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**Data Recipient Report for the  
Janssen Clinical Trial Data Set  
54767414MMY2040**

“A Study to Evaluate Subcutaneous Daratumumab in Combination with Standard Multiple Myeloma Treatment Regimens”

<b>Product Name</b>	Darzalex
<b>Active Substance</b>	Daratumumab
<b>Dataset Type</b>	SDTM
<b>Study Code</b>	54767414MMY2040
<b>NCT Number</b>	NCT03412565
<b>Reporting Effort</b>	Primary
<b>Version</b>	1.0
<b>Date</b>	December 13, 2023

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# 1 Introduction

The purpose of this project was to perform anonymization of the Janssen 54767414MMY2040 clinical trial data set.

The anonymization of this data set was performed to allow the data to be shared with external research teams. Access to clinical trial data provides opportunities to conduct further research that can help advance medical science and improve patient care. This helps ensure the data provided by study participants are used to maximum effect in the creation of knowledge and improving patient care. The data release is subject to certain criteria being met, including a requirement to effectively anonymize the data.

Statistical anonymization was used to preserve the utility required by recipients, while accounting for the context of the data sharing scenario [2]. Unlike a rules-based framework that removes dates (except years) and aggregates all ages over 89 as 90 or older, such as HIPAA Safe Harbor, this approach is adaptive to population distributions, sample size, and the desired utility of the anonymized data.

The data sharing environment and contracts in place with the data recipient are assumed to be at a level which would result in a Privacy and Security Context Assessment score of High and a Recipient Trust Context Assessment score of Medium.

This report describes the anonymization approach used for the study 54767414MMY2040, based on the re-identification risk determination that was performed on the data.

## 1.1 Data Set Model

The data set described in this report for study 54767414MMY2040 was received in the Study Data Tabulation Model (SDTM) standard. For more information on this standard see <https://www.cdisc.org/standards/foundational/sdtm>

## 1.2 Definitions

Definitions of key terms (such as the different types of identifiers) and acronyms are provided in Section A *Definitions*. Additional terms and definitions are provided elsewhere [1].

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## 2 Anonymization Process

### 2.1 Use of Software

The analysis described in this report was performed using a re-identification risk measurement software application.

### 2.2 Supporting Documentation

The following documents were provided to assist with the analysis:

- 54767414MMY2040 Transformation Summary

### 2.3 Output Format of Anonymized Datasets

All dataset anonymization was performed within the SAS (Statistical Analysis System) native data file format (extension “.sas7bdat”). Datasets received in SAS version 5 (V5) or version 8 (V8) transport file format (extension “.xpt”) must first be converted to .sas7bdat for processing. Following de-identification, all datasets are converted from .sas7bdat to .xpt for delivery. For datasets originally received in .xpt format, this conversion should not pose a problem. However, for datasets received in non-xpt format, inherent limitations in the .xpt format may require modifications.

Based on the definition of the format, conversion of a dataset to XPT transport file format may require modification of the following in the anonymized datasets:

1. Shortening the dataset names,
2. Shortening variable names in the datasets,
3. Shortening dataset or variable labels,
4. Splitting long character values into new variables.

### 2.4 Transformations

In order to bring the risk of re-identification below the determined threshold, some transformations were required on the dataset. The transformations are described based on the indirect identifiers used in the risk measurement. In all cases, modifications to these indirect identifiers are applied to all other linked fields, e.g. where country is suppressed, fields containing brand- or region-specific drug names will also be suppressed as they are linked to geography.

The anonymization strategy required the following modifications to the original datasets:

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Identifier	Transformation
Subject IDs (USUBJID)	Masked
Site IDs (SITEID)	Suppressed
Free-text	Suppressed
Patient dates	PHUSE shifted
Date of birth	Suppressed
Age	Generalized to 5-year intervals
Race	Suppressed

## 2.5 Implemented Transformation Types

The following data transformations have been applied in this dataset:

**Masking** Masking of the unique subject ID was performed using Format-Preserving Encryption (FPE). This type of encryption creates an encrypted value that has the same length as the original ID.

**Generalization** Reduce the precision of a field.

For this specific project, the age of subjects was generalized to 5-year intervals. Table 1 summarizes the mapping of age to generalized age for age greater or equal to 0 years.

Age (Years)	Generalized Age Value (Years) (AGE)
$0 \leq \text{Age} < 5$	0
$5 \leq \text{Age} < 10$	5
$10 \leq \text{Age} < 15$	10
$15 \leq \text{Age} < 20$	15
...	...
$70 \leq \text{Age} < 75$	70
$75 \leq \text{Age} < 80$	75
$80 \leq \text{Age} < 85$	80
$85 \leq \text{Age} < 90$	85

**Table 1:** Age generalization

**PHUSE date shifting** Offset a date value according to the scheme defined in the Pharmaceutical Users

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Software Exchange (PHUSE) CDISC SDTM anonymization standard [3]. This scheme determines a delta for each patient based on a difference between a date in the trial available for all patients (in this case the first visit date) and an anchor date (in this case, 26 April 2018).

**Suppression** The original value is replaced with an empty cell. The following types of suppression were applied for this project:

**global suppression (GS):** Occurs when risk measurement determines that no suitable generalized value can be retained and all values in the column are therefore suppressed.

**parameter-value suppression (PV):** Occurs when values in a column are suppressed based on the values of a parameter-column in the same dataset. For example, a vital sign dataset may include a parameter-column specifying the type of measurement such as “systolic blood pressure”, “height”, “weight” and “temperature”, and one or more value-columns containing the values of the measurements (for example, height measured in centimeters when the parameter is “height”). Parameter-value suppression occurs when all values in the value-column associated with one or more identifiers in the parameter-column are suppressed as part of the anonymization strategy.

Please see the file “54767414MMY2040 Transformation Summary.csv” for a catalog of all transformations applied to the dataset.

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### **3 Conclusions**

The re-identification risk of the Janssen 54767414MMY2040 clinical trial database, after the anonymization as described in this report, is below the data risk threshold given the assumed level of mitigating controls and motives and capacity in the context of the data sharing environment.

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## References

- [1] Khaled El Emam. *Guide to the De-Identification of Personal Health Information*. CRC Press (Auerbach), 2013.
- [2] International Standards Organization. ISO/IEC 27559:2022: Information security, cybersecurity and privacy protection – Privacy enhancing data de-identification framework. Technical report, ISO, 2022.
- [3] PhUSE De-Identification Working Group. De-Identification Standards for CDISC SDTM 3.2. Technical report, 2015.
- [4] Pierangela Samarati. Protecting Respondents' Identities in Microdata Release. *IEEE Transactions on Knowledge and Data Engineering*, 13(6):1010–1027, 2001.
- [5] L. Sweeney. k-Anonymity: A Model for Protecting Privacy. *International Journal on Uncertainty, Fuzziness and Knowledge-based Systems*, 10(5):557–570, 2002.



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## A Definitions

### A.1 Acronyms

**FPE** Format-Preserving Encryption

**PHUSE** Pharmaceutical Users Software Exchange

**SDTM** Study Data Tabulation Model

### A.2 Identifiers

It is useful to differentiate among the different types of variables in a disclosed data set or document. The way the variables are handled during the risk measurement and anonymization process will depend on how they are categorized.

A distinction is made among three types of variables [4, 5]:

**Directly identifying variables.** One or more direct identifiers can be used to uniquely identify an individual, either by themselves or in combination with other readily available information. In clinical trial data sets and documents, the only patient direct identifier will likely be the subject ID. There will be direct identifiers pertaining to staff and investigators; however, these are treated differently than patient information.

**Indirectly identifying variables.** The indirect identifiers are attributes that, together with other attributes that can be in the dataset or external to it, enable unique identification of a data subject within a specific operational context.

Examples of indirect identifiers include sex, date of birth or age, locations (such as postal codes, census geography, information about proximity to known or unique landmarks), language spoken at home, ethnic origin, aboriginal identity, total years of schooling, marital status, criminal history, total income, visible minority status, event dates (such as admission, discharge, procedure, death, specimen collection, visit/encounter), codes (such as diagnosis codes, procedure codes, and adverse event codes), country of birth, birth weight, and birth plurality.

**Other variables.** These are the variables that are not really useful for determining an individual's identity. They may be clinically relevant or not.

### A.3 Glossary

**data recipient** The data recipient is the researcher who accesses the anonymized data to perform an analysis.

**Privacy and Security Context Assessment** A questionnaire that evaluates the privacy and security controls in place for a data recipient.

**Recipient Trust Context Assessment** A questionnaire that evaluates the motives, capacity, and contracts in place with regard to data recipient performing a re-identification attack.

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## B Datasets Delivered in 54767414MMY2040

Dataset	Number of Rows
ADEFF	1710
ADSL	250
ADTTE	715
AE	3037
BS	1491
CE	139
CM	11316
CO	486
DD	10
DM	250
DS	1029
DV	5
EC	22420
EG	319
EX	10629
FA	2941
HO	241
IE	54
IS	9962
LB	81774
MH	1606
MI	1015
MO	221
PC	1151
PF	3984
PR	774
QS	1410

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<b>Dataset</b>	<b>Number of Rows</b>
RE	219
RELREC	52749
RP	91
RS	1015
SE	527
SUPPAE	64342
SUPPCE	19
SUPPCM	115135
SUPPDM	10
SUPPDS	422
SUPPDV	0
SUPPEC	36862
SUPPEG	91
SUPPFA	7
SUPPHO	547
SUPPIS	3625
SUPPLB	265575
SUPPMI	95
SUPPMO	22
SUPPPF	4340
SUPPPR	1119
SUPPRS	25
SUPPTR	373
SUPPTU	43
SV	8090
TA	12
TE	6
TI	35
TR	1156

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Dataset	Number of Rows
TS	85
TU	39
TV	255
VS	31452
XZ	855

**Table 2:** List tables considered and the number of rows in each.

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<b>Dataset Type</b>	SDTM
<b>Study Code</b>	54767414MMY2040
<b>NCT Number</b>	NCT03412565
<b>Reporting Effort</b>	Primary DKD Cohort
<b>Version</b>	2.0
<b>Date</b>	December 12, 2023

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## B Datasets Delivered in 54767414MMY2040

Dataset	Number of Rows
ADEFF	594
ADSL	92
ADTTE	254
AE	1271
BS	772
CE	114
CM	5578
CO	282
DD	10
DM	92
DS	416
DV	46
EC	13192
EG	100
EX	6309
FA	1800
HO	125
IE	29
IS	14903
LB	49862
MH	549
MI	386
MO	165
PC	1834
PF	1575
PR	399
QS	744

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<b>Dataset</b>	<b>Number of Rows</b>
RE	71
RELREC	31235
RP	40
RS	616
SE	186
SUPPAE	30054
SUPPCE	22
SUPPCM	58608
SUPPDM	1
SUPPDS	207
SUPPDV	64
SUPPEC	23602
SUPPEG	26
SUPPFA	3
SUPPHO	363
SUPPIS	5063
SUPPLB	149656
SUPPMI	32
SUPPMO	0
SUPPPF	1992
SUPPPR	662
SUPPRS	3
SUPPTR	92
SUPPTU	27
SV	4402
TA	12
TE	6
TI	132
TR	504

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Dataset	Number of Rows
TS	87
TU	26
TV	728
VS	18009
XZ	282

**Table 2:** List tables considered and the number of rows in each.