
Health informatics — Audit trails for electronic health records

*Informatique de santé — Historique d'expertise des dossiers de santé
informatisés*

iTeh Standards
(<https://standards.iteh.ai>)
Document Preview

[ISO 27789:2021](https://standards.iteh.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021)

<https://standards.iteh.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021>



iTeh Standards
(<https://standards.iteh.ai>)
Document Preview

[ISO 27789:2021](https://standards.iteh.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021)

<https://standards.iteh.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021>



COPYRIGHT PROTECTED DOCUMENT

© ISO 2021

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

Contents

	Page
Foreword.....	v
Introduction.....	vi
1 Scope.....	1
2 Normative references.....	1
3 Terms and definitions.....	1
4 Abbreviated terms.....	5
5 Requirements and uses of audit data.....	5
5.1 Ethical and formal requirements.....	5
5.1.1 General.....	5
5.1.2 Access policy.....	5
5.1.3 Unambiguous identification of information system users.....	6
5.1.4 User roles.....	6
5.1.5 Secure audit records.....	6
5.2 Uses of audit data.....	6
5.2.1 Governance and supervision.....	6
5.2.2 Subjects of care exercising their rights.....	7
5.2.3 Evidence and retention requirements.....	7
6 Trigger events.....	7
6.1 General.....	7
6.2 Details of the event types and their contents.....	8
6.2.1 Access events to the personal health information.....	8
6.2.2 Query events to the personal health information.....	8
7 Audit record details.....	8
7.1 The general record format.....	8
7.2 Trigger event identification.....	10
7.2.1 Event ID.....	10
7.2.2 Event action code.....	11
7.2.3 Event date and time.....	11
7.2.4 Event outcome indicator.....	12
7.2.5 Event type code.....	12
7.3 User identification.....	12
7.3.1 User ID.....	12
7.3.2 Alternative user ID.....	13
7.3.3 User name.....	13
7.3.4 User is requestor.....	13
7.3.5 Role ID code.....	13
7.3.6 Purpose of use.....	14
7.4 Access point identification.....	15
7.4.1 Network access point type code.....	15
7.4.2 Network access point ID.....	16
7.5 Audit source identification.....	16
7.5.1 Overview.....	16
7.5.2 Audit enterprise site ID.....	17
7.5.3 Audit source ID.....	17
7.5.4 Audit source type code.....	17
7.6 Participant object identification.....	18
7.6.1 Overview.....	18
7.6.2 Participant object type code.....	19
7.6.3 Participant object type code role.....	19
7.6.4 Participant object data life cycle and record entry lifecycle events.....	20
7.6.5 Participant object ID type code.....	22
7.6.6 Participant object Permission PolicySet.....	23

7.6.7	Participant object sensitivity.....	23
7.6.8	Participant object ID.....	24
7.6.9	Participant object name.....	24
7.6.10	Participant object query.....	24
7.6.11	Participant object detail, Participant object description.....	24
8	Audit records for individual events.....	25
8.1	Access events.....	25
8.2	Query events.....	26
9	Secure management of audit data.....	28
9.1	Security considerations.....	28
9.2	Securing the availability of the audit system.....	28
9.3	Retention requirements.....	29
9.4	Securing the confidentiality and integrity of audit trails.....	29
9.5	Access to audit data.....	29
Annex A (informative) Audit scenarios.....		30
Annex B (informative) Audit log services.....		36
Bibliography.....		45

iTeh Standards
(<https://standards.itih.ai>)
Document Preview

[ISO 27789:2021](https://standards.itih.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021)

<https://standards.itih.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021>

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

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

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

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

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

This document was prepared by Technical Committee ISO/TC 215, *Health informatics*, in collaboration with the European Committee for Standardization (CEN) Technical Committee CEN/TC 251, *Health informatics*, in accordance with the Agreement on technical cooperation between ISO and CEN (Vienna Agreement).

This second edition cancels and replaces the first edition (ISO 27789: 2013), which has been technically revised.

The main changes are as follows:

- harmonization between audit record format and DICOM format;
- review of the content in [Annex A](#);
- review of the chart in [Annex B](#);
- bibliography update.

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

Introduction

0.1 General

Personal health information is regarded by many as among the most confidential of all types of personal information and protecting its confidentiality is essential to maintain the privacy of subjects of care. In order to protect the consistency of health information, it is also important that its entire life cycle be fully auditable. Health records should be created, processed and managed in ways that guarantee the integrity and confidentiality of their contents and that support legitimate control by subjects of care in how the records are created, used and maintained.

Trust in electronic health records requires physical and technical security elements along with data integrity elements. Among the most important of all security requirements to protect personal health information and the integrity of records are those relating to audit and logging. These help to ensure accountability for subjects of care who entrust their information to electronic health record (EHR) systems. They also help to protect record integrity, as they provide a strong incentive to users of such systems to conform to organizational policies on the use of these systems.

Effective audit and logging can help to uncover misuse of EHR systems or EHR data and can help organisations and subjects of care obtain redress against users abusing their access privileges. For auditing to be effective, it is necessary that audit trails contain sufficient information to address a wide variety of circumstances (see [Annex A](#)).

Audit logs are complementary to access controls. The audit logs provide a means to assess conformity with organizational access policy and can contribute to improving and refining the policy itself. But as such a policy needs to anticipate the occurrence of unforeseen or emergency cases, analysis of the audit logs becomes the primary means of ensuring access control for those cases.

This document is strictly limited in scope to logging of events. Changes to data values in fields of an EHR are presumed to be recorded in the EHR database system itself and not in the audit log. It is presumed that the EHR system itself contains both the previous and updated values of every field. This is consistent with contemporary point-in-time database architectures. The audit log itself is presumed to contain no personal health information other than identifiers and links to the record.

Electronic health records on an individual person can reside in many different information systems within and across organisational or even jurisdictional boundaries. To keep track of all actions that involve records on a particular subject of care, a common framework is a prerequisite. This document provides such a framework. To support audit trails across distinct domains, it is essential to include references in this framework to the policies that specify the requirements within the domain, such as access control rules and retention periods. Domain policies may be referenced implicitly by identification of the audit log source.

0.2 Benefits of using this document

Standardization of audit trails on access to electronic health records aims at two goals:

- ensuring that information captured in an audit log is sufficient to clearly reconstruct a detailed chronology of the events that have shaped the content of an electronic health record;
- ensuring that an audit trail of actions relating to a subject of care's record can be reliably followed, even across organizational domains.

This document is intended for those responsible for overseeing health information security or privacy and for healthcare organizations and other custodians of health information seeking guidance on audit trails, together with their security advisors, consultants, auditors, vendors and third-party service providers.

0.3 Related standards on electronic health record audit trails

This document builds upon, and is consistent with, the work begun in RFC 3881 with respect to access to the EHR. This document also builds upon and is consistent with the content in ISO/TS 21089:2018.

iTeh Standards
(<https://standards.itih.ai>)
Document Preview

[ISO 27789:2021](https://standards.itih.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021)

<https://standards.itih.ai/catalog/standards/iso/7526a581-a0ed-4dcd-a11e-7278c46eb563/iso-27789-2021>