

Health informatics — Public key infrastructure —

Part 2: Certificate profile

ICS 35.240.80

National foreword

This Draft for Development reproduces verbatim ISO/TS 17090-2:2002.

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It is being issued in the Draft for Development series of publications and is of a provisional nature because of the limited duration of the International Technical Specification. It should be applied on this provisional basis, so that information and experience of its practical application may be obtained.

Comments arising from the use of this Draft for Development are requested so that UK experience can be reported to the international organization responsible for the Technical Specification. A review of this publication will be initiated not later than 3 years after its publication by the international organization so that a decision can be taken on its status at the end of its 3-year life. Notification of the start of the review period will be made in an announcement in the appropriate issue of *Update Standards*.

According to the replies received by the end of the review period, the responsible BSI Committee will decide whether to support the conversion into an international standard, to extend the life of the Technical Specification for another 3 years or to withdraw it. Comments should be sent in writing to the Secretary of BSI Technical Committee IST/35, Health informatics, at British Standards House, 389 Chiswick High Road, London W4 4AL, giving the document reference and clause number and proposing, where possible, an appropriate revision of the text.

A list of organizations represented on this committee can be obtained on request to its secretary.

Cross-references

The British Standards which implement international publications referred to in this document may be found in the *BSI Catalogue* under the section entitled “International Standards Correspondence Index”, or by using the “Search” facility of the *BSI Electronic Catalogue* or of British Standards Online.

This Draft for Development, having been prepared under the direction of the DISC Board, was published under the authority of the Standards Policy and Strategy Committee on 7 November 2002

Summary of pages

This document comprises a front cover, an inside front cover, the ISO/TS title page, pages ii to vi, pages 1 to 26, an inside back cover and a back cover.

The BSI copyright date displayed in this document indicates when the document was last issued.

Amendments issued since publication

Amd. No.	Date	Comments

© BSI 7 November 2002

ISBN 0 580 40690 3

TECHNICAL SPECIFICATION

ISO/TS 17090-2

First edition
2002-10-15

Health informatics — Public key infrastructure —

Part 2: Certificate profile

*Informatique de santé — Infrastructure de clé publique —
Partie 2: Profil de certificat*



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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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 3.

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

In other circumstances, particularly when there is an urgent market requirement for such documents, a technical committee may decide to publish other types of normative document:

- an ISO Publicly Available Specification (ISO/PAS) represents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote;
- an ISO Technical Specification (ISO/TS) represents an agreement between the members of a technical committee and is accepted for publication if it is approved by 2/3 of the members of the committee casting a vote.

An ISO/PAS or ISO/TS is reviewed after three years with a view to deciding whether it should be confirmed for a further three years, revised to become an International Standard, or withdrawn. In the case of a confirmed ISO/PAS or ISO/TS, it is reviewed again after six years at which time it has to be either transposed into an International Standard or withdrawn.

Attention is drawn to the possibility that some of the elements of this part of ISO/TS 17090 may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO/TS 17090-2 was prepared by Technical Committee ISO/TC 215, *Health informatics*.

ISO/TS 17090 consists of the following parts, under the general title *Health informatics — Public key infrastructure*:

- *Part 1: Framework and overview*
- *Part 2: Certificate profile*
- *Part 3: Policy management of certification authority*

Annex A of this part of ISO/TS 17090 is for information only.

Introduction

The healthcare industry is faced with the challenge of reducing costs by moving from paper-based processes to automated electronic processes. New models of healthcare delivery are emphasizing the need for patient information to be shared among a growing number of specialist healthcare providers and across traditional organizational boundaries.

Healthcare information concerning individual citizens is commonly interchanged by means of electronic mail, remote database access, electronic data interchange and other applications. The Internet provides a highly cost-effective and accessible means of interchanging information, but is also an insecure vehicle that demands additional measures be taken to maintain the privacy and confidentiality of information. Threats to the security of health information through unauthorized access (either inadvertent or deliberate) are increasing. It is essential to have available to the healthcare system reliable information security services that minimize the risk of unauthorized access.

How does the healthcare industry provide appropriate protection for the data conveyed across the Internet in a practical, cost-effective way? Public key infrastructure (PKI) technology seeks to address this challenge.

PKI is a blend of technology, policy and administrative processes that enable the exchange of sensitive data in an unsecured environment by the use of “public key cryptography” to protect information in transit and “certificates” to confirm the identity of a person or entity. In healthcare environments, PKI uses authentication, encipherment and digital signatures to facilitate confidential access to, and movement of, individual health records to meet both clinical and administrative needs. The services offered by a PKI (including encipherment, information integrity and digital signatures) are able to address many of these security issues. This is especially the case if PKI is used in conjunction with an accredited information security standard. Many individual organizations around the world have started to apply PKI for this purpose.

Interoperability of PKI technology and supporting policies, procedures and practices is of fundamental importance if information is to be exchanged between organizations and between jurisdictions in support of healthcare applications (for example between a hospital and a community physician working with the same patient).

Achieving interoperability between different PKI schemes requires the establishment of a framework of trust, under which parties responsible for protecting an individual’s information rights may rely on the policies and practices and, by extension, the validity of digital certificates issued by other established authorities.

Many countries are adopting PKIs to support secure communications within their national boundaries. Inconsistencies will arise in policies and procedures between the certification authorities (CAs) and registration authorities (RAs) of different countries if PKI standards development activity is restricted to within national boundaries.

PKI technology is still rapidly evolving in certain aspects that are not specific to healthcare. Important standardization efforts and, in some cases, supporting legislation are ongoing. On the other hand, healthcare providers in many countries are already using or planning to use PKI. This Technical Specification seeks to address the need for guidance of these rapid international developments.

This three-part document is being issued in the Technical Specification series of publications (according to the ISO/IEC Directives, Part 1, 3.1.1.1) as a prospective standard for the use of PKI in the field of healthcare because there is an urgent need for guidance on how standards in this field should be used to meet an identified need. This document is not to be regarded as an International Standard. It is proposed for provisional application so that information and experience of its use in practice may be gathered. ISO/TC 215 intends to revise it into a full International Standard after a three-year period.

This Technical Specification describes the common technical, operational and policy requirements that need to be addressed to enable PKI to be used in protecting the exchange of healthcare information within a single domain, between domains and across jurisdictional boundaries. Its purpose is to create a platform for global interoperability.

It specifically supports PKI enabled communication across borders, but could also provide guidance for the establishment of healthcare PKIs nationally or regionally. The Internet is increasingly used as the vehicle of choice to support the movement of healthcare data between healthcare organizations and is the only realistic choice for cross-border communication in this sector.

This Technical Specification should be approached as a whole, with the three parts all making a contribution to defining how PKIs can be used to provide security services in the health industry, including authentication, confidentiality, data integrity and the technical capacity to support the quality of digital signature.

ISO/TS 17090-1 defines the basic concepts of a healthcare public key infrastructure (PKI) and provides a scheme of interoperability requirements to establish a PKI enabled secure communication of health information.

ISO/TS 17090-2 provides healthcare specific profiles of digital certificates based on the International Standard X.509 and the profile of this specified in IETF/RFC 2459 for different types of certificates.

ISO/TS 17090-3 deals with management issues involved in implementing and operating a healthcare PKI. It defines a structure and minimum requirements for certificate policies (CPs) and a structure for associated certification practice statements. This part is based on the recommendations of the IETF/RFC 2527 *Internet X.509 Public Key Infrastructure Certificate Policy and Certification Practices Framework* and identifies the principles needed in a healthcare security policy for cross border communication. It also defines the minimum levels of security required, concentrating on the aspects unique to healthcare.

Comments on the content of this document, as well as comments, suggestions and information on the application of these technical specifications may be forwarded to the ISO/TC 215 secretariat: tsandler@astm.org and the WG4 secretariat w4sec215@medis.or.jp.

Health informatics — Public key infrastructure —

Part 2: Certificate profile

1 Scope

This part of ISO/TS 17090 specifies the certificate profiles required to interchange healthcare information within a single organization, between different organizations and across jurisdictional boundaries. It details the use made of public key infrastructure (PKI) digital certificates in the health industry and focuses, in particular, on specific healthcare issues relating to certificate profiles.

2 Normative references

The following normative documents contain provisions which, through reference in this text, constitute provisions of this part of ISO/TS 17090. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. However, parties to agreements based on this part of ISO/TS 17090 are encouraged to investigate the possibility of applying the most recent editions of the normative documents indicated below. For undated references, the latest edition of the normative document referred to applies. Members of ISO and IEC maintain registers of currently valid International Standards.

ISO/TS 17090-1:2002, *Health informatics — Public key infrastructure — Part 1: Framework and overview*

ISO/TS 17090-3:2002, *Health informatics — Public key infrastructure — Part 3: Policy management of certification authority*

IETF/RFC 2459, *Internet X.509 Public Key Infrastructure Certificate and CRL Profile*

IETF/RFC 2527, *Internet X.509 Public Key Infrastructure Certificate Policy and Certification Practices Framework*

IETF/RFC 3039, *Internet X.509 Public Key Infrastructure Qualified Certificates Profile*

INTERNET-DRAFT October 1999 4.1, *X.509 Attribute Certificate*

3 Terms and definitions

For the purposes of this part of ISO/TS 17090, the terms and definitions given in ISO/TS 17090-1:2002 apply.

4 Abbreviations

AA	attribute authority
AC	attribute certificate
CA	certification authority
CP	certificate policy
CPS	certification practice statement
CRL	certificate revocation list
PKC	public key certificate
PKI	public key infrastructure
RA	registration authority
TTP	trusted third party

5 Healthcare CPs

5.1 Certificate types required for healthcare

Identity certificates shall be issued to:

- individuals (regulated health professionals, non-regulated health professionals, sponsored healthcare providers, supporting organization employees and patients/consumers);
- organizations (healthcare organizations and supporting organizations);
- devices;
- applications.

The roles of individuals and organizations are to be captured; either in the identity certificate itself (in a certificate extension) or in an associated AC. The different kinds of certificates and the way they interrelate are shown in Figure 1.

5.2 CA certificates

5.2.1 Root CA certificates

Root CA certificates are used when the subject of the certificate is itself a CA, they are self-signed and are used in a healthcare PKI to issue certificates to relying parties, including subordinate CAs. The basic constraints field indicates whether the certificate is a CA, as well as the maximum allowable depth of a certification path through that CA.

5.2.2 Subordinate CA certificates

Subordinate CA certificates are issued for a CA that is in itself certified by another CA higher up in the hierarchy to be able to issue certificates for either other CAs lower down the hierarchy or for end entities.

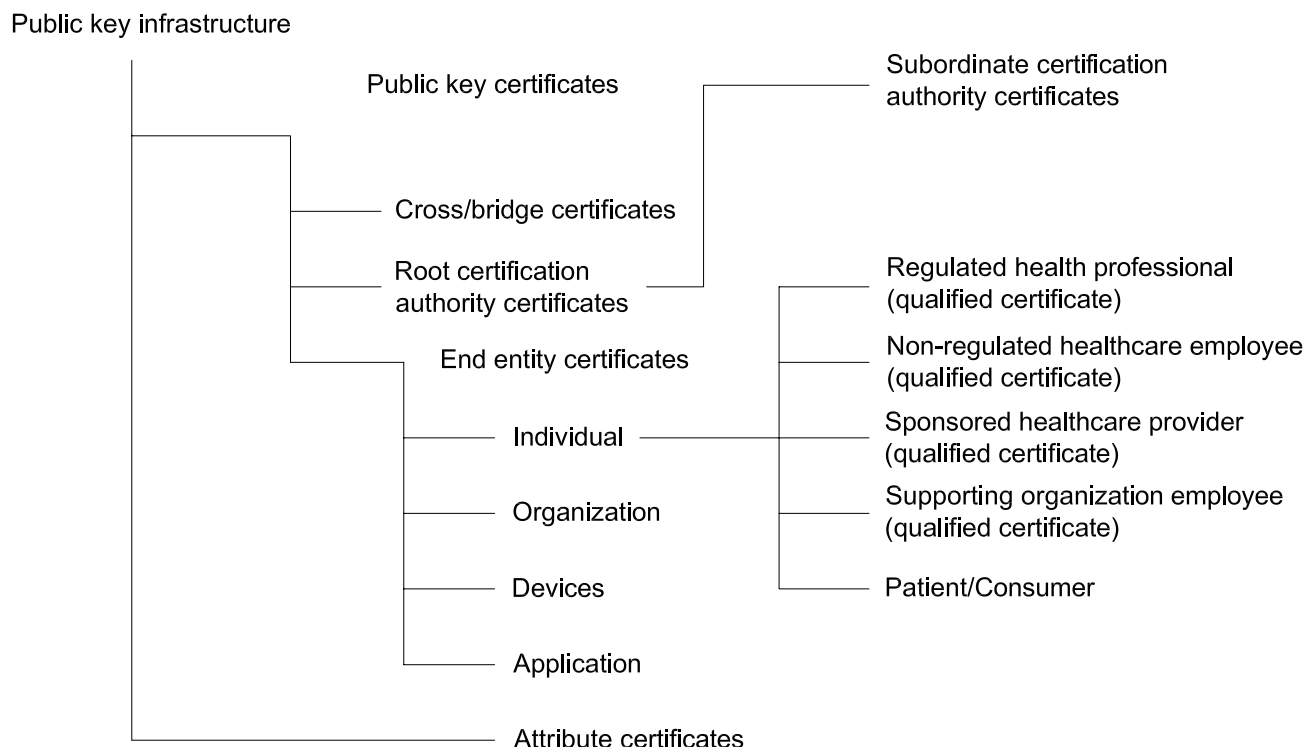


Figure 1 — Healthcare certificate types

5.3 Cross/Bridge certificates

In an Internet environment, it is not feasible to expect the health industry in cross border and jurisdictional situations to trust a top level CA. Instead, “islands of trust” are to be provided in each health industry domain, based on speciality, jurisdiction, setting or geography that trust a particular CA. Each central root CA for each “island of trust” can then cross-certify another root. In these situations, a group of CAs may agree on a minimum set of standards to be embodied in their policies and associated practice statements. When this occurs, a relying party may accept a certificate from a CA outside its own domain. This could be particularly useful for organizations such as state or provincial health authorities to enable the transfer of information across boundaries.

Cross/Bridge certificates are certificate types that cross-certify different CA domains. This supports the large-scale deployment of public key applications, such as secure electronic mail and others required in the health industry.

5.4 End entity certificates

End entity certificates are issued to entities that may include individuals, organizations, applications or devices. They are called end entity certificates because there are no further entities beneath them relying on that certificate.

5.4.1 Individual identity certificates

Individual identity certificates are a particular subtype of end entity certificates that are issued to individual persons for the purpose of authentication. The following five types of healthcare actors are recognized as being individuals:

a) regulated health professional:

- each certificate holder is a health professional who, in order to practice his/her profession requires a license or registration from a government body (see 5.1 of ISO/TS 17090-1:2002). These certificates may be qualified certificates (see 8.2 of ISO/TS 17090-1:2002 and 7.3 below);