# SECURITY RISK ASSESSMENT TOOL |V3

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The Office of the National Coordinator for Health Information Technology

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# Agenda

## Part one: SRA Tool Overview

- The Challenge and Solution
- SRA Tool Basics
- Tracking Vendors and Assets
- Completing the Assessment
- Understanding the Reports and Results

## Part two:  Technical Assistance

- Questions & Answers
- Call for feedback

# Challenge

The healthcare industry faces constantly evolving cybersecurity threats and smaller healthcare providers often have limited time and resources to defend against the growing number of security risks.

The healthcare industry needs a Security Risk Assessment (SRA) tool that is easy to use and can help small practices evaluate their security posture against increasingly sophisticated security attacks.

# Solution

ONC engaged Altarum to design an improved version of the SRA Tool with a wizard-based workflow, updated layout, and an enhanced user experience that can assist users with their risk analysis process.

The new SRA Tool has over 56,645 downloads in the past year.

# Overview

The Security Risk Assessment (SRA) Tool guides users through security risk assessment process.  It includes a self-paced modular workflow which includes a series of questions based on standards identified in the HIPAA Security Rule. Responses are sorted into Areas of Success and Areas for Review.

The Guided Risk Framework walks users through an evaluation of potential Threats & Vulnerabilities so they can assess the likelihood and impact of threats to their practice. The SRA Tool may not address all risks that are known. Risks <u>not</u> addressed via the SRA Tool must be documented elsewhere.

Final Summary Reports are available once the user has completed the assessment process.

# Content

The SRA Tool's content was developed from the following sources:

- HIPAA Security Rule
- National Institute of Standards and Technology (NIST) Special Publication 800-66
- NIST Special Publication [Guide to Implementing FISMA Security Controls] 800-53
- NIST Special Publication [Guide to Assessing FISMA Controls] 800-53A
- Health Information Technology for Economic and Clinical Health (HITECH) Act

Upcoming content addition:

- Assessment questions will reference NIST Cybersecurity Framework guidance

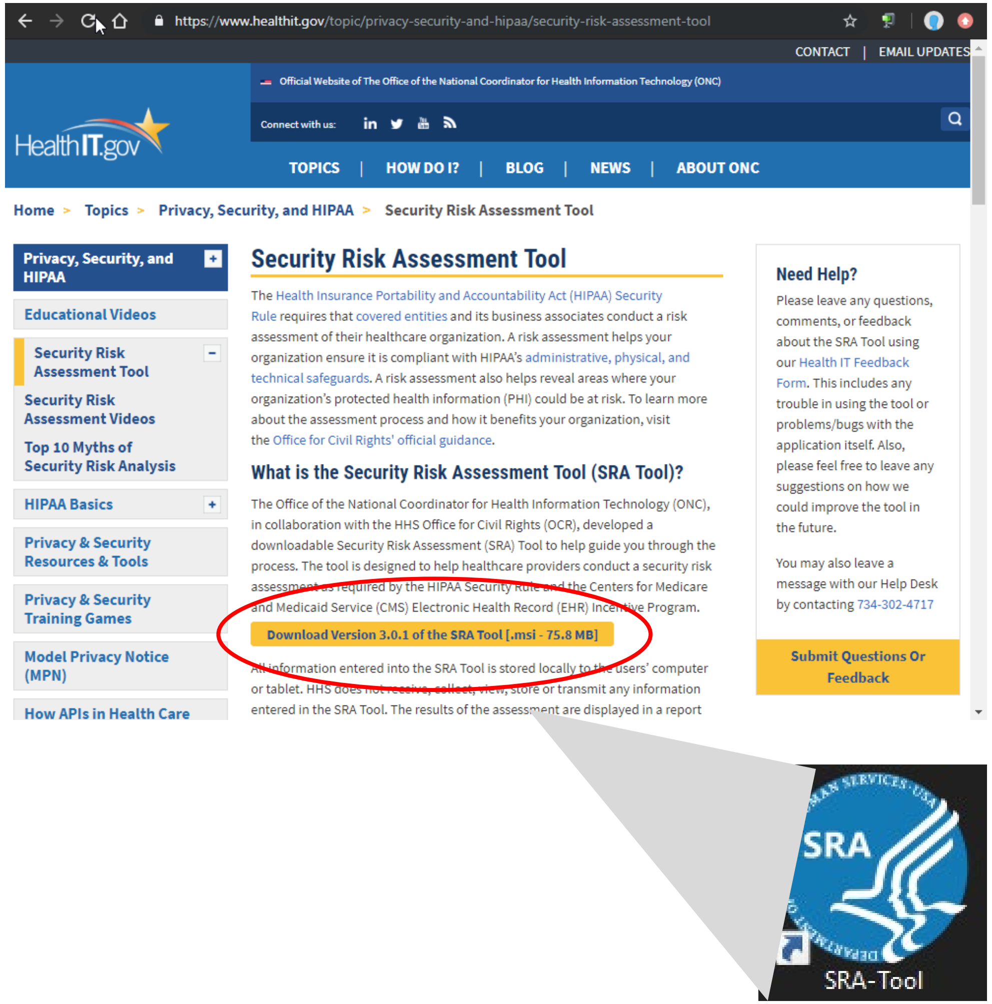
# Assessment Content

Content within the Assessment is broken down into these main categories:

Section 1: Security Risk Assessment (SRA) Basics (security management process)
Section 2: Security Policies, Procedures, & Documentation (defining policies & procedures)
Section 3: Security & Your Workforce (defining/managing access to systems & workforce training)
Section 4: Security & Your Data (technical security procedures)
Section 5: Security & Your Practice (physical security procedures)
Section 6: Security & Your Vendors (business associate agreements and vendor access to PHI)
Section 7: Contingency Planning (backups and data recovery plans)

The tool offers dynamic content, so as the Security Rule and NIST guidelines evolve over time and new questionnaire content is developed, it can be downloaded and pulled into the SRA tool easily.

# Downloading and Installing the Tool

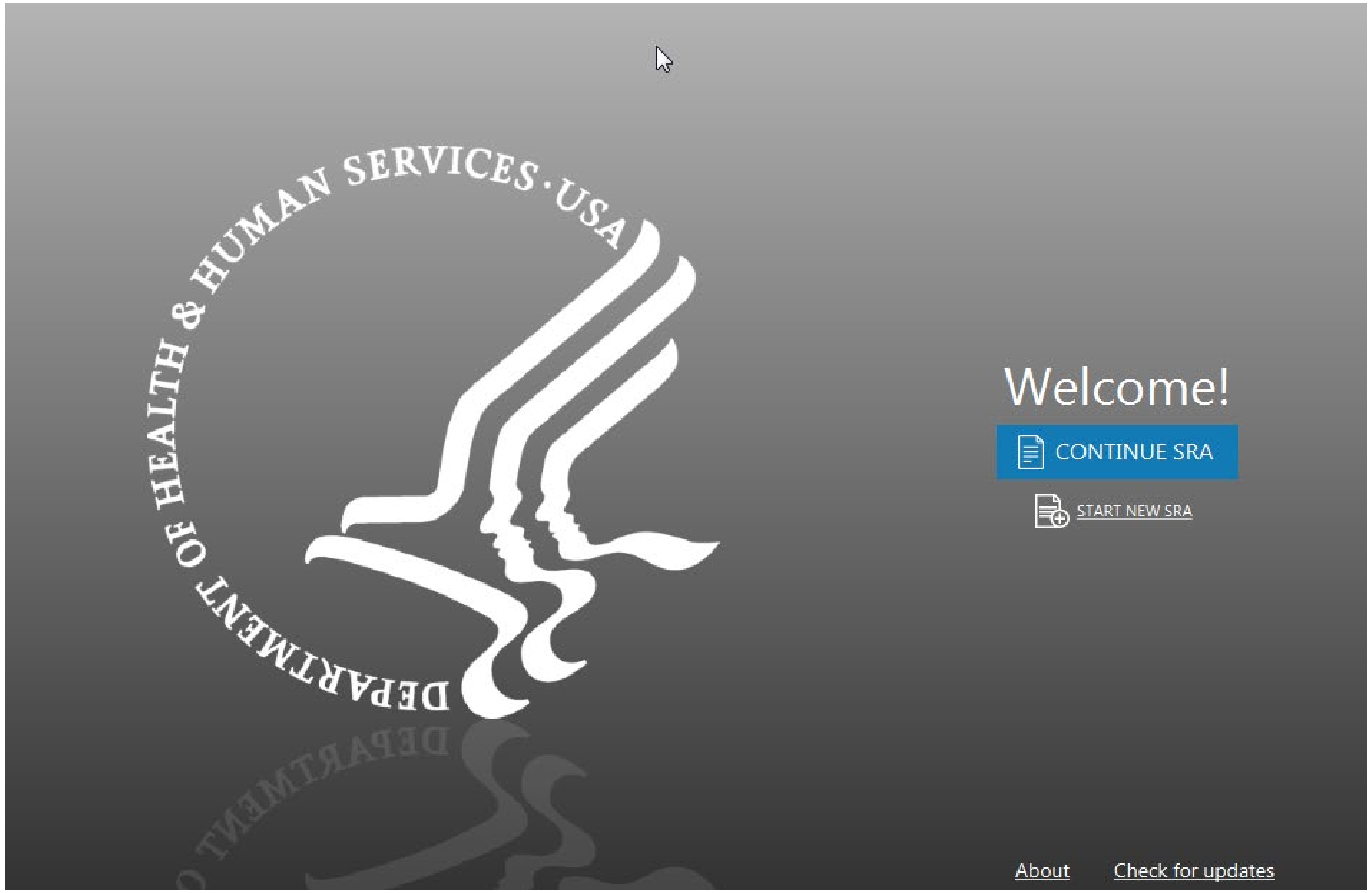



The tool can be downloaded from HealthIT.gov. The downloaded file is the installer for the tool. Double click to run the installer and walk through install process. Once downloaded, a blue "SRA-Tool" icon will appear on your desktop.

**Note:** Users must have administrative privileges in order to install the SRA Tool. For this reason, you may need help from your IT department or system administrator to install the tool. Admin privileges are not needed to run the tool once it has been installed.

The tool runs on Windows, 7, 8, and 10. All information entered into the tool is contained locally. No information is transmitted to DHHS, ONC or OCR.

# Welcome to the SRA Tool

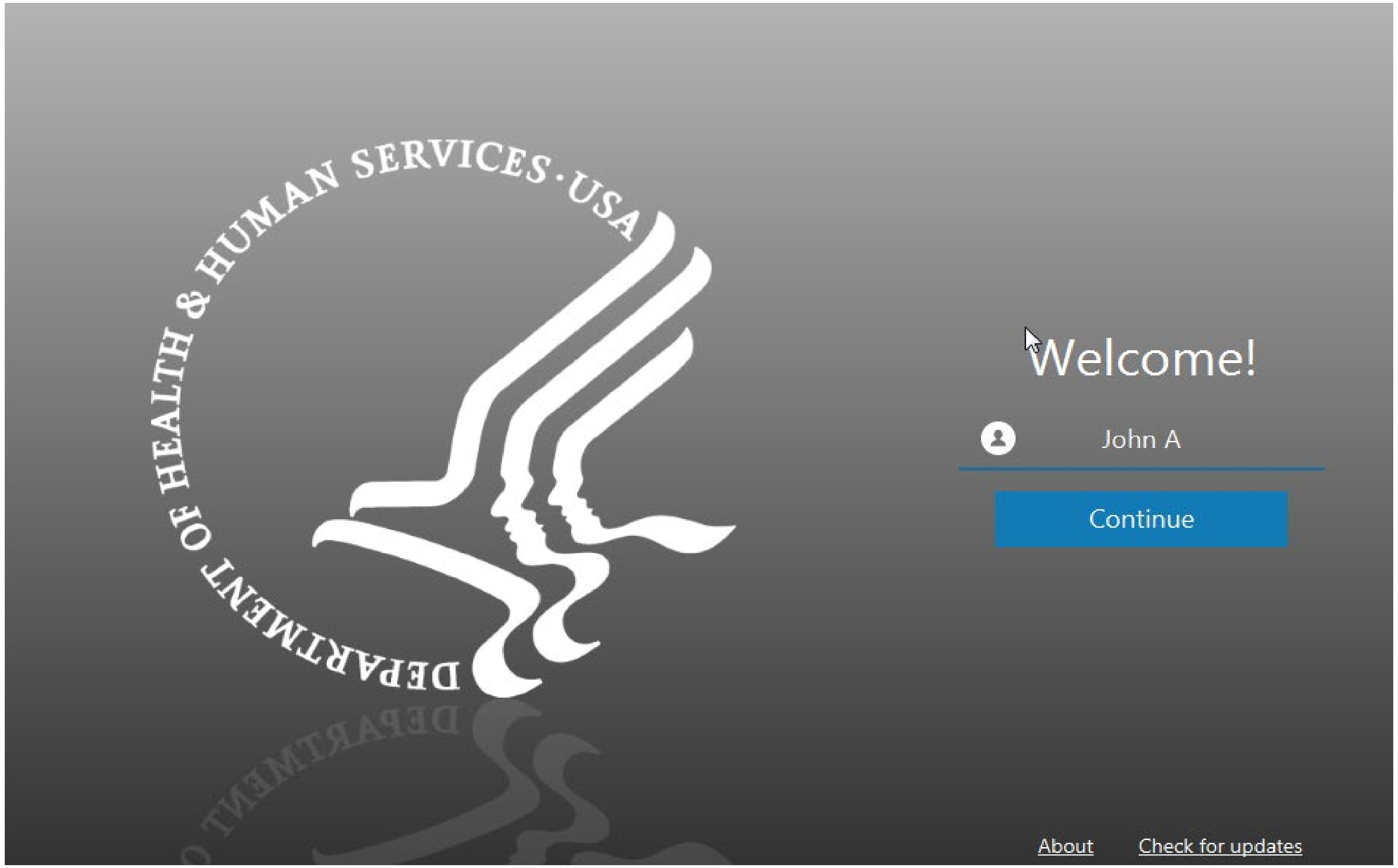



Select "Start New SRA" or "Continue SRA" to begin using the tool.

Enter your name, name your SRA file and select a location to save your SRA file locally.

The "Check for Updates" feature allows you to see if new content updates have been released by ONC.

# Entering a Username

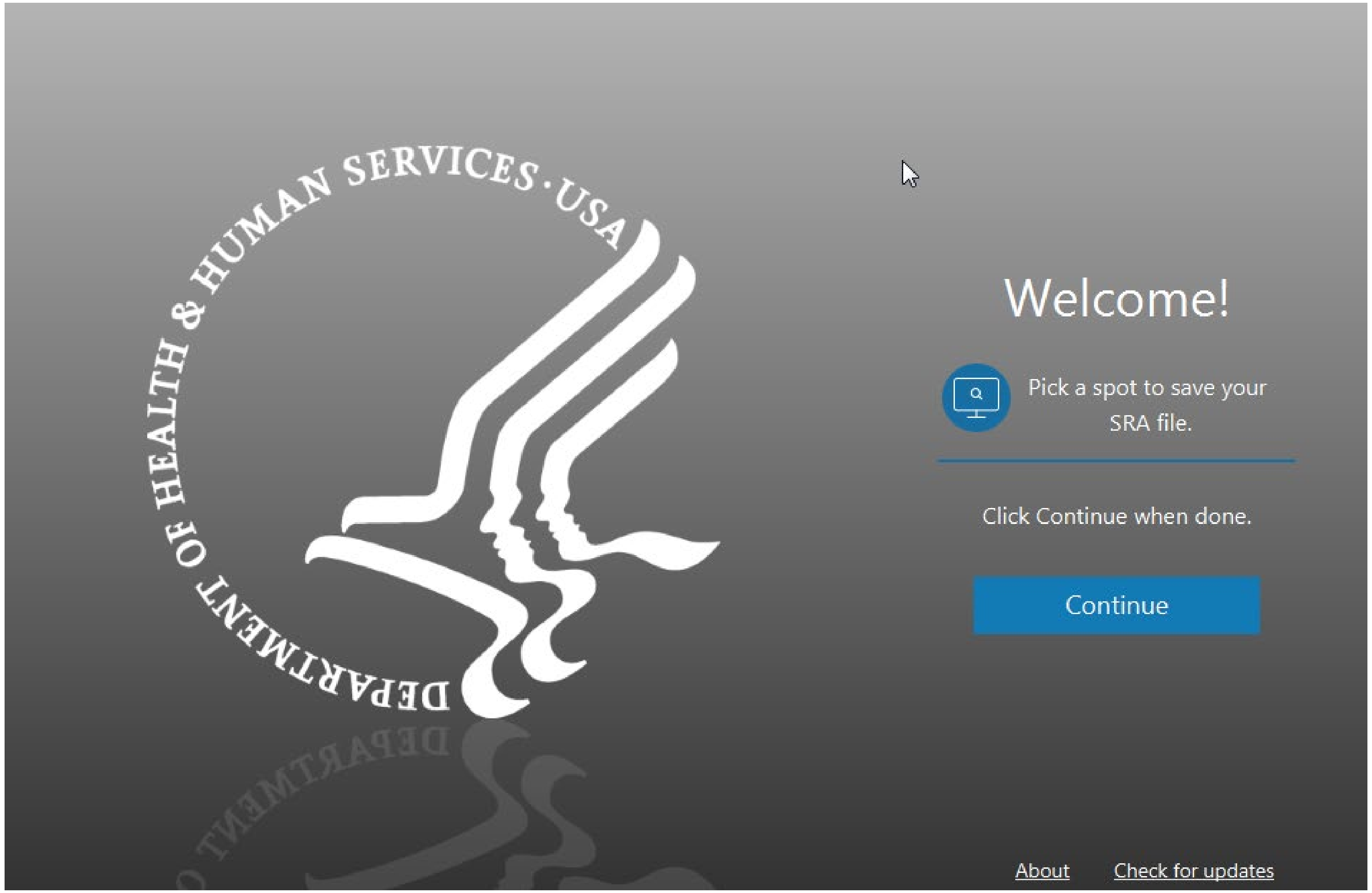



When beginning a new assessment, the user is asked to enter their name.

It is recommended to enter your full first & last name.

The SRA Tool supports multiple user accounts, so more than one person can work on an in progress SRA file.

# Saving a New SRA

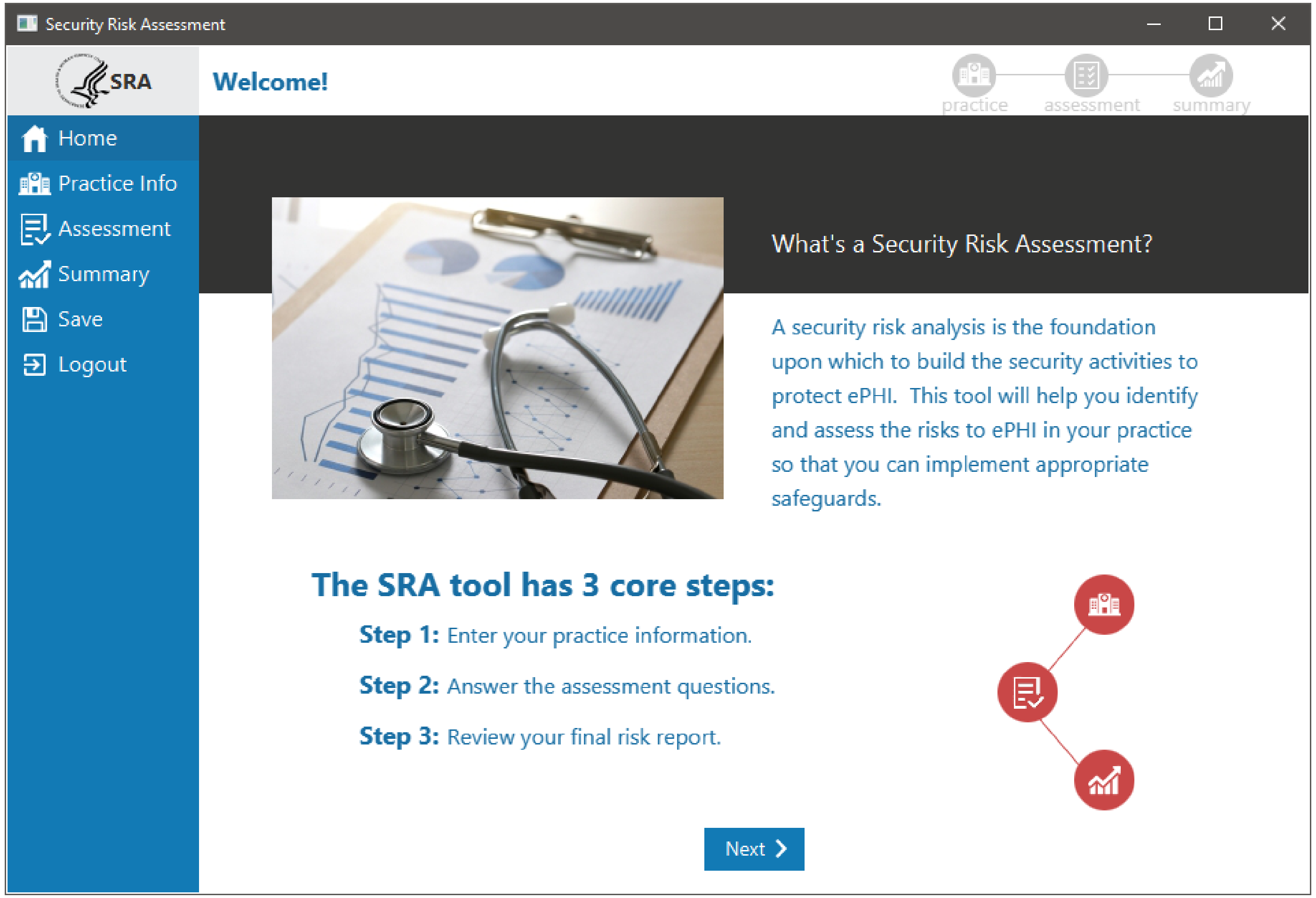



The SRA Tool is set up to work similar to Windows Office programs in the way it saves and opens assessment files.

After entering your name, you then select a file name and save location for the new .sra file.

Files with the .sra extension can be opened and edited with the SRA Tool application.

# Starting an SRA

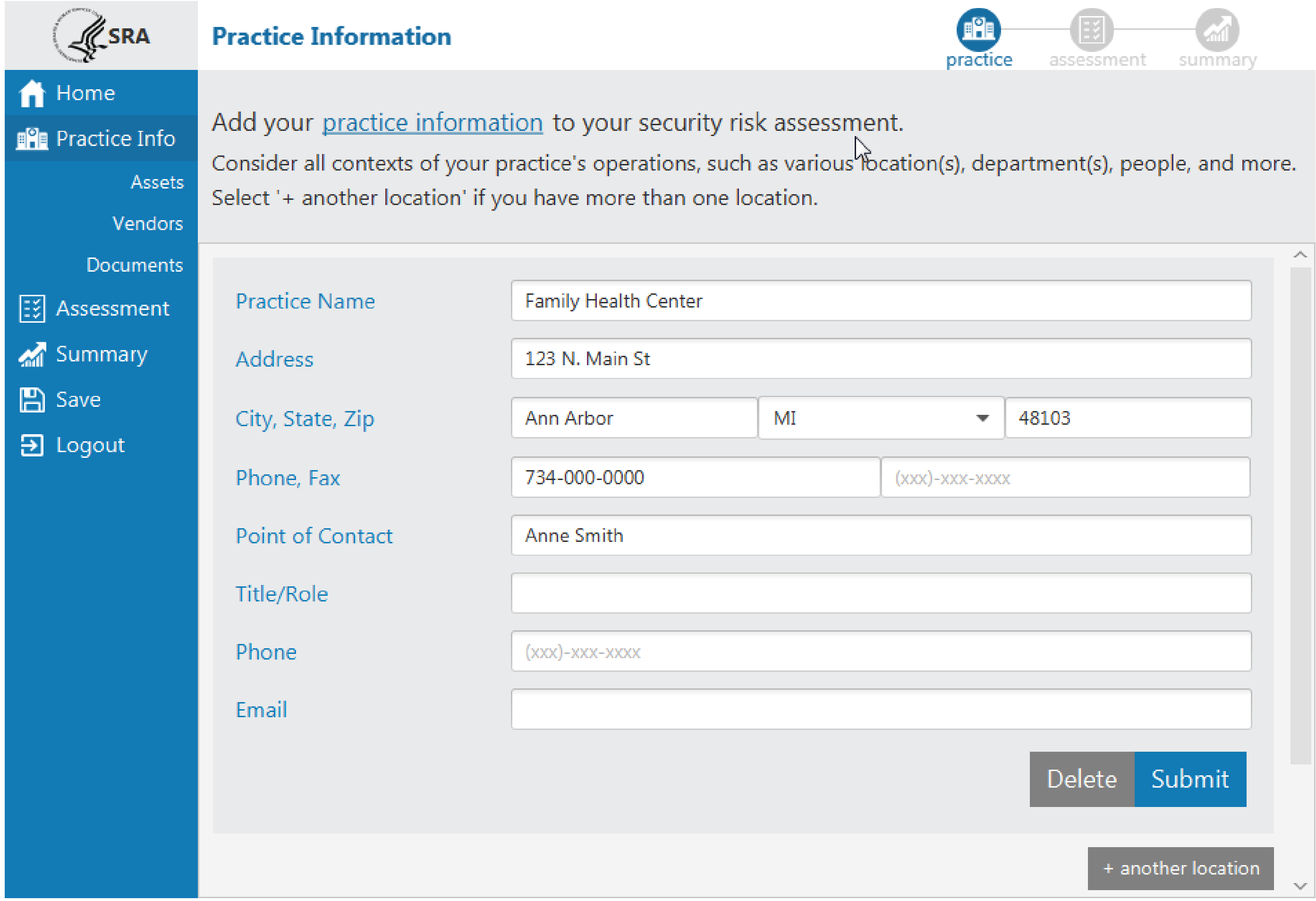



Navigation is handled using the <u>Next</u> and <u>Back</u> buttons at the bottom of each screen.

The left navigation menu allows users to jump between certain sections of the assessment and report, but due to branching logic, some navigation relies *<u>solely</u>* on the use of the Next/Back buttons.

The Summary item will not become available until the rest of the assessment has been fully completed.

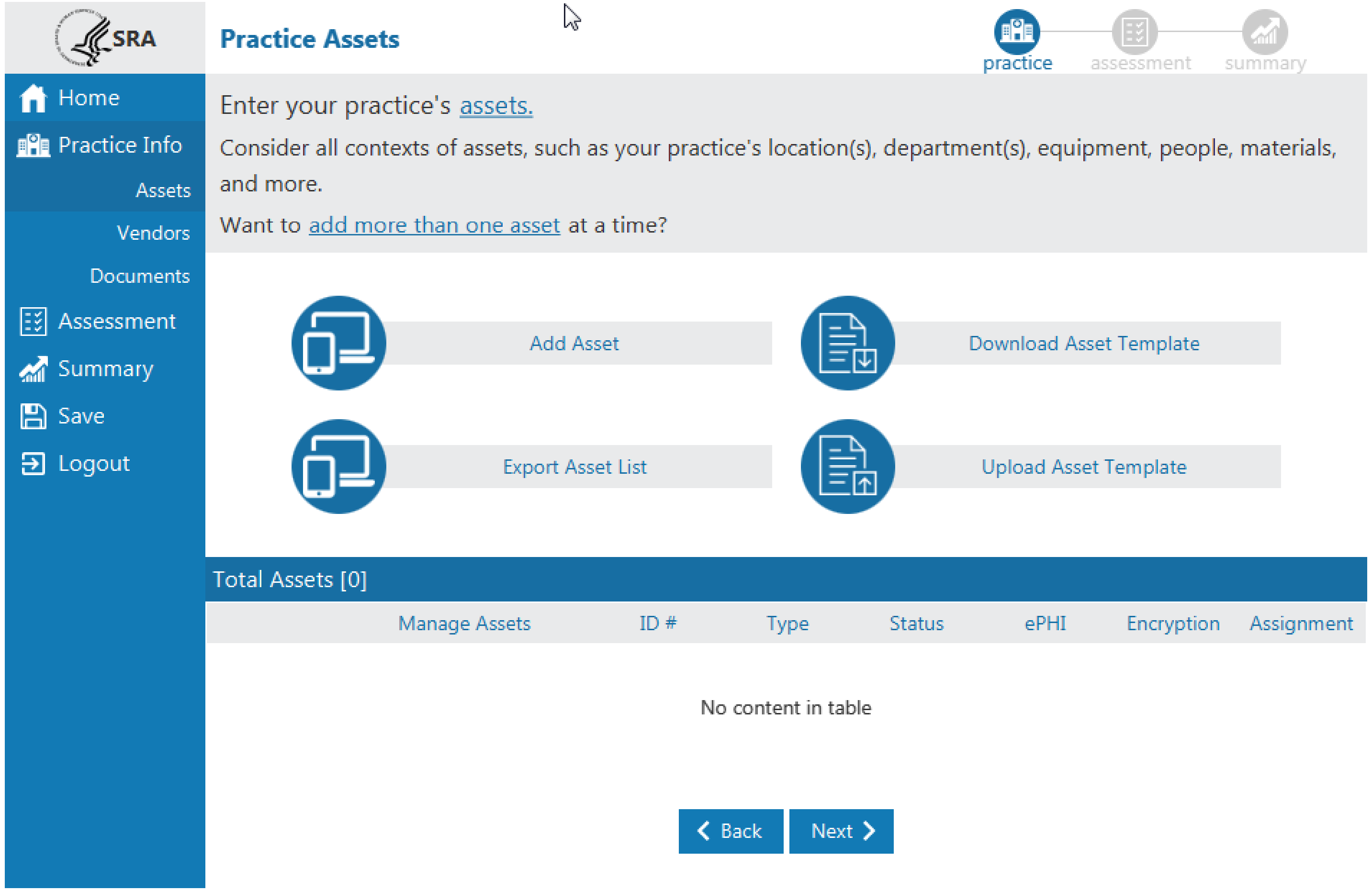
# Entering Practice Information




The Practice Information screen captures some basic information from the practice(s) involved with the assessment.

This information will be included in the printable PDF report available once the assessment is completed.

# Tracking Practice Assets

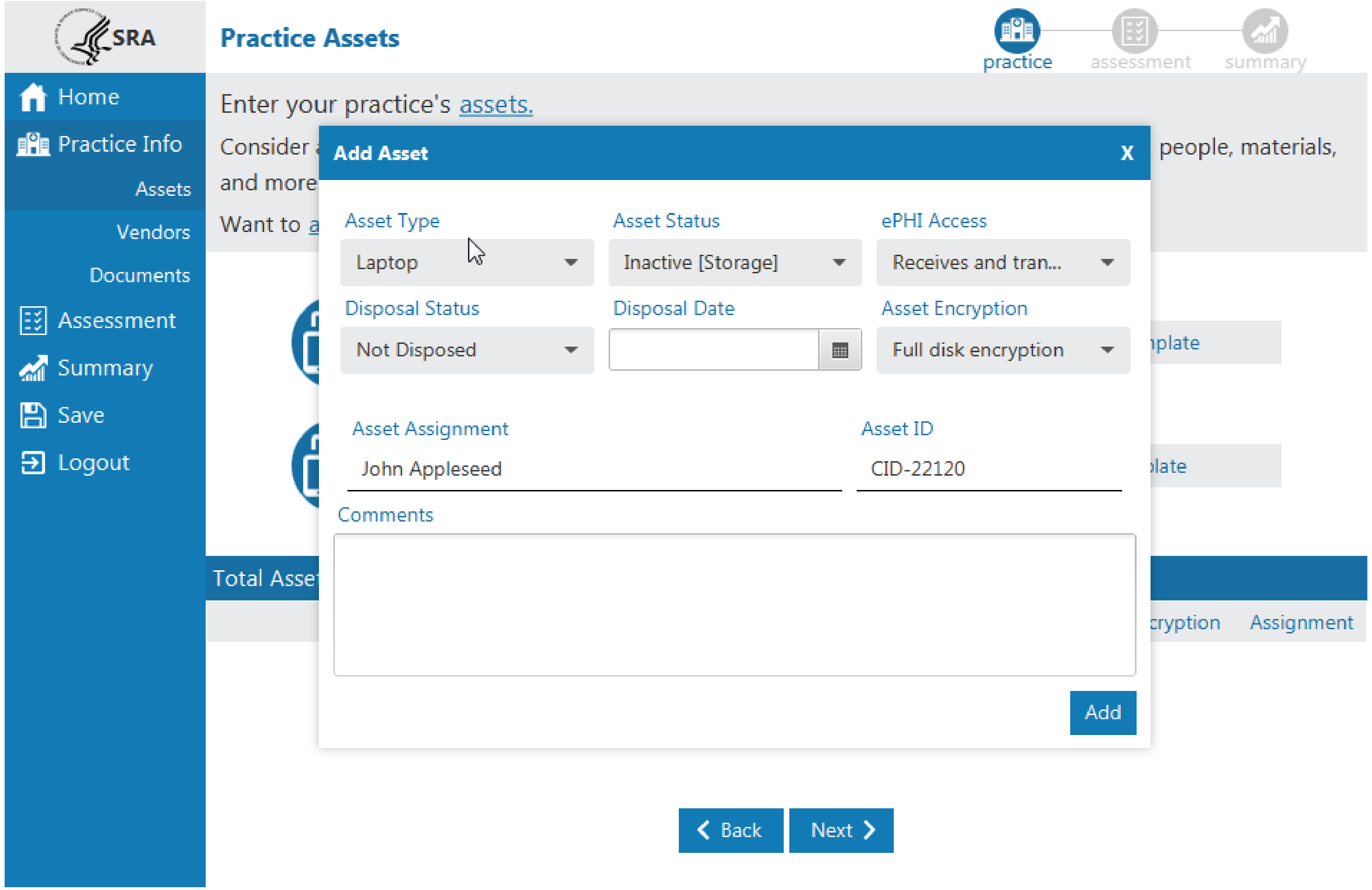



The Assets screen captures a list of IT assets within a practice – computers, diagnostic/imaging equipment, network infrastructure, etc…

Assets can be entered one at a time, or imported in a list from a CSV file by using the Asset Template.

Asset information can be exported from the SRA tool.

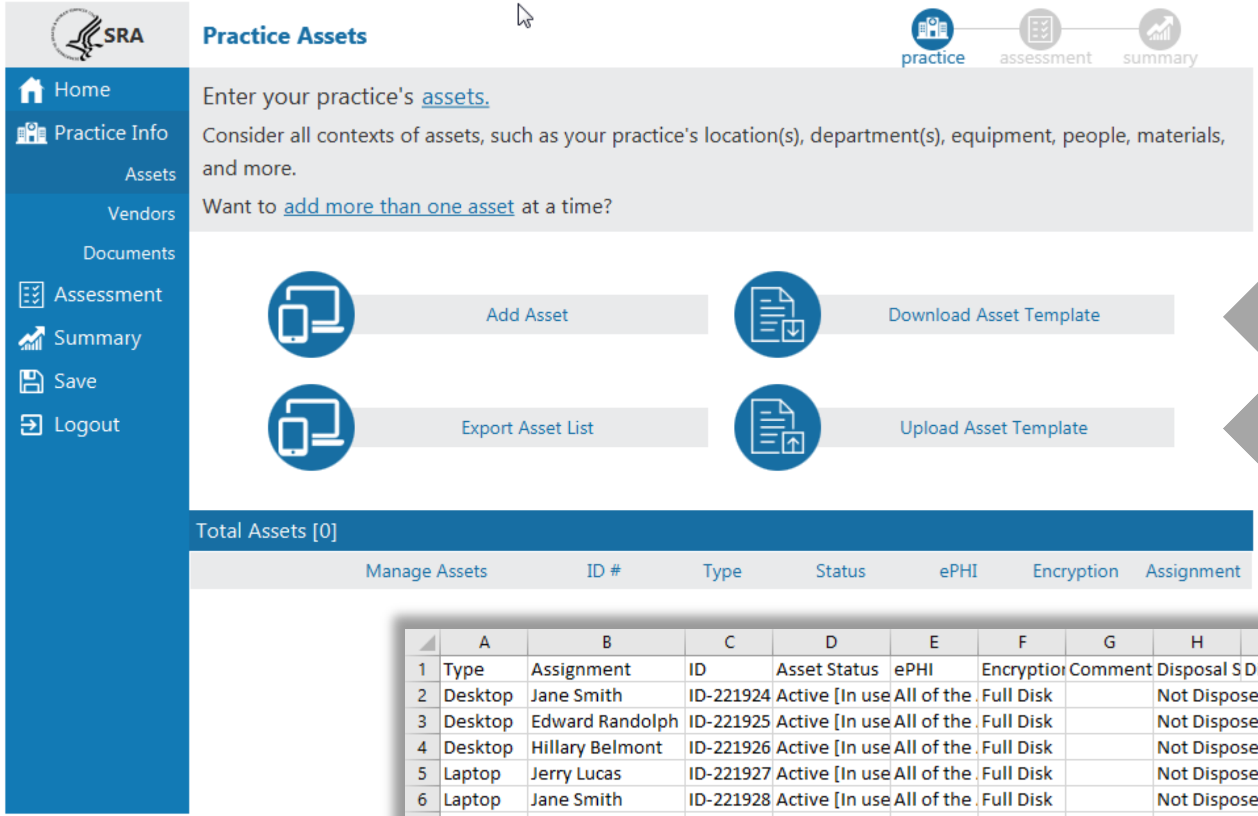
# Practice Assets – Adding an Asset




<u>Available Fields</u>

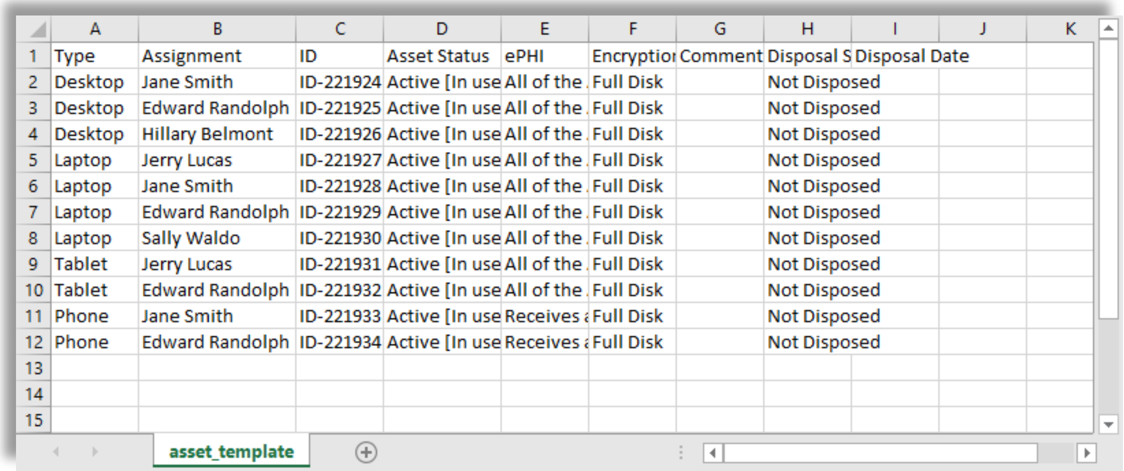
- Asset Type
- Asset Status – active, inactive
- ePHI Access – does it access PHI?
- Disposal Status – if inactive, has it been properly wiped/disposed?
- Disposal Date – date asset was disposed
- Asset Encryption – type of encryption protection of data
- Asset Assignment – who is responsible for this asset?
- Asset ID – asset tag or internal identifier
- Comments

# Practice Assets – Adding Multiple Assets




Step 1: Download the Asset Template from the SRA Tool Assets section.

Step 3: Upload your completed asset information .csv file into the SRA Tool.



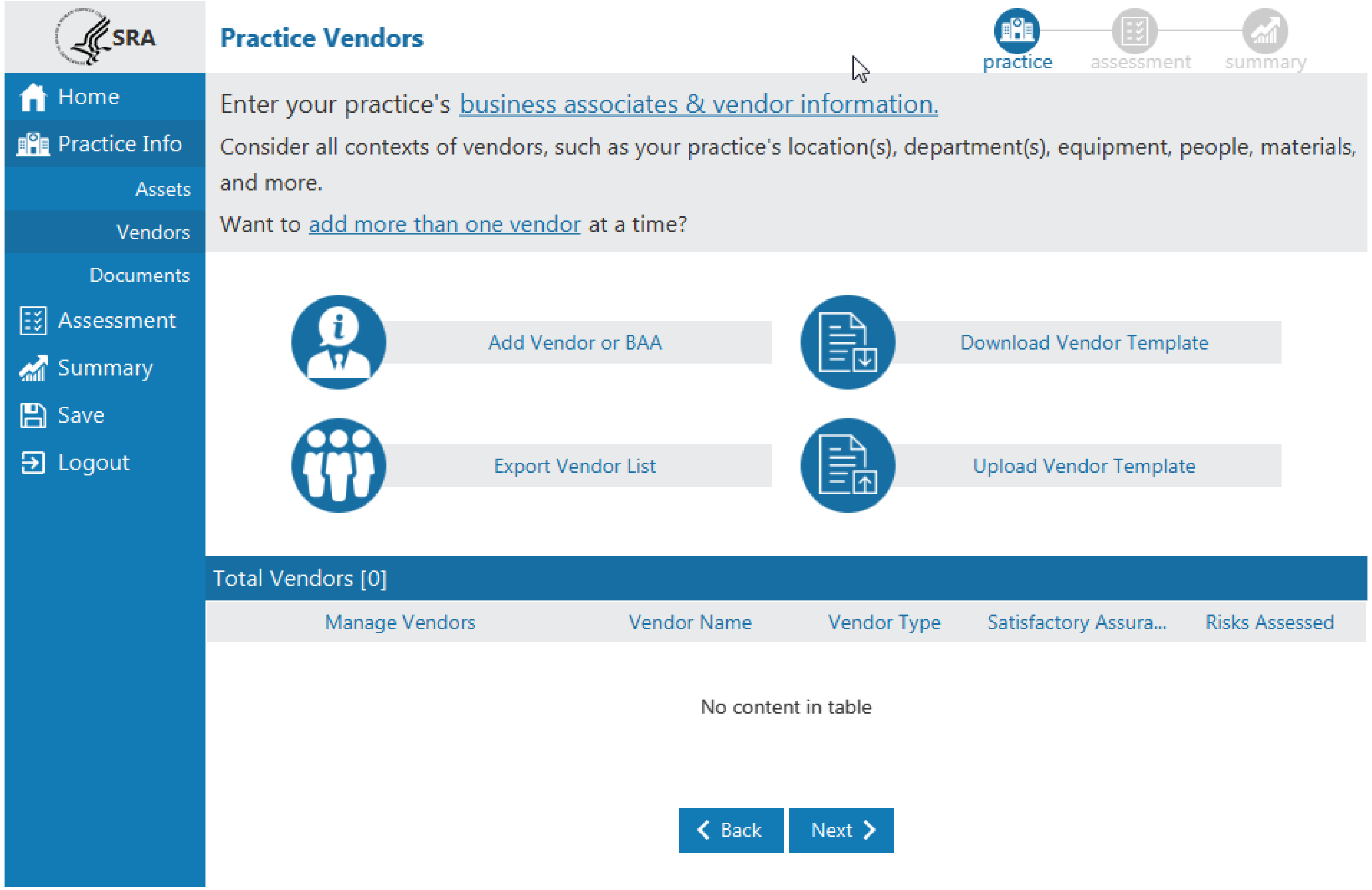
| | A | B | C | D | E | F | G | H | I | J | K |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Type | Assignment | ID | Asset Status | ePHI | Encryptio | Comment | Disposal S | Disposal Date | | |
| 2 | Desktop | Jane Smith | ID-221924 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 3 | Desktop | Edward Randolph | ID-221925 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 4 | Desktop | Hillary Belmont | ID-221926 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 5 | Laptop | Jerry Lucas | ID-221927 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 6 | Laptop | Jane Smith | ID-221928 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 7 | Laptop | Edward Randolph | ID-221929 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 8 | Laptop | Sally Waldo | ID-221930 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 9 | Tablet | Jerry Lucas | ID-221931 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 10 | Tablet | Edward Randolph | ID-221932 | Active [In use | All of the | Full Disk | | Not Disposed | | | |
| 11 | Phone | Jane Smith | ID-221933 | Active [In use | Receives a | Full Disk | | Not Disposed | | | |
| 12 | Phone | Edward Randolph | ID-221934 | Active [In use | Receives a | Full Disk | | Not Disposed | | | |
| 13 | | | | | | | | | | | |
| 14 | | | | | | | | | | | |
| 15 | | | | | | | | | | | |

asset_template

Step 2: Enter your organization's asset information into the template (keeping the template format and the .csv file format)

Save the file once complete.

# Tracking Practice Vendors

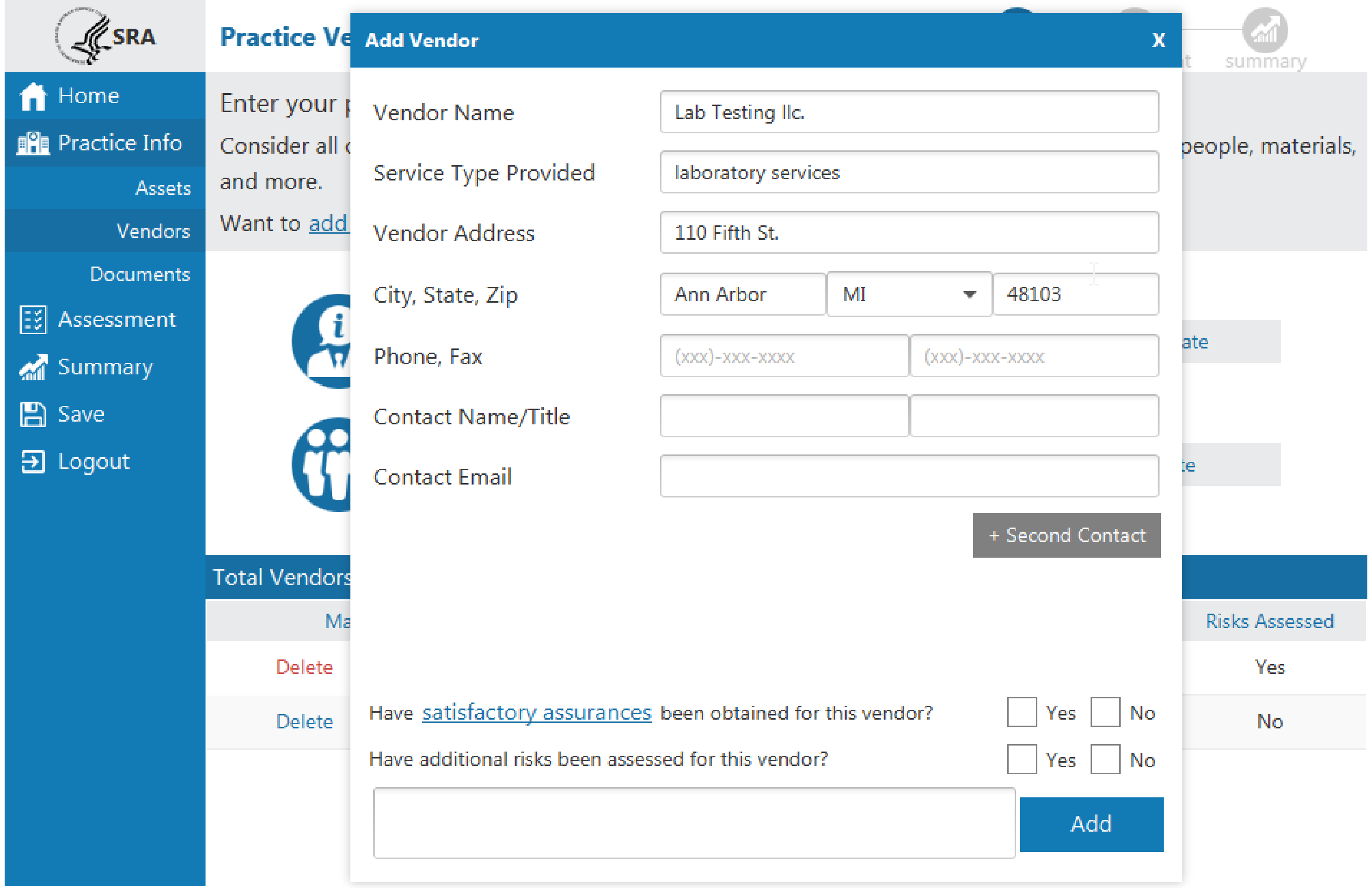



The Practice Vendors screen captures a list of vendors, business associates, or third parties a practice may do business with.

Vendor information can be entered one at a time, or imported in a list from a CSV file using the Vendor Template.

Vendor information can also be exported from the tool.

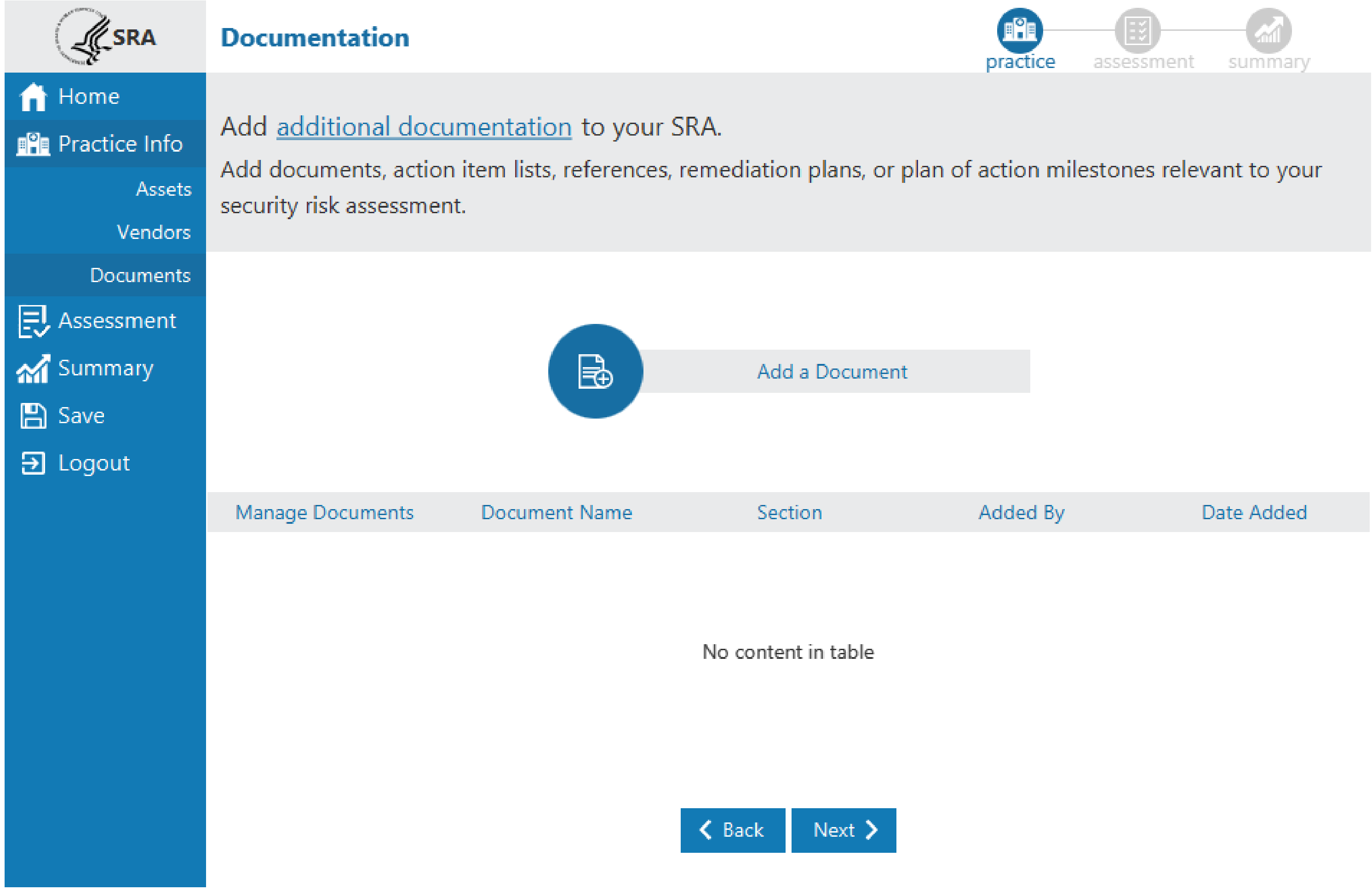
# Practice Vendors – Adding Vendor Info




Available Fields

- Vendor Name
- Service Type Provided
- Vendor Address
- City, State, Zip
- Phone, Fax
- Contact Name/Title
- Contact Email
- Satisfactory Assurances – contract that PHI will be protected
- Additional Risks Assessed
- + Second Contact – add another contact for the vendor

# Practice Documentation

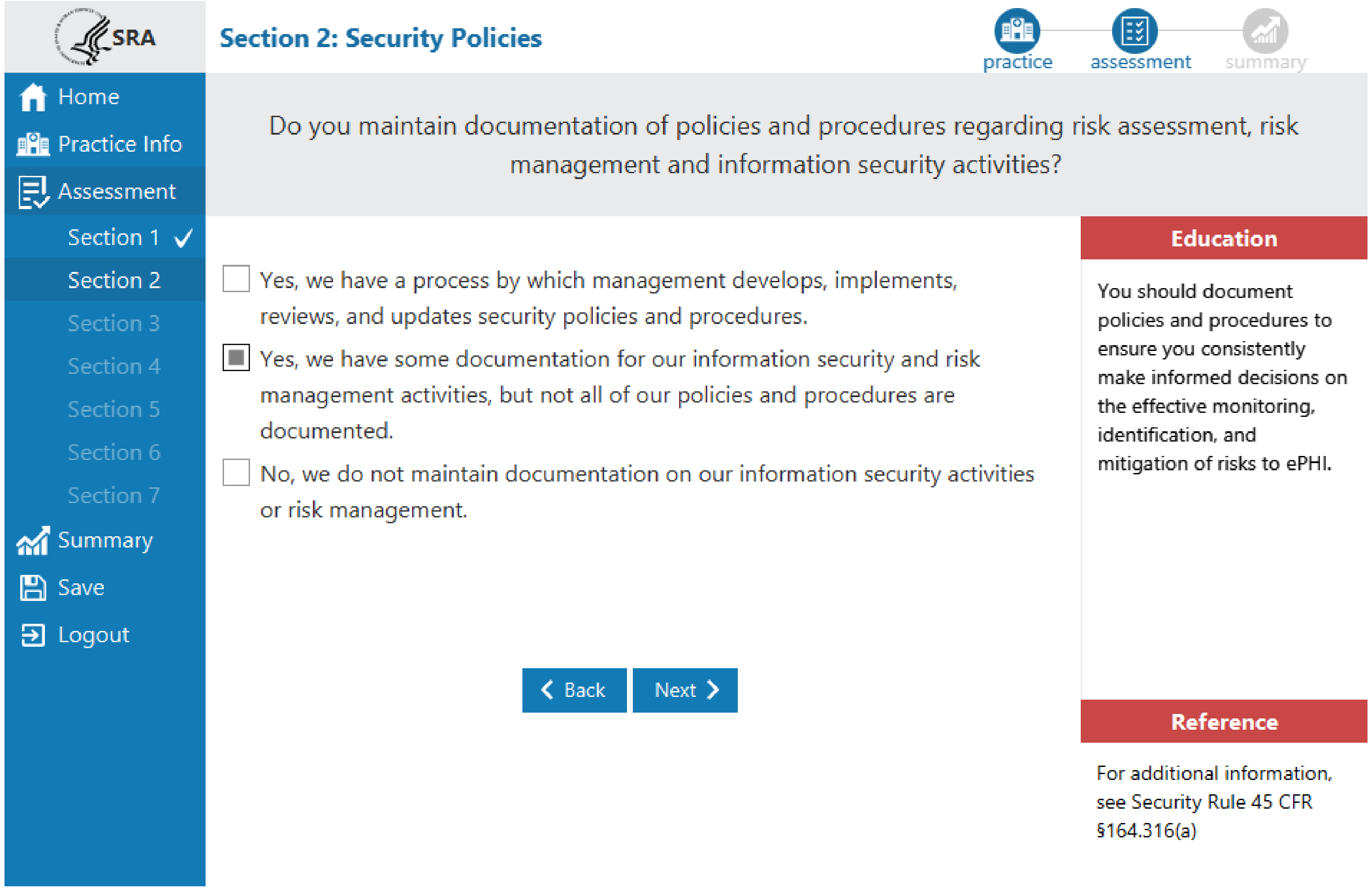



The Documentation screen allows users to link to supporting documentation for the assessment.

No documents will be imported and saved into the tool, these are simply links to documents stored locally or on a local network to demonstrate accuracy and thoroughness of your responses.

Documents that have been added from the section summary screens (within the assessment) also display here.

# Assessment



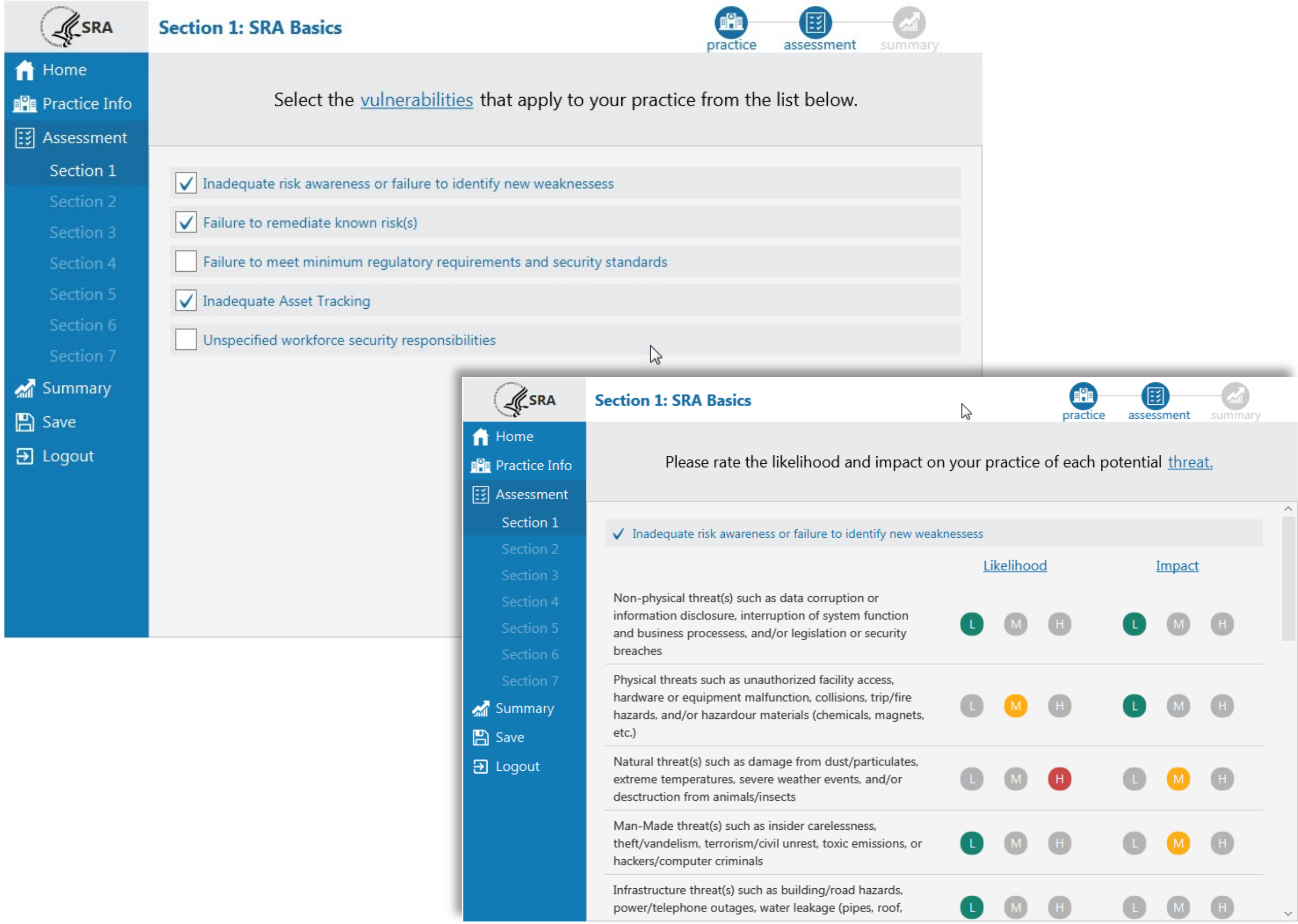

The Assessment section contains 7 sections with multiple-choice questions and branching logic.

The Education panel provides guidance related to each response given.

The Reference panel links each question to a HIPAA Security Rule citation.

Progress indicators are provided in the navigation panel as sections are completed.

# Rating Threats & Vulnerabilities

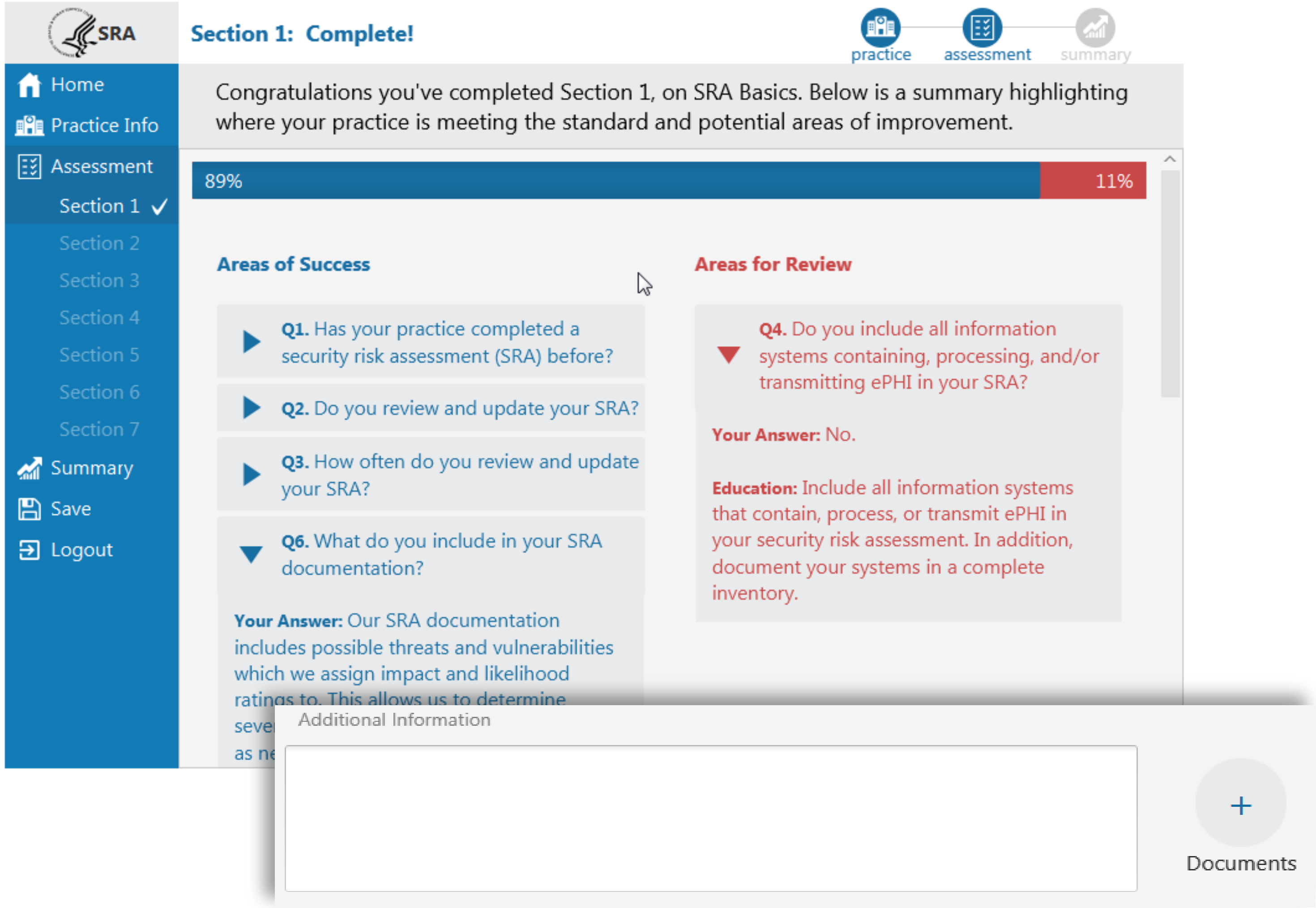



The Vulnerability Selection and Threat Rating section is presented after each section of multiple-choice questions.

Users are asked to select from a list of vulnerabilities that may be applicable to their practice.

Each vulnerability comes with a list of related threats that must be rated for the likelihood they may occur and the impact they would have should they occur.

# Assessment Section Review




Each section is concluded with a Section Summary. The Section Summary shows each of the questions answered, responses, and education content.

Questions are divided into Areas of Success and Areas for Review. Questions sorted into Areas of Success are those which represent the highest level of compliance. Areas for Review represent responses that could use improvement.

Users can enter **Additional Information** specific to each assessment section and add/link relevant documents necessary to demonstrate accuracy and thoroughness of responses.

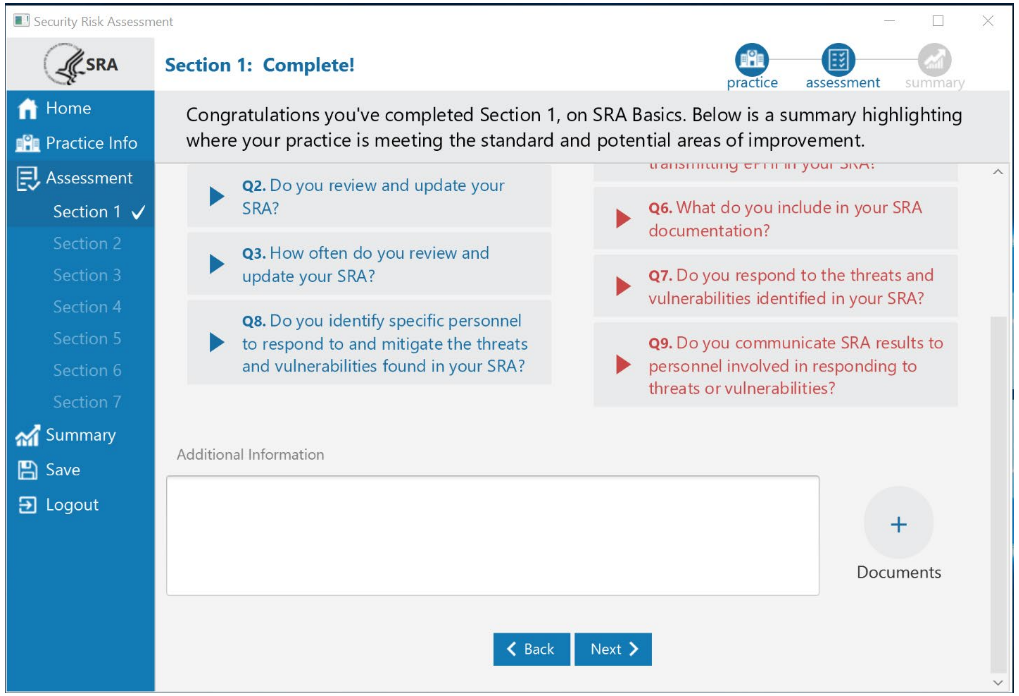
# Conducting a Thorough Assessment

The HIPAA Security Rule’s risk analysis requires an accurate and thorough assessment of the potential risks and vulnerabilities to all of the ePHI the organization creates, receives, maintains, or transmits.

- When responding to questions to identify and assess potential risks, organizations should consider how the questions apply throughout its entire enterprise.
- Organizations should take care that its responses reflect an accurate and thorough assessment of the questions presented, and are not merely a clerical exercise to produce a report.
- Responding to questions without considering how the questions apply throughout the organization may result in a risk analysis that is not accurate and thorough as required by the HIPAA Security Rule.

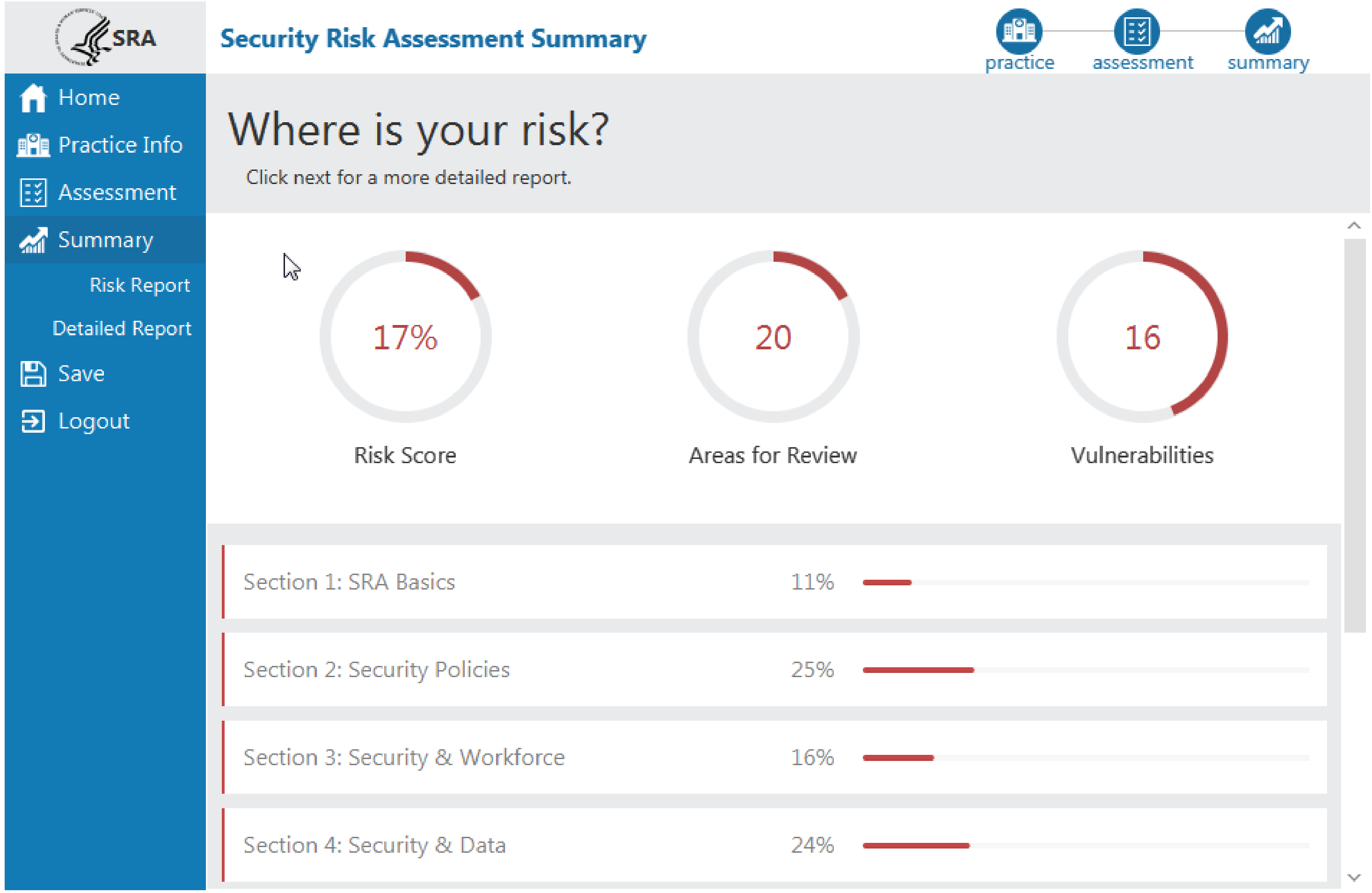
# Conducting a Thorough Assessment Continued

If potential risks to the confidentiality, integrity, and availability of an organization's ePHI are known to the organization, but unaccounted for by the SRA Tool, the organization should identify and assess these potential risks by either:




1. Documenting the potential risks in the most appropriate place within the tool.
2. Supplement the tool with additional documentation that includes the potential risks - supplemental documentation can be attached to the tool using the add document functionality.

# Summary Report




After all sections are complete, the Summary section becomes available.

The Summary Report is high level summary of your risk assessment.

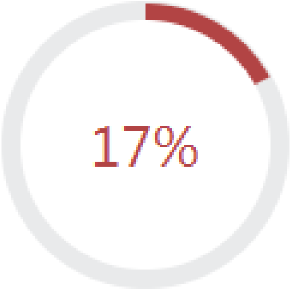
**Risk Score** – shows the number of questions sorted into Areas for Review divided by the total questions the user answered.

**Areas for Review** – shows the total number of questions answered sorted into Areas for Review.

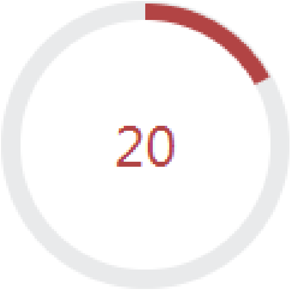
**Vulnerabilities** – shows the total number of vulnerabilities selected as applicable to the practice or organization.

Each assessment section's Risk Score is shown as a percentage.

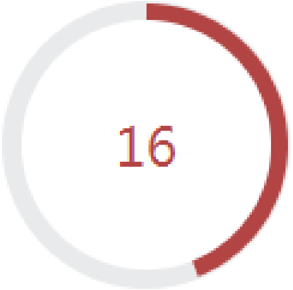
# Understanding the Summary Report Scoring




Risk Score




Areas for Review




Vulnerabilities

**Risk Score** – shows the number of questions sorted into Areas for Review divided by the total number of questions the user was *presented and answered.*

The assessment section includes branching logic, so depending on how each user answers each question, they may be presented with different subsequent questions.

**Areas for Review Score** – shows the total number of questions answered sorted into Areas for Review.

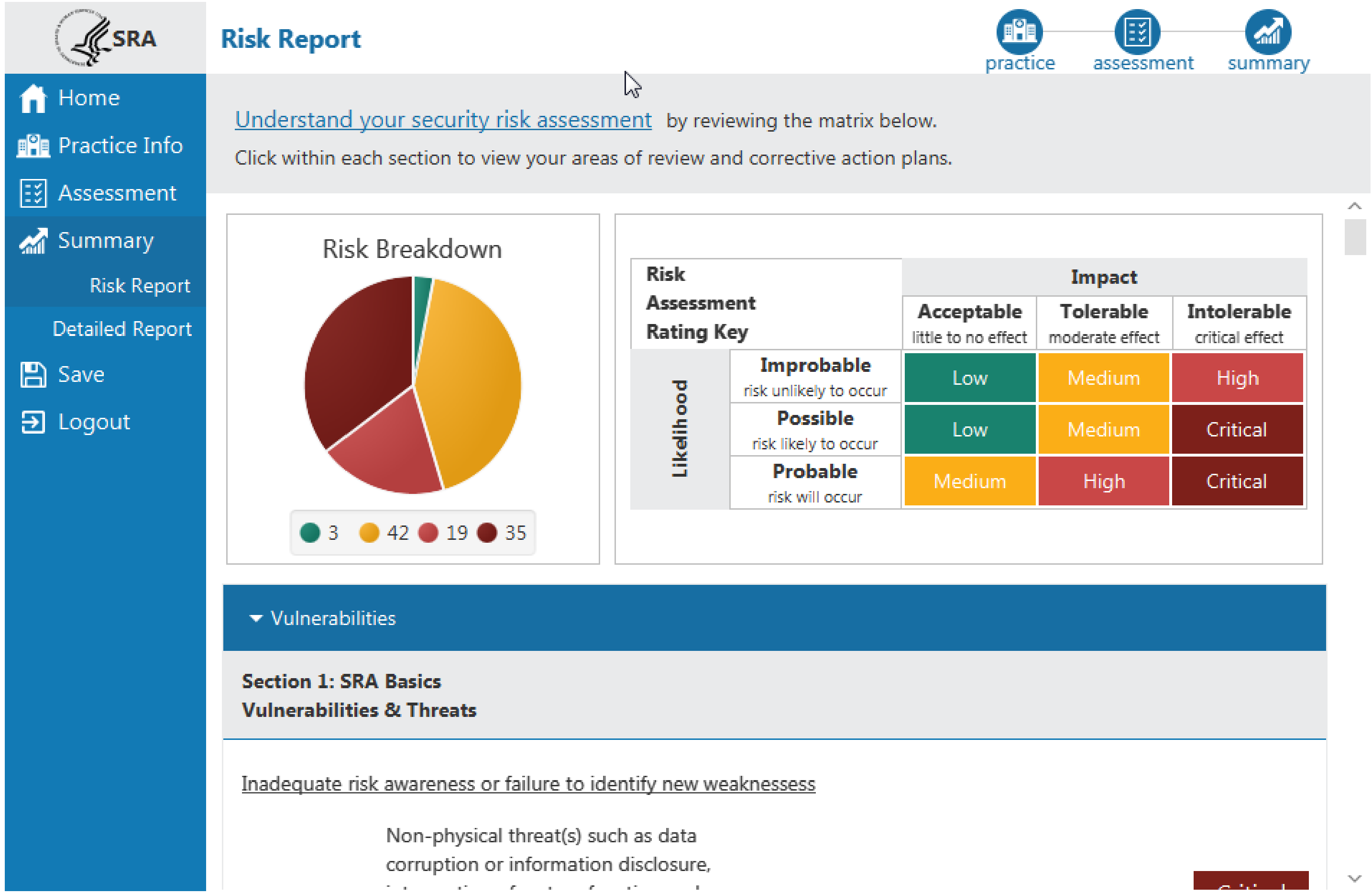
This is a count across all assessment sections and provides the total number of questions in Areas for Review.

**Vulnerabilities Score** – shows the total number of vulnerabilities selected as applicable to the practice or organization.

This is a count across all assessment sections and provides to the total number of vulnerabilities the user selected as applicable to their organization.

The SRA Tool provides scoring in terms of Risk, not Compliance.

# Risk Report



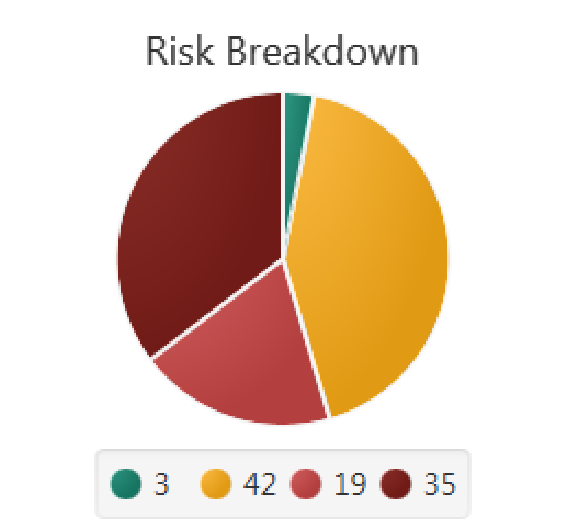

The Risk Report identifies all areas of risk collected across your entire assessment.

Each vulnerability selected is shown here along with each response that fell into the category Areas for Review.

Risk Breakdown – shows a sum of threat ratings in each risk level (Low, Medium, High, and Critical).

Risk Assessment Rating Key – shows how likelihood and impact ratings combined create the risk level.

# Understanding the Threats & Vulnerability Scoring



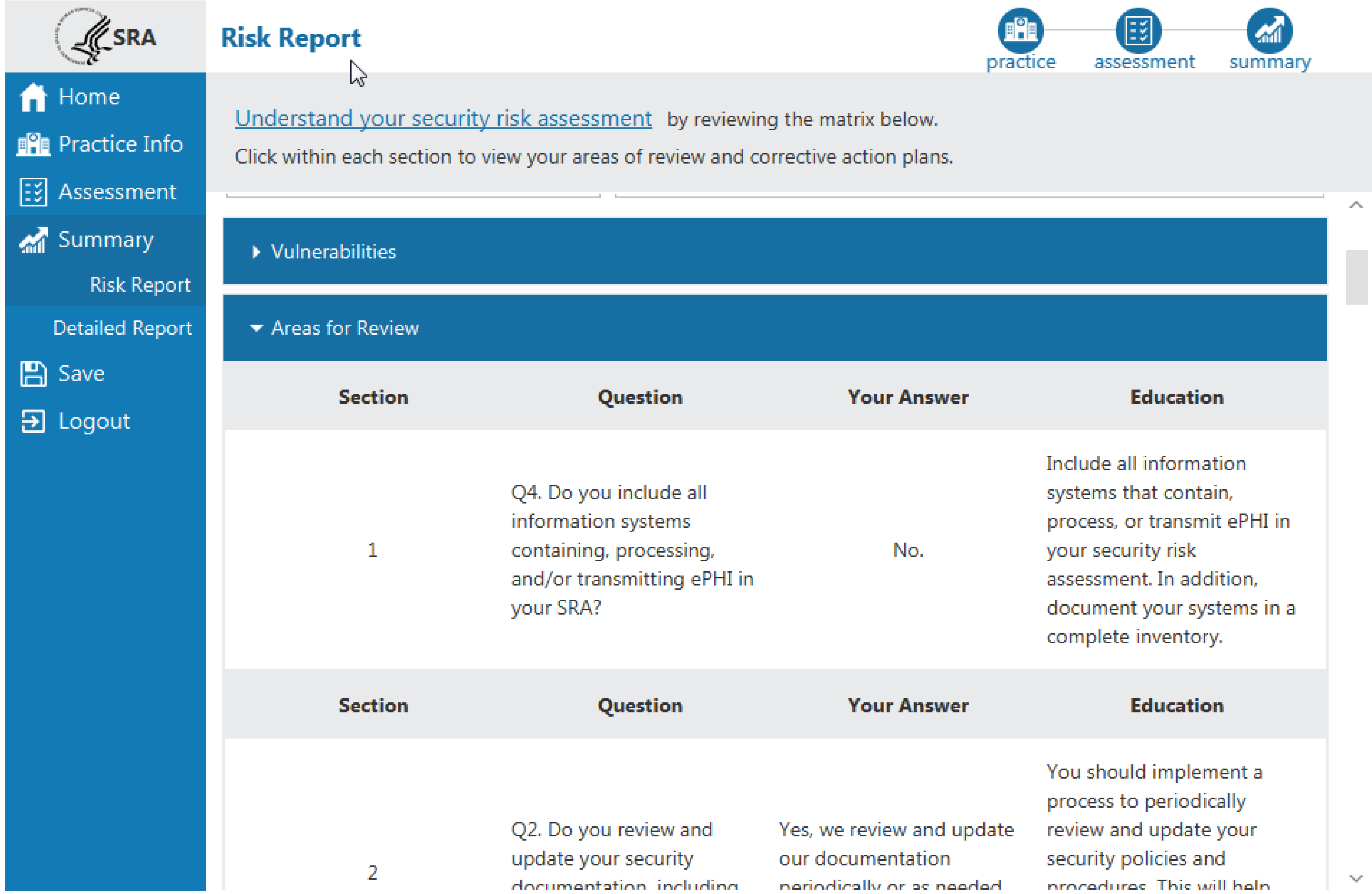

| Risk Assessment Rating Key | | Impact | | |
|---|---|---|---|---|
| | | **Acceptable** little to no effect | **Tolerable** moderate effect | **Intolerable** critical effect |
| **Likelihood** | **Improbable** risk unlikely to occur | Low | Medium | High |
| | **Possible** risk likely to occur | Low | Medium | Critical |
| | **Probable** risk will occur | Medium | High | Critical |

Threats & Vulnerabilities are categorized using a Risk Assessment Matrix as shown here. The Risk Breakdown pie chart shows a sum of threat ratings in each risk rating level (Low, Medium, High, and Critical).

During the assessment, each threat rated by the user in terms of likelihood and impact, is captured by the SRA Tool and provided risk rating level (Low, Medium, High, and Critical).

*For example, if a user selected a threat as having low likelihood, but high impact, the resulting risk level rating level would be High. The number of threats with a High risk rating level are then totaled and shown in the Risk Breakdown chart on the left.*

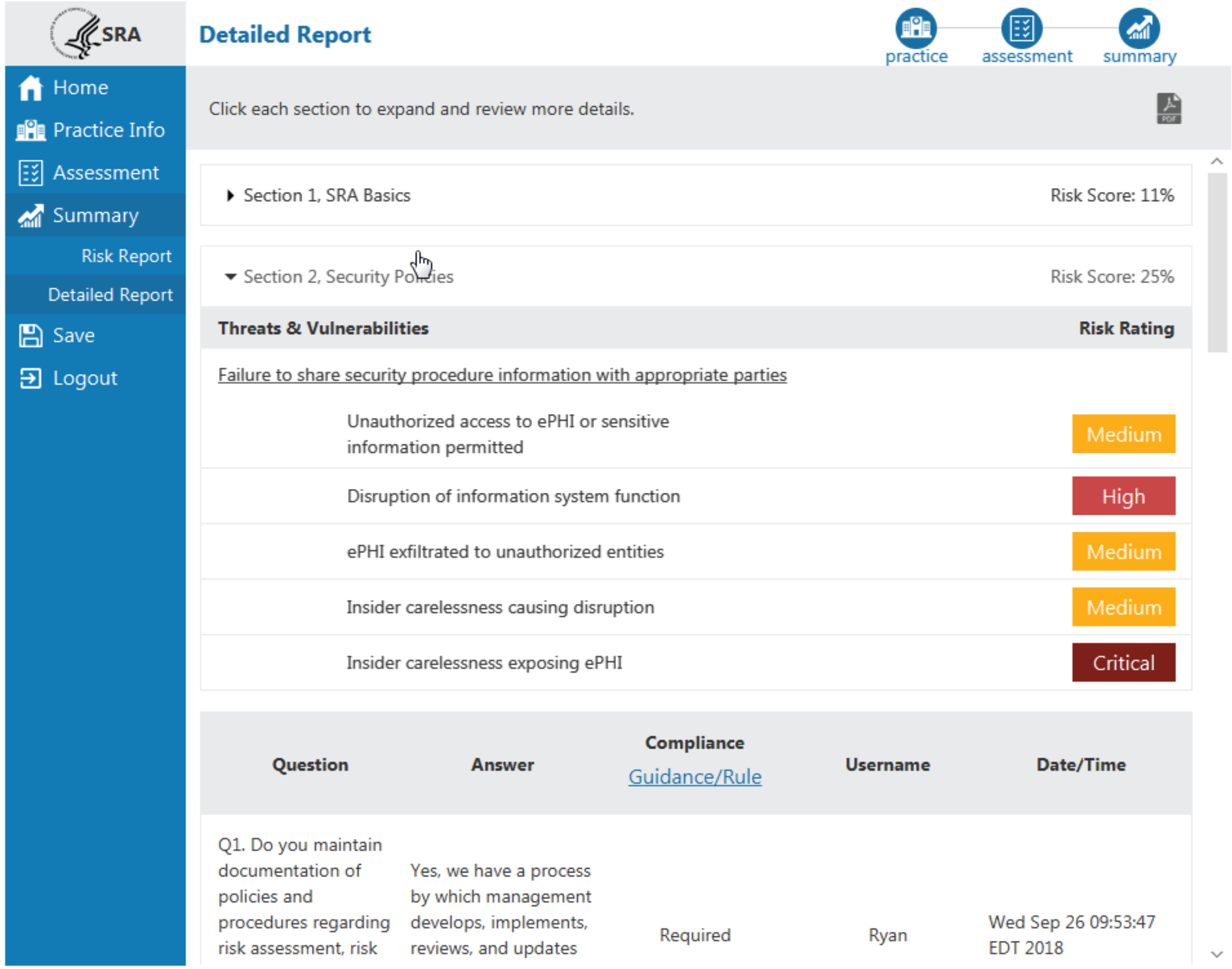
# Risk Report




The Risk Report displays the selected Vulnerabilities and Threat Ratings, as well as, all questions that were sorted into "Areas for Review".

Users can review the question, their answer, and the education guidance so they know how to improve their security and mitigate risk in that area.

# Detailed Report




The Detailed Report is a collection of all data captured throughout the entire assessment.

Each question and response, each threat and vulnerability rating, all of the Practice Information, Assets, and Vendor information is shown in the Detailed Report. There is also an audit log of each contributing user with a date/time stamp.

The PDF button near the top right corner of the screen allows the user to save the Detailed Report as a PDF.

# Upcoming SRA Tool Enhancements

- Version 3.0.1 (current version)
  - Security updates

- 3.1 (upcoming release)
  - Highlight missed threat and vulnerability ratings
  - Mechanism to select multiple and “delete all” assets and vendors
  - Adding NIST Cybersecurity Framework references to each question
  - Excel export of Detailed Report
  - “In Process” reporting functionality, question flagging (skip question)

Follow @ONC_HealthIT on Twitter to receive updates on the SRA Tool.

# Part Two: Call for User Feedback

- Submit feedback via the feedback form here
- Feedback can always be submitted to SRAHelpDesk@Altarum.org

# Assistance with the SRA Tool

Reference the SRA Tool User Guide and additional information.

Contact the SRA Tool Helpdesk:

Email: SRAHelpDesk@Altarum.org

Phone: 734-302-4717

Submit Questions through the HealthIT Feedback Form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