

Tips for Completing a Security Risk Analysis (SRA)

Program Year 2020

What is a security risk analysis (SRA)?

The security risk analysis (SRA) relates to objective 1 – Protect Patient Health Information. The objective of the measure is to ensure providers and practices are protecting electronic patient health information (ePHI) created or maintained by the CEHRT through the implementation of appropriate technical capabilities.

How do I conduct a SRA?

The SRA should be conducted or reviewed in accordance with the requirements under 45 CFR 164.308(a)(1), including addressing the security (including encryption) of data created or maintained by CEHRT in accordance with requirements under 45 CFR 164.312(a)(2)(iv) and 45 CFR 164.306(d)(3), implement security updates as necessary, and correct identified security deficiencies as part of the provider's risk management process.

What components should the SRA include?

The SRA should be conducted, reviewed, or updated on or after the end of the PI reporting period and no later than the end of the 2020 calendar year. The SRA should include the following components at a minimum:

- Physical, administrative and technical safeguards, including encryption, tailored to the size and complexity of the practice.
- An asset inventory that identifies where all ePHI is stored, received, maintained or transmitted (not limited to CEHRT).
- Identification of all potential threats and vulnerabilities to ePHI.
- Assessment of all current security measures.
- Assessment of the likelihood of all threat occurrences identified by the practice.
- Assessment of the potential impact of all threat occurrences identified by the practice.
- Assessment of the level of risk determined by analyzing the likelihood and impact of threat occurrence.
- Date when analysis was conducted reviewed or updated by the practice (month/day/year).
- An action plan (also referred to as mitigation and remediation plan) for addressing the identified threats to ePHI.

What are the best practices for SRA?

- Ensure the completed SRA is retained for a minimum of six years from the date of attestation.
- Ensure the SRA is for the correct period. If it was reviewed and no updates were made, retain documentation to show the date it was reviewed.
- If a third party completes the SRA, ensure it is tailored specifically to your practice.
- Ensure the SRA encompasses all aspects of the practice. Anything that handles ePHI should be included in the scope of the SRA.
- The SRA can be completed using several different methods. Ensure the format used includes all of the components listed above.

What are the most common mistakes related to the SRA?

- Not completing an SRA or properly documenting that the SRA was completed.
- Not retaining the SRA for the correct time period.
- SRA does not assess the risk level of the threats and vulnerabilities identified.
- SRA does not include an action plan addressing how the identified threats and vulnerabilities will be mitigated.
- SRA does not include an asset inventory.
- SRA only was completed based on the capabilities of the CEHRT and does not incorporate assets outside of the CEHRT which handle ePHI.
- Completion date of SRA not indicated (month/day/year) and SRA does not cover PI reporting period.

For more guidance on the security risk analysis, please refer to CMS or the Office of Civil Rights (OCR).

See the tip sheet provided by CMS located at: <https://www.cms.gov/files/document/medicaid-ep-2020-protect-patient-health-information-objective-1.pdf>

See SRA guidance provided by OCR located at:

<https://www.hhs.gov/sites/default/files/ocr/privacy/hipaa/administrative/securityrule/rafinalguidancepdf.pdf>