
**Information technology — Security
techniques — Requirements for partially
anonymous, partially unlinkable
authentication**

*Technologies de l'information — Techniques de sécurité — Exigences
pour l'authentification partiellement anonyme, partiellement non fiable*

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of the joint technical committee is to prepare International Standards. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

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Introduction

The current state of the art for entity authentication requires the revelation of the identifiable information of an entity being authenticated. In many types of transactions, the entity would prefer to remain anonymous and unlinkable, which means that when two transactions are performed, it is difficult to distinguish whether the transactions are performed by the same user or two different users. However, in some circumstances there are legitimate reasons to enable subsequent reidentification (e.g., the interest of accountability). The term 'partially anonymous, partially unlinkable' means that an a priori designated opener, and that designated opener only, can identify the authenticated entity. For example, a library may need to identify an entity that has not returned a borrowed book in order to send a late notice to the entity. Current cryptographic technologies are available to provide partially anonymous, partially unlinkable authentication. This International Standard defines a framework and requirements for partially anonymous, partially unlinkable authentication.

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1 Scope

This International Standard provides a framework and establishes requirements for partially anonymous, partially unlinkable authentication.

2 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

2.1

authentication

provision of assurance in the claimed identity of an entity

[SOURCE: ISO/IEC 18014-2]

2.2

claimant

entity which is or represents a principal for the purposes of authentication

[SOURCE: ISO/IEC 9798-1:2010]

2.3

credential

representation of an identity

[SOURCE: ISO/IEC 24760-1]

2.4

designated opener

entity who can re-identify the claimant from the transcript of authentication

NOTE The selection of the designated opener should be made in advance of transactions. The entity or entities that make that selection may vary with the implementation. As the designated opener has the capability of identifying the claimant, the selection of the designated opener and the selection of the transcript of authentication to be provided to the designated opener need to be carefully performed.

2.5

identity

set of attributes related to an entity

[SOURCE: ISO/IEC 24760-1]

2.6

re-identification

identification of a claimant following a partially anonymous, partially unlinkable authentication

NOTE Re-identification is also called opening.

2.6

transcript of authentication

record of sequences of exchanged data from a process of authentication

3 General

Many cryptographic mechanisms are available and in use today to improve the security of the authentication process. This leads to greater trust when, following a successful authentication, an entity is given appropriate access to protected resources using some authorization process. Note that the details of authorization are out of scope for this standard and thus marked in parentheses. A typical authentication and authorization model includes the following steps (with each step usually including a number of sub-steps, many of which are covered in ISO/IEC 29115):

- a) Enrollment
- b) Authentication
- c) (Authorization)

Most cryptographic mechanisms in use today require the revelation of the identifiable information and enable tracking of an entity across transactions. For example, the use of public keys could hide an entity's real name. However, if the same public key or pseudonym is used for multiple authentications, it can be used to link information about the entity across transactions and so build a profile.

But complete anonymity and unlinkability may not always be desirable. For example, an entity could use anonymity to escape punishment for exploiting a system. So, while anonymity and unlinkability may be appropriate in some situations, there are cases where it may be necessary to give certain parties the ability to re-identify an entity.

To achieve the goal of partially anonymous, partially unlinkable authentication, the process steps now look like:

- a) Registration/enrollment, including setup to achieve anonymity
- b) Authentication
- c) (Authorization)
- d) Re-identification (when appropriate)

4 Framework

For the sake of understanding an overview of the framework, a typical scenario is exemplified, where a claimant begins by enrolling with a service. The service includes an issuer that generates credentials and issues them to the claimants. The claimants then use the credentials for authentication. If the authentication is successful, a transcript of authentication is created. Although it may contain other things, this transcript shall include information necessary to enable re-identification by the designated opener. If re-identification is required, the transcript of authentication is given to the designated opener who, a priori to any transactions, must be established and provided with the necessary cryptographic components required for re-identification. Each system will have its own set of practices and principles for determining when re-identification is appropriate or necessary. Those details are not within the scope of this standard. Principles such as openness, transparency and notice are explained in ISO/IEC 29100.

Every application will have its own requirements so any particular implementation may have variations from the flow described above. For example, the cryptographic-based credentials could be generated by the claimant, rather than the issuer; or credentials may be issued electronically or in person. But such variations do not change the fundamental aspects of the framework.

This framework defines a set of roles and operations, which are shown in Figure 1.

The four roles are:

- a) Issuer – the entity who issues credentials to claimants
- b) Claimant – the entity who will be authenticated by a verifier
- c) Verifier – an entity that checks whether the claimant possesses credentials that are valid
- d) Designated opener – the entity that can re-identify the claimant

Among the above four roles, there are four basic operations in this framework.

- 1) A process between an issuer and a claimant to perform a credential issuing process. After this process a claimant has a credential.
- 2) A process for the designated opener to setup the cryptographic information necessary for re-identification.
- 3) A process between a claimant and a verifier to perform authentication, which produces a transcript of authentication. Authentication is successful if the verifier can determine that the claimant possesses a valid credential.
- 4) A process by a designated opener to identify the claimant from the transcript of authentication, called re-identification. In this process, a designated opener uses the transcript of authentication and may use other information, where appropriate, to enable re-identification

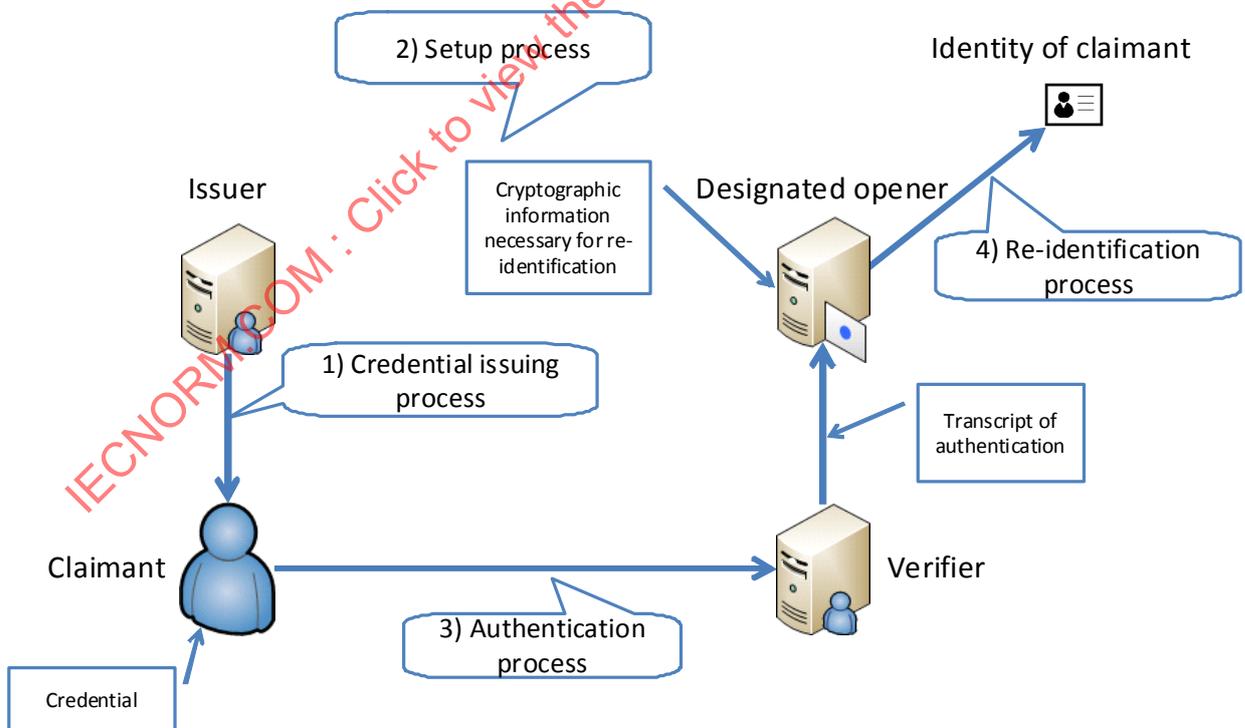


Figure 1 — Framework of partially anonymous, partially unlinkable authentication

5 Requirements

Partially anonymous, partially unlinkable authentication shall satisfy all requirements described below.

- a) A claimant shall be authenticated by a verifier without being identifiable by the verifier.

For a claimant to remain anonymous to a verifier, the transaction shall not provide any information to identify the claimant, while allowing the verifier to corroborate that the claimant possesses a valid credential.

- b) The transcript of authentication shall not by itself provide information that can link multiple authentication transactions by the same claimant.

For a claimant to remain unlinkable to verifiers, the transaction shall not provide any information to link multiple transactions performed by the same claimant.

- c) The transcript of an authentication shall contain information necessary for the designated opener to re-identify the claimant.

For the designated opener to be capable of later re-identifying the claimant, the transcript resulting from a successful transaction shall provide information to identify the claimant. Note, the designated opener may use other information, where appropriate, to enable re-identification.

- d) The designated opener shall be able to provide evidence that the claimed identity is correct.

In order to avoid fraudulent claim(s) by the designated opener, the designated opener shall be able to provide evidence that the procedure for re-identification was properly performed.

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Annex A (informative)

Use cases

A.1 Library use case

In some countries, the list of books that an individual has borrowed from a library is considered to be sensitive because the list can reveal the individual's thoughts, conscience, or religion. Due to this sensitivity, borrowers may not want their name linked to the list of books they have borrowed. At the same time, the library may need to associate the title of a borrowed book with the name of the borrower (e.g., if the book is not returned by the due date). Partially anonymous, partially unlinkable authentication can be applied to this scenario.

The registration desk librarian (issuer) at the library will provide a membership card and rules for re-identification to an individual (claimant) who would like to borrow books. When the individual wants to borrow a book, he/she will present the membership card to the librarian (verifier) who will check that the individual is a member of the library and will perform the book checkout procedure. A transaction record is created and stored in a database so the library can manage and track books on loan. All individuals remain anonymous in this database, and checkout transactions cannot be linked together.

If the individual keeps a book for longer than the allowed borrowing period, the database will notify the head librarian (designated opener) who can determine the name of the borrower for the overdue book and use it to send the individual an appropriate notice.

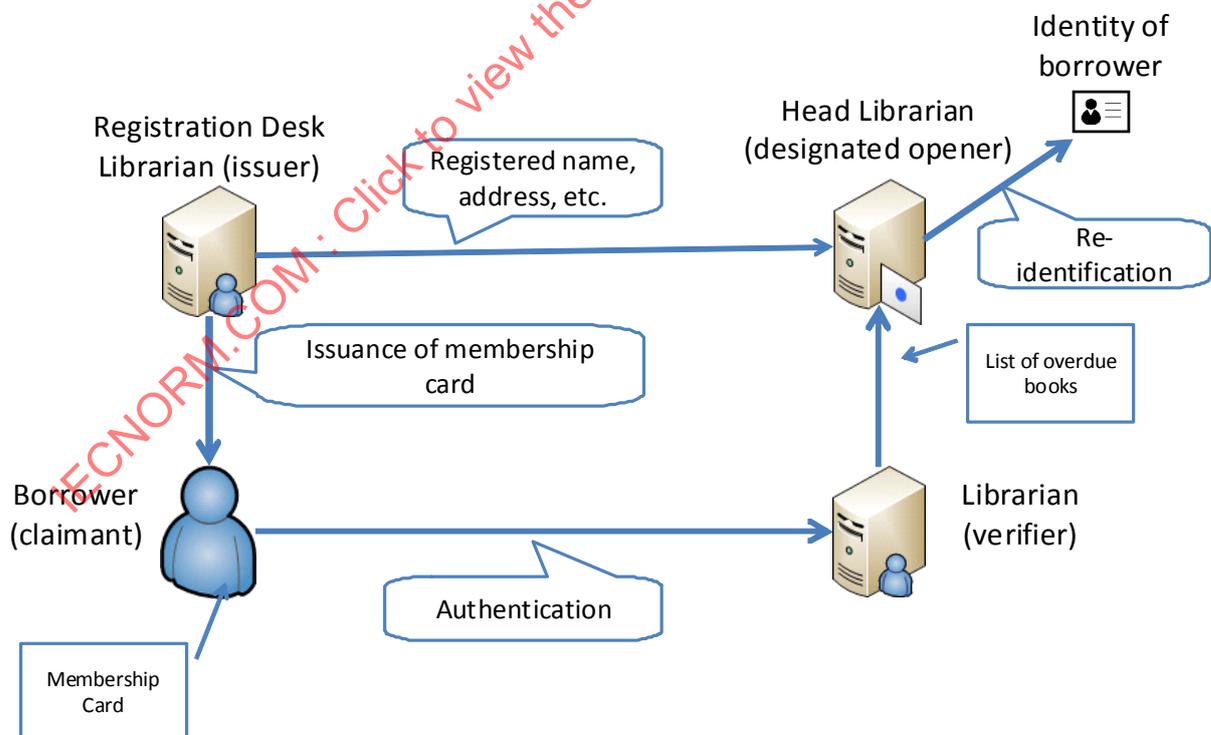


Figure A.1 — Library use case

A.2 Intelligent Traffic System use case

Precise measurements, real-time analysis, and predictions of traffic densities and flows on intercity highways are important contributors to improve traffic flow, safety, and sustainability. A precise trace of the cars on the highway is of great importance. On the other hand, being able to track the real-time location of each car in a continuous manner has potential privacy implications. Partially anonymous, partially unlinkable authentication can be used in this scenario to support the needs of the intelligent traffic management system while preserving the privacy of the drivers.

The frequent users of a route are issued a tag that can be read in a contactless manner. At the entrance of the intercity highway, the tag authenticates itself using partially anonymous, partially unlinkable authentication and receives a temporary identifier that is used until the car exits the highway.

By logging this temporary identifier, an intelligent traffic control center can create a list of each car, the time of entry onto the highway, and time of exit, without knowing a permanent identifier of any car. The list can be used to perform real-time analysis of the traffic flow or used to control the flow by denying the access of the cars in the congested section of the highway. It can also be used in capacity planning based on actual usage patterns.

When a car with a temporary identifier passes through a tolling station, the toll billing system is authorized to use the identification service, which can convert the temporary identifier to a billing account for the vehicle. The other conditions in which authorities may demand re-identification should be made known to the user in advance.

This use case demonstrates how a system using partially anonymous, partially unlinkable authentication can be used with multiple purposes.

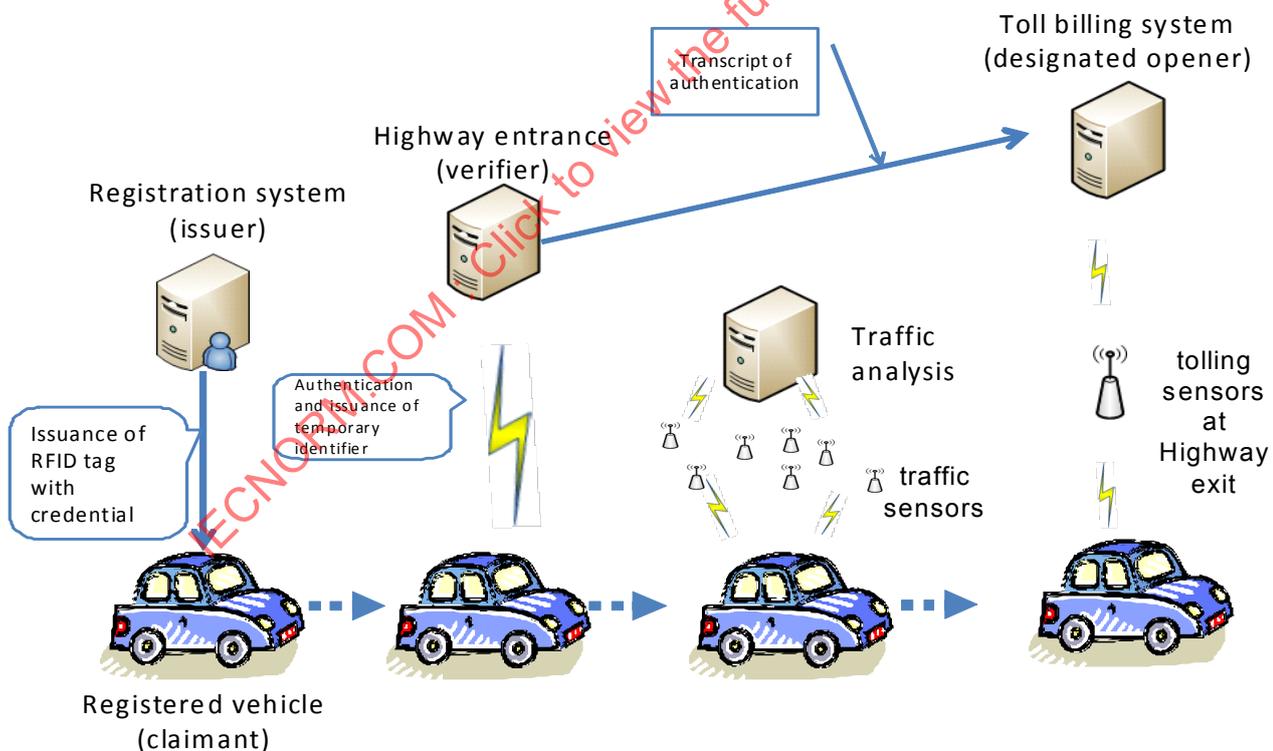


Figure A.2 — ITS Use case