibility of the above attacks. Finally, the DPx may require that multiple parties approve any data release to ensure that the queries necessary for the attacks are not released.

6.5 Worst-case extreme contributors

The attack Detect outlier bucket (5.20) has a possible worst-case PI/PR measure that falls well within the designated risk area. Although the prior knowledge requirement is Class C for this attack, the DPx should either:

- Verify that the data conditions do not exist, and if they do:
- Verify that the prior knowledge is not viable, or remove extreme contributors until the data conditions no longer exist.

6.6 Optionally inspect unique inferences

Diffix Elm does not explicitly prevent output buckets that allow unique inferences (see 5.5). A unique inference occurs when, in an output bucket with N columns, the values for N – k of the columns are unique to this bucket. In this case, the values for the remaining k columns may be inferred. While PI is always zero for unique inference buckets, in cases where the number of AIDVs in a unique inference buckets substantially exceeds the suppression threshold, the absolute precision of an inference is high.

The PDx may require that such high-precision unique inferences are inspected to ensure that the inferences are not surprising or sensitive (see 5.5).

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A **PDx questionnaire**

1. What is the protected entity?

2. Do individuals correspond one-to-many or many-to-many with the protected entity (6.2)?

3. If yes, do any columns link an individual across multiple protected entities?

   If yes, then either the linking columns must be removed, or the suppression threshold $\text{low\_thresh}$ must be set to the maximum number of protected entities to which a given individual is linked.

4. Can closely-related groups of individuals (like married couples or families) be linked by some column or columns in the dataset (6.3)?

   If yes, then either the group must be the protected entity, or the ability to link the group must be removed (i.e. by removing the columns), or the suppression threshold $\text{low\_thresh}$ must be set to a value higher than the largest group.

5. Does the data set have one row per protected entity or multiple rows per protected entity?

   If one row, then no AID column is explicitly selected, and we may regard the row index number as an implicit AID column.

6. If multiple rows, does the selected AID column correctly identify the protected entity or entities?

7. If TA-mode (Trusted Analyst mode) is deployed, are proper procedures in place to ensure that queries conforming to the attack conditions listed in Section 6.4 are prevented?

8. Do the data conditions exist for the worst-case Detect outlier bucket attack (6.5)?

9. If so, has it been determined that the prior knowledge requirements are not viable (6.5)?

10. Is it necessary to inspect output buckets for privacy-leaking unique inferences (6.6)?