

4501-55-04

**Recording and logging access to confidential personal information in computerized personal information systems.**

For personal information systems that are computer systems and contain confidential personal information, the "Department" shall do the following:

- (A) Access restrictions. Access to confidential personal information that is kept electronically shall require a password or other authentication measure.
- (B) Acquisition of a new computer system. When the "Department" acquires a new computer system that stores, manages or contains confidential personal information, the "Department" shall include a mechanism for recording specific access by employees of the "Department" to confidential personal information in the system.
- (C) Upgrading existing computer systems. When the "Department" modifies an existing computer system that stores, manages or contains confidential personal information, the "Department" shall make a determination whether the modification constitutes an upgrade. Any upgrades to a computer system shall include a mechanism for recording specific access by employees of the "Department" to confidential personal information in the system.
- (D) Logging requirements regarding confidential personal information in existing computer systems.
  - (1) The "Department" shall require employees of the "Department" who access confidential personal information within computer systems to maintain a log that records that access if the computer system does not have a mechanism for recording specific access by employees of the "Department" to confidential personal information.
  - (2) Access to confidential information is not required to be entered into the log under the following circumstances:
    - (a) The employee of the "Department" is accessing confidential personal information for official "Department" purposes or research, and the access is not specifically directed toward a specifically named individual or a group of specifically named individuals;
    - (b) The employee of the "Department" is accessing confidential personal information for routine office procedures and the access is not specifically directed toward a specifically named individual or a group of specifically named individuals;

- (c) The employee of the "Department" comes into incidental contact with confidential personal information and the access of the information is not specifically directed toward a specifically named individual or a group of specifically named individuals;
- (d) The employee of the "Department" accesses confidential personal information about an individual based upon a request made under either of the following circumstances:
  - (i) The individual requests confidential personal information about himself/herself;
  - (ii) The individual makes a request that the "Department" takes some action on that individual's behalf and accessing the confidential personal information is required in order to consider or process that request.

(3) For purposes of this paragraph, the "Department" may choose the form(s) of logging, whether in electronic or paper formats.

(E) Log management. The "Department" shall issue a policy that specifies the following:

- (1) Who shall maintain the log;
- (2) What information shall be captured in the log;
- (3) How the log is to be stored; and
- (4) How long information kept in the log is to be retained.

Nothing in this rule limits the "Department" from requiring logging in any circumstance that it deems necessary.

Effective:

Five Year Review (FYR) Dates: 09/15/2015

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Certification

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Date

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