



# Security Risk Assessment Tool v3.2

## User Guide

### **DISCLAIMER**

The Security Risk Assessment Tool at HealthIT.gov is provided for informational purposes only. Use of this tool is neither required by nor guarantees compliance with federal, state or local laws. Please note that the information presented may not be applicable or appropriate for all health care providers and professionals. The Security Risk Assessment Tool is not intended to be an exhaustive or definitive source on safeguarding health information from privacy and security risks. For more information about the HIPAA Privacy and Security Rules, please visit the HHS Office for Civil Rights (OCR) Health Information Privacy website at: [www.hhs.gov/ocr/privacy/hipaa/understanding/index.html](http://www.hhs.gov/ocr/privacy/hipaa/understanding/index.html)

NOTE: The NIST Standards provided in this tool are for informational purposes only as they may reflect current best practices in information technology and are not required for compliance with the HIPAA Security Rule's requirements for risk assessment and risk management. This tool is not intended to serve as legal advice or as recommendations based on a provider or professional's specific circumstances. We encourage providers, and professionals to seek expert advice when evaluating the use of this tool.

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## WHAT'S NEW IN VERSION 3.2

SRA Tool version 3.2 includes a variety of new enhancements and bug fixes based on user feedback from previous versions.

- ▲ New features and updates to SRA Tool Version 3.2 include:
  - Flexible section navigation
  - Improved UI scaling
  - Risk Report export
  - Section Summary export
  - Addition of “Details” field to each question
  - Preventative measures for file corruption/file recovery system
  - “Save As” functionality

## BACKGROUND

Welcome to the Security Risk Assessment Tool 3.2 (SRA Tool), designed to help covered entities and business associates that handle patient information to identify and assess risks and vulnerabilities to the confidentiality, integrity, and availability of protected health information (PHI) in their environment. The HIPAA Security Rule requires health care providers, health plans and business associates to conduct risk analyses and implement technical, physical and administrative safeguards to protect Electronic Protected Health Information (ePHI). The Office for the National Coordinator for Health IT worked together with the Office for Civil Rights, which enforces the HIPAA Security Rule, to develop this tool to assist providers and business associates with meeting their responsibility to protect ePHI.

The tool is designed to help small to medium sized covered entities and business associates conduct and document risk assessments as part of their security management process, although healthcare providers of any size may use it. Through use of the SRA tool organizations can assess and document the information security risks to ePHI in their organizations.

We hope you find this tool helpful as you work towards improving the privacy protections and security of your organization and its compliance with the HIPAA Security Rule's risk analysis requirement. Please remember that this is only a tool to assist an organization with its review and documentation of its risk assessment, and therefore it is only as useful as the work that goes into performing and recording the risk assessment process. Once you have assessed your security risks using the tool, you may need to take appropriate steps to remediate any areas found wanting. Use of this tool does not mean that your organization is compliant with the HIPAA Security Rule or other federal, state or local laws and regulations. It does, however, help you comply with the HIPAA Security Rule requirement to conduct periodic security risk assessments.

## SRA Tool Overview

**Note: *The SRA Tool runs on your computer. It does not transmit information to the Department of Health and Human Services, The Office of the National Coordinator for Health IT, or The Office for Civil Rights.***

The SRA tool is hosted on ONC's website HealthIT.gov. The SRA tool is a Windows based application that can be installed locally on an end user's computer. With a wizard-based workflow and section summary reporting, end users receive feedback and progress indicators as they work through the security risk assessment for their organization. It contains functionality to support multiple user accounts and a collaborative file sharing feature. In addition, it allows organizations to track assets, current encryption levels for assets, business associates, and associated satisfactory assurances or risks pertaining those businesses. All user entered data is saved locally in a secure format (only accessible for decryption by the SRA Tool application).

The SRA Tool is a software application available for download from the ONC's HealthIT.gov website. It is available at no cost and can be used with Windows 7/8/9/10 operating systems. The SRA Tool installs to the Program Files

directory [Administrator privileges are required to install]. Legacy (SRA Tool 2.0) versions are also available for download. The legacy iOS SRA Tool application for iPad can be downloaded from the Apple App Store.

## What to expect with the SRA tool

The SRA Tool guides covered entities and business associates through a series of questions based on the standards and implementation specifications identified in the HIPAA Security Rule and covers basic security practices, security failures, risk management, and personnel issues. There are currently 7 sections of content covering these areas:

- 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 and 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 sources of information used to support the development of the SRA Tool questionnaires include the following:

- HIPAA Security Rule
- National Institute of Standards and Technology (NIST) Special Publication 800-66
- NIST Special Publication 800-53
- NIST Special Publication 800-53A
- Health Information Technology for Economic and Clinical Health (HITECH) Act
- NIST Cybersecurity Framework

The SRA Tool takes you through each section by presenting a question about your organization's activities. Your answers will show you if you should take corrective action for that particular item or continue with your current security activities. If corrective action is suggested, the tool provides guidance on the related HIPAA Rule requirement or security reference and suggestions on how to improve. Following each assessment section, the tool prompts you to select applicable vulnerabilities and rate associated threats in terms of likelihood and impact to determine your risk level. The tool also provides section summaries with your results for each subset of questions.

The SRA Tool provides resources to help users...

- Understand the context of the question
- Consider the potential impacts to ePHI in your environment
- Identify relevant security references (e.g., the HIPAA Security Rule)

You can document your answers, comments, and risk remediation plans directly into the SRA Tool. **The tool serves as your local repository for the information.** Organizations can also attach supporting documentation of



activities taken during the risk assessment process - for example, activities demonstrating how technical vulnerabilities are identified.

The HIPAA Security Rule's risk analysis requires an accurate and thorough assessment of the potential risks and vulnerabilities to all of an organization's ePHI, including ePHI on all forms of electronic media. If, after completing all of the questions in the SRA Tool, threats and vulnerabilities are known but are unaccounted for in the SRA Tool (i.e., a particular threat or vulnerability was not listed in the tool or the questions were not relevant to a risk area specific and known to the organization), the organization must either 1) document the unaccounted threats and vulnerabilities and assess the risks posed to ePHI in the most appropriate place within the SRA Tool, or 2) document the unaccounted threats and vulnerabilities and assess the risks posed to ePHI as part of a separate document to supplement the SRA Tool. Such documentation can be attached to the tool using the tool's the add document functionality.

Completing a risk assessment requires a time investment. At any time during the risk assessment process, you can pause to view your current results. The results are available in a color-coded graphic view and printable format.

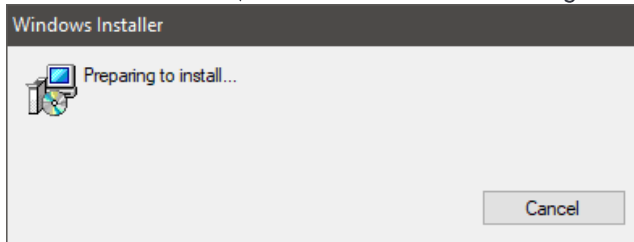
***Need Help? Please leave any questions, comments, or feedback about the SRA Tool using our Health IT Feedback Form. This includes any trouble in using the tool or problems/bugs with the application itself. Also, please feel free to leave any suggestions on how we could improve the tool in the future. \*Persons using assistive technology may not be able to fully access information in this file. For assistance, contact ONC at [PrivacyAndSecurity@hhs.gov](mailto:PrivacyAndSecurity@hhs.gov).***

## End User Hardware Requirements

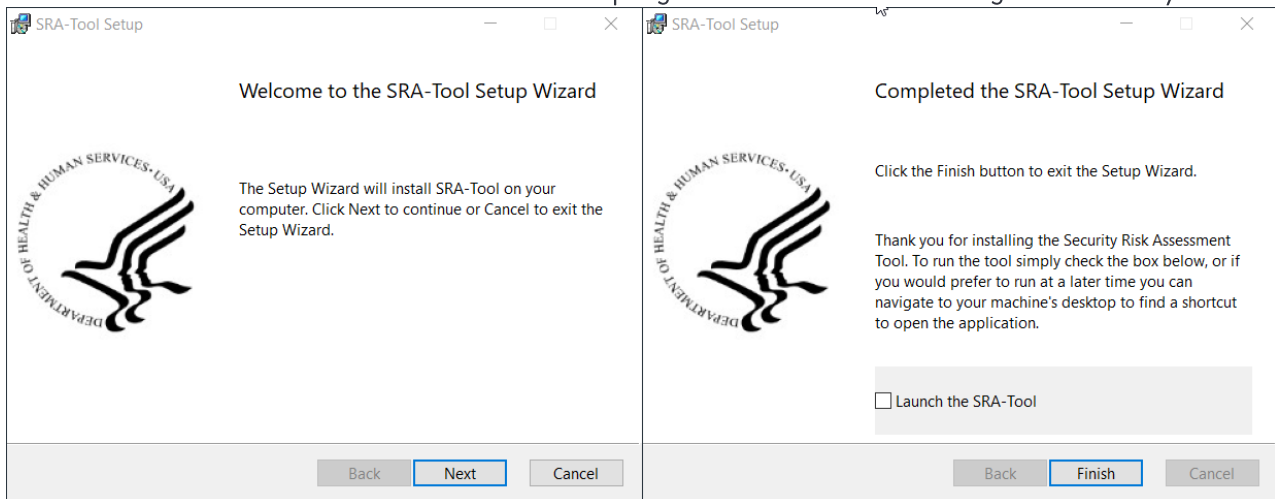
- Windows 7/8/10
- 2 GHz Pentium processor
- 2 GB RAM
- System type: 64-bit Operation System
- 1024 x768 screen resolution or better

## Download Instructions

- Download the tool from the HealthIT.gov website
  - <https://www.healthit.gov/topic/privacy-security-and-hipaa/security-risk-assessment>
- Once downloaded, run the executable to begin installation to your computer.



- You will see a status indicator of the installation progress while the tool is being installed on your machine.

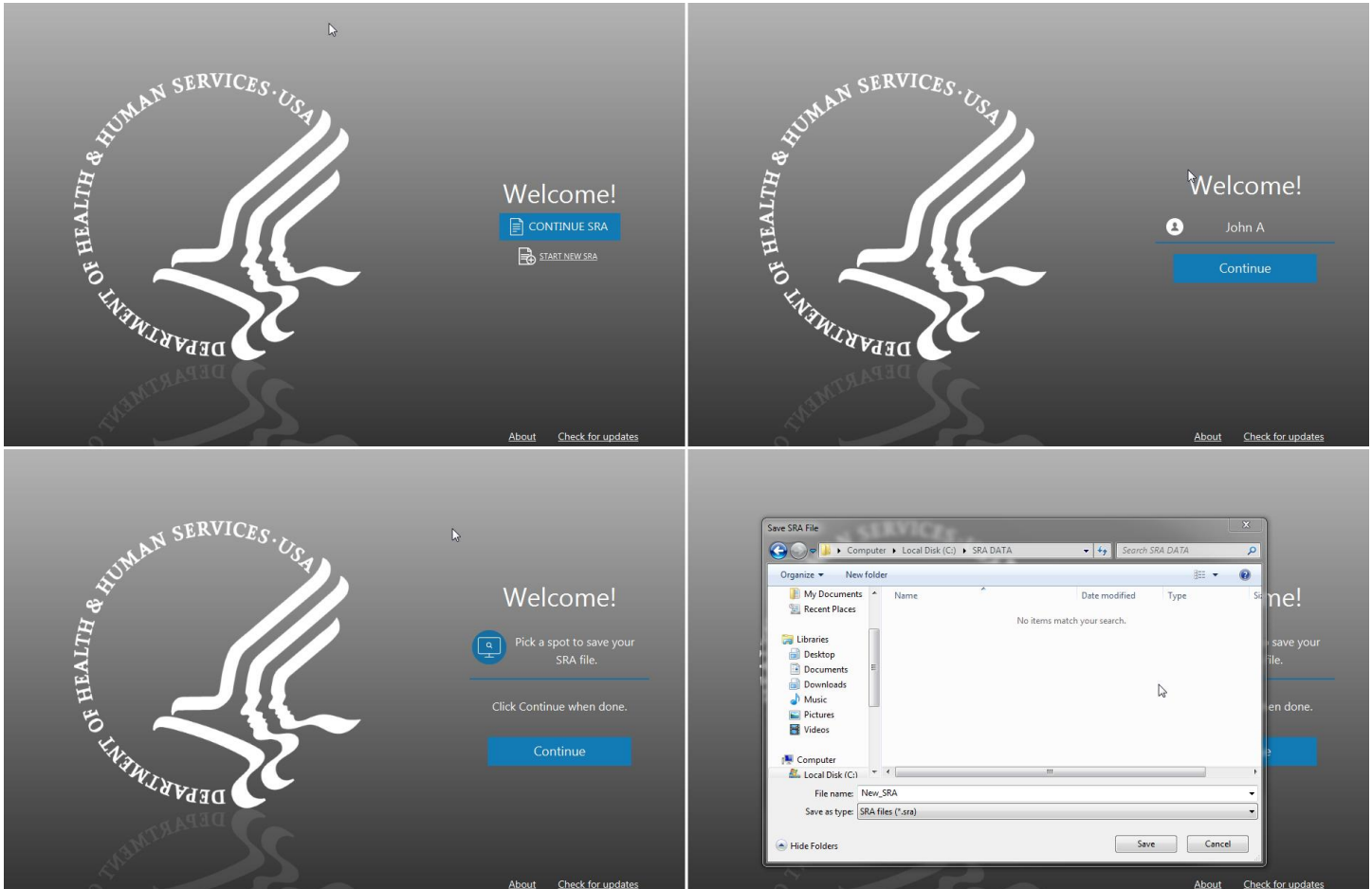


- When installation is complete, click “Finish” in the installation setup wizard.
- Then locate and double click the SRA-Tool icon on your desktop to begin using the tool.

**Note:** The SRA Tool v3.2 installs to the Program Files directory which requires Administrative privileges. If you are having difficulty completing the installation of the tool, you may need to check with your Administrator. Some anti-virus software may block the installation (creating a false positive), if this occurs review your anti-virus settings or quarantine folder.

## USING THE TOOL

### Starting a New Assessment

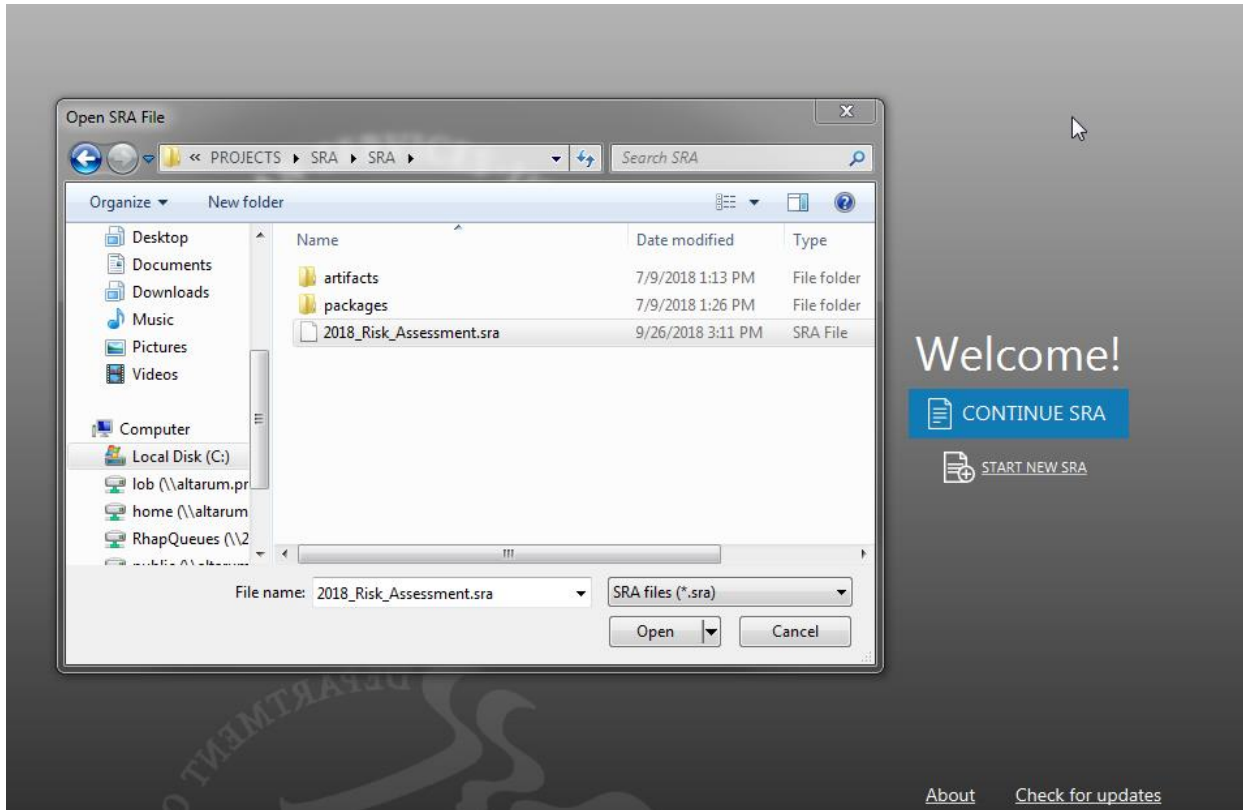


To start a new assessment, the SRA Tool must be downloaded and installed on a compatible Microsoft Windows operating system. The first steps to starting a new assessment are entering a user name of your choosing, creating a file name for your SRA, and selecting a location to save your SRA file.

1. Select “START NEW SRA”.
2. Enter a user name. Click “Continue”.  
This can be simply a first name, first and last, initials, or anything else to distinguish the current user from any other parties intending to contribute to the risk assessment.
3. Select “Pick a spot to save your SRA file.” This launches a system file browser.  
In order to begin a new assessment and save progress, a location and file name for the .SRA file must be selected.
4. Choose a location and file name for the assessment, click “Save” when finished. Click “Continue” to move forward.



## Continuing an Assessment



To continue an assessment that is in progress:

1. Launch SRA Tool.
2. Select "Continue SRA"
3. Navigate to location with saved .sra file (note that you cannot open SRA tool 2.0 files with SRA 3.2 except for bulk uploads of asset and vendor information)
4. Select the previously saved assessment and click "Open"
5. Select existing user or create new user.
6. Continue assessment.

## Saving Assessment Progress

The screenshot displays the SRA tool interface. At the top, the SRA logo is on the left, and the title "Section 2: Security Policies" is in the center. On the right, there are three icons: "practice", "assessment", and "summary". Below the title bar is a navigation menu on the left with options: Home, Practice Info, Assessment, Section 1 (checked), Section 2 (checked), Section 3 (checked), Section 4 (checked), Section 5 (checked), Section 6 (checked), Section 7 (checked), Summary, Save, Save As, and Logout. The main content area shows a question: "Q1. Do you maintain documentation of policies and procedures regarding risk assessment, risk management and information security activities?". There are four radio button options: "Yes, we have a process by which management develops, implements, reviews, and updates security policies and procedures.", "Yes, we have some documentation for our information security and risk management activities, but not all of our policies and procedures are documented.", "No, we do not maintain documentation on our information security activities or risk management.", and "Flag this question for later.". To the right of the question are two red boxes: "Education" with the text "You should document policies and procedures to ensure you consistently make informed decisions on the effective monitoring, identification, and mitigation of risks to ePHI." and "Reference" with the text "HIPAA: §164.316(a)" and "NIST CSF: ID.GV, ID.RA, PR.IP". Below the question is a "Details:" section with a text area containing the text "The details field can be expanded and used to collect relevant and supporting information about the related question/response.". At the bottom of the question area are two buttons: "< Back" and "Next >".

Assessment progress can be saved at any time by clicking the Save button on the left navigation menu. Progress will be saved to the location the file was opened from. The tool will also ask you to save your assessment before exiting.

**Save As** allows the user to create another copy of their assessment under a different name or in a different location.

## Add Practice Information

**SRA** Practice Information

practice assessment summary

Home  
Practice Info  
Assets  
Vendors  
Documents  
Assessment  
Summary  
Save  
Save As  
Logout

Add your [practice information](#) to your security risk assessment.  
Consider all contexts of your organization's operations, such as various location(s), department(s), people, and more. Select '+ another location' if you have more than one location.

Practice Name: Family Health center

Address: 123 N. Main St.

City, State, Zip: Ann Arbor MI 48103

Phone, Fax: 734-000-0000 (xxx)-xxx-xxxx

Point of Contact: Anne Smith

Title/Role: Office Administrator

Phone: (xxx)-xxx-xxxx

Email:

Delete Submit

+ another location

< Back Next >

The SRA Tool provides a method to store practice information. Practice information is stored with assessment data and can be accessed by loading an SRA file and navigating to the Practice Info screen or by viewing the Detailed Report once the assessment is completed.

1. Enter information related to the practice. Select “**Submit**” after each practice information section is completed.
2. Multiple practice locations can be added by clicking “+ another location” After doing so, a new Practice Information section will appear. There is no limit on the amount of practices that can be added.
3. The “**Delete**” button can be used to remove any practice that is no longer needed. A prompt will appear directing the user to confirm the deletion of the selected practice.

## Add/Edit Asset Information

The left screenshot shows the 'Practice Assets' page. It features a navigation menu on the left with options like Home, Practice Info, Assets, Vendors, Documents, Assessment, Summary, Save, Save As, and Logout. The main content area has a header with the text 'Enter your organization's assets. Consider all contexts of assets, such as your organization's location(s), department(s), equipment, people, materials, and more. Want to add more than one asset at a time?' Below this are four buttons: 'Add Asset', 'Download Asset Template', 'Export Asset List', and 'Upload Asset Template'. At the bottom, there is a table titled 'Total Assets [2]' with columns for Risk, Manage Assets, ID #, Type, Status, ePHI, Encryption, Assignment, and Location. The table contains two rows of data.

The right screenshot shows the 'Edit Asset' dialog box. It has a close button (X) in the top right corner. The dialog contains several fields: 'Asset Type' (Laptop), 'Asset Status' (Active [In-use and...]), 'ePHI Access' (Creates ePHI), 'Disposal Status' (Not Disposed), 'Disposal Date' (empty), 'Asset Encryption' (Full disk encryption), 'Asset Assignment' (John Appleseed), 'Asset Location' (Room 1), and 'Asset ID' (1244556). There is also a 'Comments' section with a text area and an 'Update' button at the bottom right.

The SRA Tool provides a method to track IT assets at a practice(s). Assets are stored with the assessment data and can be accessed by loading SRA file in the SRA Tool and viewing the Practice Assets screen or by viewing the Detailed Report after an assessment has been completed.

1. Select the “**Add Asset**” button from the Practice Assets Page. This page can be navigated to by pressing “**Next**” after Practice Info, or selecting “**Assets**” under the Practice Info item in the left navigation menu.
2. Enter information related to the asset:
  - a. **Asset Type**
  - b. **Asset Status** – is the asset currently in use?
  - c. **ePHI Access** – how does the asset interact with protected health information (PHI)
  - d. **Disposal Status** – If the device is no longer in use, was it disposed of?
  - e. **Disposal Date**
  - f. **Asset Encryption**
  - g. **Asset Assignment** – who, if anyone, is responsible for the asset?
  - h. **Asset Location** – where is the asset physically located?
  - i. **Asset ID** – any internal identification system used to uniquely identify the asset.
3. Select “**Add**” to add the asset. The asset will appear in the table at the bottom of the screen.
4. Selecting the “**X**” in the top right corner of the asset window will cancel the operation.
5. Previously entered asset information can be edited by selecting “**Edit**” next to an asset in the table at the bottom of the Practice Assets screen. The Edit Asset window will appear and behave similarly to the Add Asset window. Selecting “**Update**” at the bottom of the window saves changes.
6. Assets can be deleted by selecting “**Delete**” next to a particular asset in the table in the bottom of the Practice Assets page.

## Upload Asset Template (Bulk Operations)

The screenshot shows the 'Practice Assets' section of the SRA tool. It includes a navigation sidebar on the left and a main content area. The main content area has a header with instructions and a list of four actions: 'Add Asset', 'Download Asset Template', 'Export Asset List', and 'Upload Asset Template'. Below these actions is a table showing 'Total Assets [1]' with columns for Manage Assets, ID #, Type, Status, ePHI, Encryption, and Assignment. The table contains one row for asset CID-22120, which is a Laptop, Inactive [St...], Receives a..., Full disk en..., and assigned to John Apple...

	A	B	C	D	E	F	G	H	I
1	Type	Assignment	ID	Asset Status	ePHI	Encryption	Comment	Disposal Status	Disposal Date
2	Laptop	John Appleseed	CID-22120	Inactive [Storage]	Receives and transmits ePHI	Full disk encryption		Not Disposed	9/20/2018
3	Laptop		CID-22613	Active [In-use and Unassigned]	Receives ePHI	Full disk encryption		Not Disposed	9/20/2018
4	Desktop	Laura Jones	CID-22165	Active [In-use and Assigned]	Receives and transmits ePHI	Full disk encryption		Not Disposed	9/20/2018
5	Ultrasonography		CID-22145	Active [In-use and Unassigned]	Creates ePHI	File level encryption		Not Disposed	9/20/2018
6	Printer, Copier, Fax machine			Active [In-use and Assigned]	All of the above	No encryption		Not Disposed	9/20/2018
7									
8									
9									

Assets can be added and exported from the SRA tool in bulk. To do this, the tool uses a strictly formatted CSV template. Assets are exported from and imported to the tool following the template. A blank template file can be downloaded from the Practice Assets screen.

It is important to remember that in order to work with the SRA Tool, files must be kept in CSV format. **The tool does not accept .xls or .xlsx files. Ensure that files retain the .csv extension and file type.**

Once assets have been added to an SRA file using the SRA Tool, the entered assets can be exported to a CSV file.

1. Select “**Export Asset List**” from the Practice Assets screen.
2. Acknowledge the data security warning. It is important to remember that the exported asset list is stored in plain text, unencrypted. Do not leave this file where unauthorized personnel could gain access to it.
3. Select a location and file name for the asset list. Select “**Save**”.

A blank asset template can be downloaded from the tool if a user wishes to import all assets from a CSV file.

1. Select “**Download Asset Template**” from the Practice Assets screen.
2. Select a location and file name for the asset template. Select “**Save**”.

Correctly formatted asset files can be uploaded to the tool as an alternative to manual entry from the user interface.

1. Add properly formatted asset information to a CSV file that follows the template.
2. Ensure that the file is saved as a .csv
3. Select the “**Upload Asset Template**” button from the Practice Assets screen
4. Navigate to and select the saved CSV file. Select “**Open**”.
5. Imported assets will appear in the table at the bottom of the Practice Assets screen.

## Add/Edit Vendor Information

The screenshot shows the 'Add Vendor' form in the SRA Tool. The form is a modal window with a blue header and a white body. It contains several input fields for vendor information. The 'Vendor Name' field is filled with 'Lab Testing Ilc.'. The 'Service Type Provided' field is filled with 'laboratory services'. The 'Vendor Address' field is filled with '110 Fifth St.'. The 'City, State, Zip' field is filled with 'Ann Arbor', 'MI', and '48103'. The 'Phone, Fax' field has two input boxes with placeholder text '(xxx)-xxx-xxxx'. The 'Contact Name/Title' field has two input boxes. The 'Contact Email' field has one input box. Below these fields is a '+ Second Contact' button. At the bottom of the form, there are two questions: 'Have satisfactory assurances been obtained for this vendor?' and 'Have additional risks been assessed for this vendor?'. Each question has 'Yes' and 'No' radio buttons. An 'Add' button is located at the bottom right of the form. The background shows a navigation menu with 'Home', 'Practice Info', 'Assets', 'Vendors', 'Documents', 'Assessment', 'Summary', 'Save', and 'Logout'. The 'Vendors' section is active, showing a table with 'Total Vendors' and 'Delete' buttons.

The SRA Tool Provides a method to track Vendors or business associates. Vendor information stored with the assessment data and can be accessed by loading SRA file in the SRA Tool and viewing the Practice Vendors screen or by viewing the Detailed Report after an assessment has been completed.

1. Select the “**Add Vendor or BA**” button from the Practice Vendors Page. This page can be navigated to by pressing “**Next**” after Practice Assets or selecting “**Vendors**” under the Practice Info item in the left navigation menu.
2. Enter information related to the Vendor:
  - a. **Vendor Name**
  - b. **Service Type Provided**
  - c. **Vendor Address**
  - d. **Phone, Fax**
  - e. **Contact Name/Title** – primary contact from vendor
    - i. **+Second Contact** – a second contact can be recorded for a particular vendor. Selecting the “**+Second Contact**” button loads two additional contact fields for title and email.





Vendor information can be added and exported from the SRA tool in bulk. To do this, the tool uses a strictly formatted CSV template. Vendors are exported from and imported to the tool following the template. A blank template file can be downloaded from the Practice Vendors screen.

It is important to remember that in order to work with the SRA Tool, files must be kept in CSV format. **The tool does not accept .xls or .xlsx files. Ensure that files retain the .csv extension and file type.**

Once vendors have been added to an SRA file using the SRA Tool, the entered vendors can be exported to a CSV file.

1. Select “**Export Vendor List**” from the Practice Vendors screen.
2. Acknowledge the data security warning. It is important to remember that the exported vendor list is stored in plain text, unencrypted. Do not leave this file where unauthorized personnel could gain access to it.
3. Select a location and file name for the asset list. Select “**Save**”.

A blank vendor template can be downloaded from the tool if a user wishes to import all vendors from a CSV file.

1. Select “**Download Vendor Template**” from the Practice Vendors screen.
2. Select a location and file name for the vendor template. Select “**Save**”.

Correctly formatted vendor files can be uploaded to the tool as an alternative to manual entry from the user interface.

1. Add properly formatted vendor information to a CSV file that follows the template.
2. Ensure that the file is saved as a .csv
3. Select the “**Upload Vendor Template**” button from the Practice Vendors screen
4. Navigate to and select the saved CSV file. Select “**Open**”.
5. Imported assets will appear in the table at the bottom of the Practice Vendors screen.

## Link Additional Documentation

The Documentation section allows users to link to supporting or supplemental documentation to the assessment. No documents will be imported into and saved into the SRA tool, the tool allows users to save links to documents stored locally or on a local network to demonstrate accuracy and thoroughness of your responses and assessment.

The screenshot displays the 'Documentation' section of the SRA tool. On the left is a blue navigation sidebar with the following menu items: Home, Practice Info, Assets, Vendors, Documents, Assessment, Summary, Save, and Logout. The main content area has a header 'Documentation' and a breadcrumb trail: practice > assessment > summary. Below the header, there is a grey box with the text: 'Add [additional documentation](#) to your SRA. Add documents, action item lists, references, remediation plans, or plan of action milestones relevant to your security risk assessment.' A large blue circular button with a document icon and a plus sign is labeled 'Add a Document'. Below this is a table with the following columns: Manage Documents, Document Name, Section, Added By, and Date Added. The table is currently empty, with the text 'No content in table' centered below it. At the bottom of the table area are two blue buttons: '< Back' and 'Next >'.

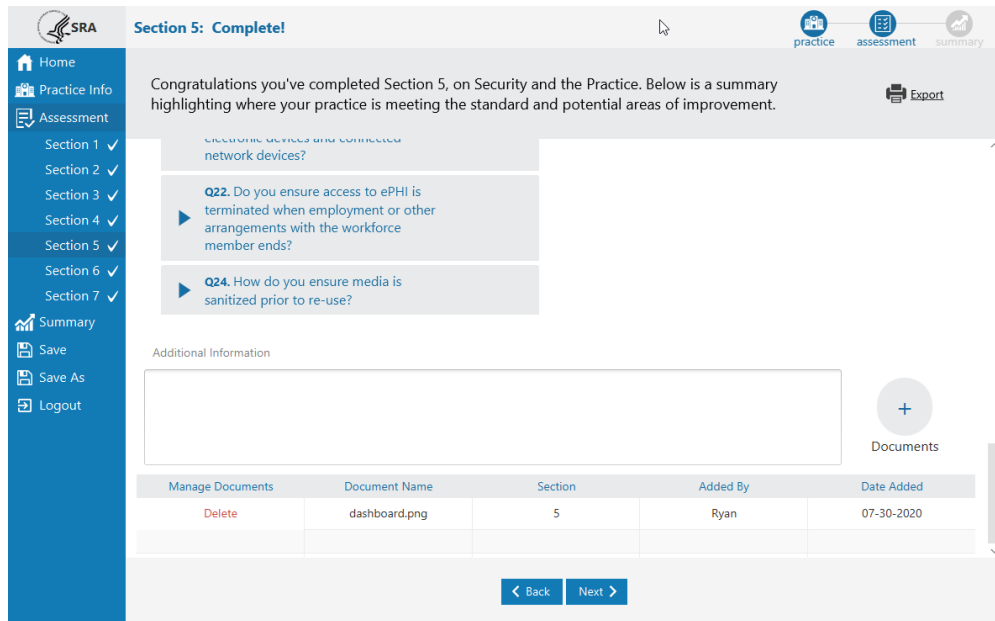
For example, vulnerability scans, penetration test results, plan of action milestones document, or mitigation plan are all documents that can be linked to your SRA file in this section of the tool.

To link supplemental documentation to your SRA:

1. Click “Add a Document”
2. Within the Window File Library, navigate to the location where the document is saved.
3. Select the document you want linked to the assessment and click “Open”.
4. The file name and the link extension to the documentation will appear in the table below.

Note: This table also collects and lists documents that have been added to the assessment from the section summary.

Users can also link documentation specific to an assessment section. On each section summary screen, a comments box and “Documents” button are available.

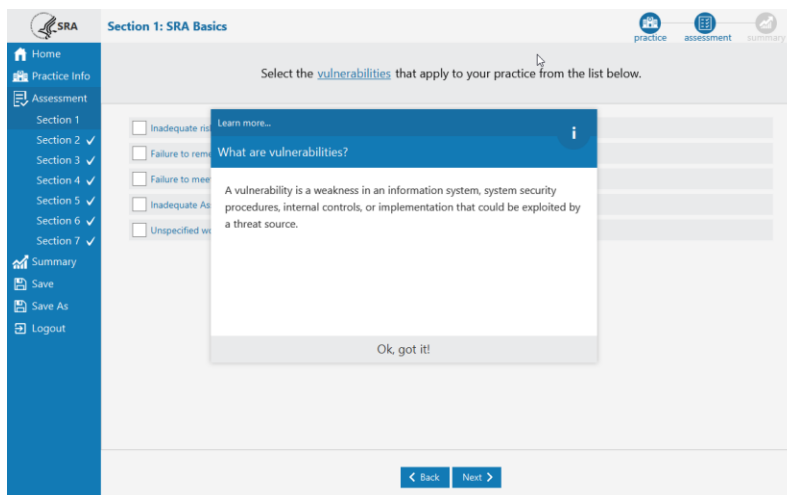


Users can note specific comments related to the section in the “Additional Information” comments box or link additional documentation by following these steps.

1. Click “Documents” button.
2. Within the Window File Library, navigate to the location where the document is saved.
3. Select the document you want linked to the assessment and click “Open”.
4. The file name and the link extension to the documentation will appear in the table below and in the documents table within the Documents section of the tool.

## Glossary Terms

Users can view definitions or additional information for specific terms within the SRA Tool. Anyplace within the tool where a term is underlined and in blue font, users can click on the term to receive additional information or a definition.



## Completing the Assessment

The screenshot displays the SRA tool interface for 'Section 2: Security Policies'. The left sidebar contains navigation options: Home, Practice Info, Assessment, Section 1-7 (all with checkmarks), Summary, Save, Save As, and Logout. The main content area shows a question: 'Q1. Do you maintain documentation of policies and procedures regarding risk assessment, risk management and information security activities?'. There are four radio button options: 'Yes, we have a process by which management develops, implements, reviews, and updates security policies and procedures.', 'Yes, we have some documentation for our information security and risk management activities, but not all of our policies and procedures are documented.', 'No, we do not maintain documentation on our information security activities or risk management.', and 'Flag this question for later.'. The second option is selected. On the right, there are two panels: 'Education' with text about documenting policies and procedures, and 'Reference' with citations for HIPAA and NIST CSF. A 'Details' section at the bottom is expanded to show a text field with the instruction: 'The details field can be expanded and used to collect relevant and supporting information about the related question/response.'. At the bottom center are 'Back' and 'Next' buttons.

The assessment portion of the tool is broken down into sections. A list of sections can be seen on the left side of the screen while completing the assessment. The assessment contains branching logic that may serve questions in a different order depending on different response selections.

1. Each question in the assessment portion is single answer and multiple choice. This means that one answer and only one answer must be answered to continue.
2. The question number is displayed to the left of the question text. Questions are numbered starting at “Q1” for each section.
3. The **Education** panel on the right side of the screen. When no answer is selected, the panel will be blank. Once a selection is made, information relevant to that selection will be displayed in the panel.
4. The **Reference** panel is on the right side of the screen. Reference to relevant security information regarding the question is shown here.
5. The **Details** box can be used to capture supporting information or notes about an individual question. This free text field can be expanded and collapsed by clicking on the “Details” label.
6. Selecting “**Next**” at the bottom of the screen progresses to the next question or section. After each multiple-choice section, a threats and vulnerabilities rating section will be presented.

## Threat & Vulnerability Rating

Section 1: SRA Basics

Select the [vulnerabilities](#) that apply to your practice from the list below.

- Inadequate risk awareness or failure to identify new weaknesses
- Failure to remediate known risk(s)
- Failure to meet minimum regulatory requirements and security standards
- Inadequate Asset Tracking
- Unspecified workforce security responsibilities

< Back   Next >

After completing each section of multiple-choice questions, a set of vulnerabilities is presented. Multiple items can be selected. Select each vulnerability applicable to your practice.

1. Check the check box next to each applicable vulnerability.
2. Select “**Next**” to continue.

Section 1: SRA Basics

Please rate the likelihood and impact on your practice of each potential [threat](#).

Inadequate risk awareness or failure to identify new weaknesses

	Likelihood			Impact		
Non-physical threat(s) such as data corruption or information disclosure, interruption of system function and business processes, and/or legislation or security breaches	L	M	H	L	M	H
Physical threats such as unauthorized facility access, hardware or equipment malfunction, collisions, trip/fire hazards, and/or hazardous materials (chemicals, magnets, etc.)	L	M	H	L	M	H
Natural threat(s) such as damage from dust/particulates, extreme temperatures, severe weather events, and/or destruction from animals/insects	L	M	H	L	M	H
Man-Made threat(s) such as insider carelessness, theft/vandalism, terrorism/civil unrest, toxic emissions, or hackers/computer criminals	L	M	H	L	M	H
Infrastructure threat(s) such as building/road hazards, power/telephone outages, water leakage (pipes, roof,	L	M	H	L	M	H

Each selected vulnerability has associated threats. Each threat must be rated based on the likelihood of occurrence at a practice, and the impact it would cause.

1. Make a selection for “**Likelihood**” and “**Impact**” for each threat listed.
  - a. L = Low
  - b. M = Medium
  - c. H = High
2. Both likelihood and impact for each threat must be rated before users can continue to the next screen.
3. Select “**Next**” to continue.



## Section Summary

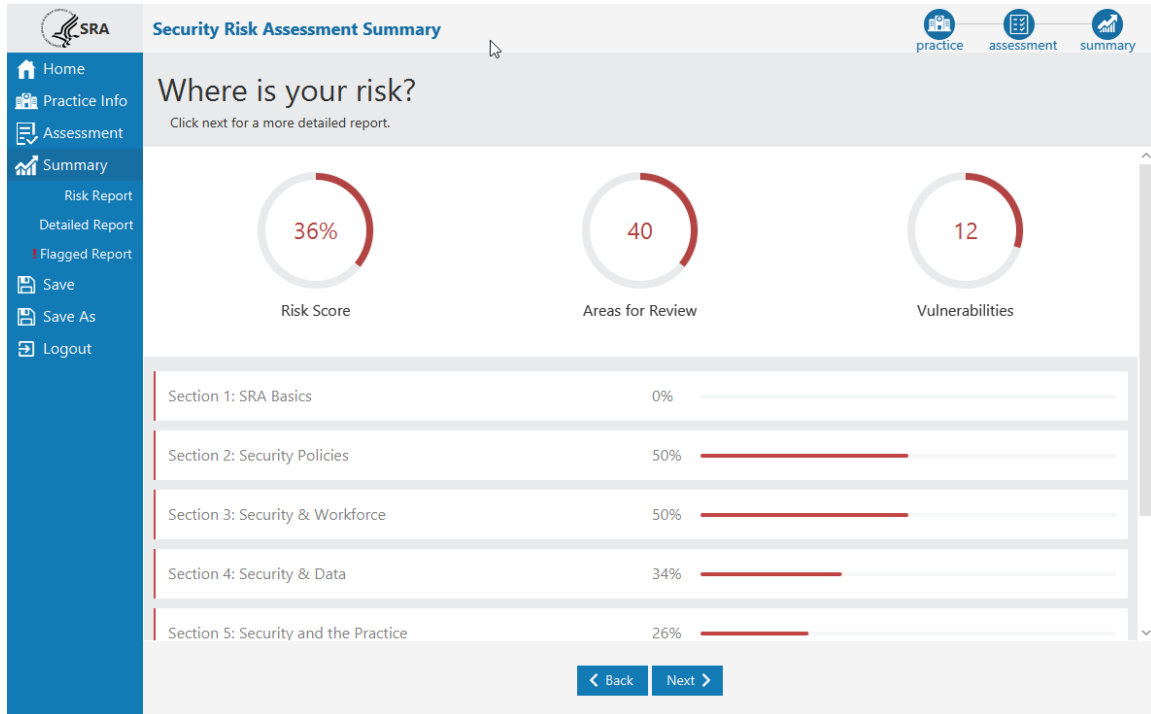
The screenshot shows the SRA Section Summary interface for Section 4, which is marked as 'Complete!'. The interface includes a navigation menu on the left with options like Home, Practice Info, Assessment, and Summary. The main content area displays a congratulatory message and a progress bar showing 65% completion. Below the progress bar, there are two columns: 'Areas of Success' and 'Areas for Review'. The 'Areas of Success' column lists four questions (Q1-Q4) with expandable tiles. The 'Areas for Review' column lists three questions (Q4, Q8, Q12, Q13) with expandable tiles. At the bottom, there are 'Back' and 'Next' navigation buttons.

After completing multiple choice, threat selection, and vulnerability rating, a section summary is presented.

1. **Areas of Success** presents a list of questions where responses met the expectation, indicating compliance.
2. **Areas for Review** lists questions where responses indicated expectations are not being met, and review of process and procedures may be needed in order to improve safeguard efforts.
3. Clicking on the triangle on the left side of each question expands a tile revealing the chosen response and education information.
4. The graphic at the top of the screen represents the percentage of responses in the Areas of Success and Areas for Review categories respectively.
5. The **Export** button near the top right corner of the screen can be used to export a PDF copy of a section summary.
6. The **Jump to section start** button near the top left corner of the screen serves as a navigational shortcut. It provides an easy way to move back to the beginning of the section. All question responses from a completed section are preserved when using this feature.

Note: When you move back to the beginning of a section, you must progress to the end again for the section to register as complete. Section completion is signified by a white check mark next to the section number in the navigation menu.

## Assessment Summary



When all assessment sections have been completed, the SRA Summary screen is displayed. This screen shows percentages and visual representations of scores across all sections of the assessment.

1. **Risk Score** – percentage of responses sorted into Areas for Review across the whole assessment.
2. **Areas for Review** – count of responses sorted into the Areas for Review category.
3. **Vulnerabilities** – count of vulnerabilities selected as applicable to the practice.
4. **Section risk scores** – a percentage of responses sorted into Areas for Review for each section.

## Risk Report

The Risk Report interface is divided into several sections. The top navigation bar includes 'Home', 'Practice Info', 'Assessment', 'Summary', and 'Export'. The left sidebar contains 'Home', 'Practice Info', 'Assessment', 'Summary', 'Risk Report', 'Detailed Report', 'Flagged Report', 'Save', 'Save As', and 'Logout'. The main content area is titled 'Risk Report' and includes a 'Risk Breakdown' pie chart, a 'Risk Assessment Rating Key' table, and a 'Vulnerabilities' section. The 'Risk Assessment Rating Key' table is as follows:

Likelihood	Impact		
	Acceptable <small>little to no effect</small>	Tolerable <small>moderate effect</small>	Intolerable <small>critical effect</small>
Improbable <small>risk unlikely to occur</small>	Low	Medium	High
Possible <small>risk able to occur</small>	Low	Medium	Critical
Probable <small>risk will occur</small>	Medium	High	Critical

The 'Vulnerabilities' section is titled 'Section 2: Security Policies' and 'Vulnerabilities & Threats'. It lists 'Failure to update Policies & Procedures' with a 'Medium' risk rating, and 'Unstructured guidance for daily tasks and duties within workforce' with a 'Medium' risk rating. The 'Areas for Review' section is a table with columns for 'Section', 'Question', 'Your Answer', and 'Education'. It lists three questions (Q1, Q4, Q7) with their respective answers and educational requirements.

The Risk Report highlights responses from the multiple choice, threat, and vulnerability sections that indicate risk.

1. **Risk Breakdown** – This pie chart shows the proportion of threats in each rating category. The key below gives counts of threats in each category.
2. **Risk Assessment Rating Key** – This key shows how overall risk rating is calculated by combining threat likelihood with threat impact.
3. **Vulnerabilities** – All selected vulnerabilities are listed here along with their associated threats. Vulnerabilities are grouped by section
4. **Areas for Review** – All questions and responses sorted into Areas for Review are listed here along with education. Questions are grouped by section.
5. Both Vulnerabilities and Areas for Review can be collapsed by clicking on the white triangle to the right of the respective headings.
6. The **Export Options** button in the top right corner of the screen allows the report to be exported as a PDF.

## Detailed Report

The screenshot shows the 'Detailed Report' interface. On the left is a blue sidebar with navigation links: Home, Practice Info, Assessment, Summary, Risk Report, Detailed Report (highlighted), and Flagged Report. Below these are 'Save', 'Save As', and 'Logout' options. The main header includes the SRA logo, the title 'Detailed Report', and icons for 'practice', 'assessment', and 'summary'. An 'Export Options' button is also present. The main content area contains two expandable sections: 'Section 1, SRA Basics' (Risk Score: 0%) and 'Section 2, Security Policies' (Risk Score: 50%). Under 'Section 2', a table titled 'Threats & Vulnerabilities' lists several items with their risk ratings:

Threats & Vulnerabilities	Risk Rating
<u>Failure to update Policies &amp; Procedures</u>	
Fines/penalties from mandated regulatory requirements	Medium
Unstructured guidance for daily tasks and duties within workforce	Medium
<u>No risk management documentation (or low retention of documentation)</u>	
Fines/penalties from regulatory enforcement	Critical
Inability of workforce to perform proper security & privacy related tasks or access procedural documents	Medium
Unstructured workforce coordination of risk management procedures	Low

At the bottom of the report, there is a table header with columns: Question, Answer, Compliance Guidance/Rule, Username, and Date/Time. Below the header are two buttons: '< Back' and 'Next >'.

The Detailed Report is an output of all the information entered into the SRA Tool, besides section comments and linked files. Each section is broken down into threats & vulnerabilities and multiple choice.

1. Each section is collapsible. Select the section title or black triangle to expand a section. Click again to collapse.
2. **Risk Score**, that is the percentage of multiple-choice responses sorted into Areas for Review, is displayed for each section.
3. **Risk Rating** is a combination of likelihood and impact rating for each threat. The Risk Assessment Rating Key on the Risk Report shows how Risk Rating is calculated.
4. Practice Information, Asset Information, and Business Associates and Vendors are all displayed at the bottom of the Detailed Report.
5. The **Export Options** button at the top right corner of the report allows the Detailed Report to be saved as a PDF. Click the icon and select a name and location to save the PDF file.

## Flagged Report

**SRA** Flagged Report

practice assessment summary

Home  
Practice Info  
Assessment  
Summary  
Risk Report  
Detailed Report  
Flagged Report  
Save  
Save As  
Logout

### Responses Flagged for Review: count: 7

To make changes to flagged questions, navigate back through the assessment using the Next/Back buttons.

#### 4 | Security & Data

Q8: Do you use encryption to control access to ePHI?  
ans: Flag this question for later.

Choices

- Yes.
- No.
- We have not comprehensively evaluated whether encryption is reasonable or appropriate to implement on our devices and information systems.
- I don't know.

Q12: Have you evaluated implementing any of the following encryption solutions in your local environment? (Full disk encryption, file/folder encryption...)  
ans: Flag this question for later.

Choices

- All of the above.
- Some of the above.
- None of the above.

< Back

The Flagged Report is a list of all questions marked with “Flag this question for later.” It displays the section, question number, question text, list of responses, and the chosen response.

This report is not interactive. To make changes to responses shown in the risk report, you need to navigate back through the assessment. To do this, click on the “Assessment” menu item. Click “**Next**” until you reach the section summary for the question you wish to change. From the section summary, click “**Back**” until you reach the question and response you would like to change. Upon changing your response, click “Next” to view the next sequence of questions (a change in response may lead to new previously unanswered questions).

## Saving & Exporting

There are a few ways to save information entered into the SRA Tool:

### 1. Save Detailed Report as PDF or Excel

The Detailed Report is a complete output of information captured by the tool minus section comments and linked documents. It contains Practice Information, Assets, Vendors, multiple choice, vulnerabilities, and threats.

The Detailed Report can be saved as a PDF or Excel by clicking the “Export Options” link near the top right corner of the report screen.

### 2. Export Asset List

Asset information entered into the tool can be exported as a CSV file by selecting “Export Asset List” from the Asset Information screen. This is a useful method to move assets from one SRA file to another without re-entering each one individually.

### 3. Export Vendor List

Vendor information entered into the tool can be exported as a CSV file by selecting “Export Vendor List” from the Vendor Information screen. This is a useful method to move vendor information from one SRA file to another without re-entering each one individually.

## Frequently Asked Questions [FAQ's]

### Is the SRA Tool compatible with MacOS?

No, not at this time. The SRA tool is only compatible with Windows. The paper version of the tool available on HealthIT.gov may be a reasonable alternative for those unable to install the SRA Tool.

### How do I print my results (save as PDF or Excel)?

Once all sections of the assessment are completed, reports become available. The Detailed Report provides the most complete output of your assessment. “Export Options” near the top right corner of the screen will launch a Save As dialog and allow saving the assessment information as a PDF or Excel. Section Summaries can also be exported to PDF as sections are completed.

### Is it possible to get printable sheets for each section of the SRA?

This functionality is not available at this time but may be considered for a future version.

### How do I access the Summary Reports?

To access reports available under the Summary menu item, the assessment must first be 100% completed. Once a section is completed, a white check mark will appear to the left in the navigation menu. When all sections have check marks, the Summary menu item will become available.

### Does the tool keep record of date completed?



The Detailed Report shows a date and timestamp next to each question answered. This date reflects the date a response was last modified.

### **Is it possible to add new assessments each year without risking overwriting last year's assessment?**

With each new assessment, the user is asked to select a file name and save location for the .sra file. As long as the previous year's file is not selected and overwritten, this should not be an issue. If you wish to make amendments to a previous year's assessment versus starting from scratch, you may consider loading a previous year's assessment and using the "Save As" feature to rename the file to reflect a new year's SRA.

### **How long should we keep the copies of our Security Risk Assessments?**

Keep SRAs for six years.

### **Is there an easy way to show the risk assessment has been reviewed even if nothing changed? If so, how?**

If you wish to make amendments to a previous year's assessment versus starting from scratch, you may consider loading a previous year's assessment and using the "Save As" feature to rename the file to reflect a new year's SRA. The timestamp for individual questions will remain the same, questions are marked with the date they were last modified. All questions throughout the tool should be reviewed even if their responses will remain unchanged.

### **How do I go back and edit my assessment?**

The SRA Tool uses branching logic to serve questions most relevant to your practice. This limits your ability to select a specific section and or question to edit.

To edit a response, first click the "Assessment" item in the left navigation menu. Click "Next" to proceed through each section. If a section has been completed, you will only see its section summary. Once you have navigated to the desired section, select the "Back" button to move backwards through each question until you reach the item you wish to edit.

Keep in mind that changing a response may set you on a different course in the branching logic, requiring you to answer a different set of questions to complete the section.

### **Is there an updated version of the paper version of the SRA?**

Not at this time. This may be considered at a later date.

### **Is the old paper version still valid to use?**

Yes, it is still an option. Alternatives to SRA 3.0, such as the paper version, can be used as long as the tools are accurate and thorough. For documenting risks, SRA 3.0 is an excellent option. Whichever option is used, consider supplementing with additional information & documentation. If the spreadsheet is used, save it as a different version for each assessment.

**Will there be support for the TEFCA rule in the SRA per Section 6.2.1 of January 2018 draft of TEFCA? The TEFCA references the NIST 800-53 and the CUI. At some point an SRA for the QHINs will be needed. Will this be added?**

TEFCA support may be considered for a future version after the TEFCA rule is finalized.

**Will video help be added to Version 3.0 as there was in Version 2.0?**

A video recording of the SRA Tool webinar is available on HealthIT.gov.

<https://www.youtube.com/watch?v=w4b-74rTRbo>

**Is there support for penetration testing in Version 3.x?**

Results from independent penetration testing can be uploaded into the tool. However, the tool does not include penetration testing capabilities, nor does it provide guidance on how to conduct penetration testing. The primary focus of the SRA Tool is to aid in the Security Risk Assessment process. Results from external penetration tests or vulnerability scans can be added to the tool as supporting documentation regarding an entity's overall security risk assessment process.

**Will a future version of the security risk assessment tool be developed for patients so they can better understand the risks they are agreeing to by using healthcare apps?**

There's coordination between the FTC and the HIPAA security rule. NIST has been leading a privacy consumer base with the Department of Commerce and are working on an initiative to inform consumers about their risk. For general information about whether mobile apps are covered by HIPAA, visit <https://www.ftc.gov/tips-advice/business-center/guidance/mobile-health-apps-interactive-tool>

**Is the SRA tool suitable for large practices or covered entities?**

The SRA Tool was designed with small to medium sized practices in mind, but the content is still applicable to practices of all sizes. That said, large organizations may find other methods more suitable to conducting an SRA.

**If a practice has multiple locations, can one SRA be completed to cover all of them, or should multiple SRAs be conducted?**

The answer to this depends on how much the locations differ with their policies, procedures, and infrastructure. If you feel that the questions being answered are applicable to all locations, one SRA may be sufficient. If question responses are not applicable to all locations, you may consider doing a separate SRA for each location.

**If you already have an excel file with assets created by our 3<sup>rd</sup> party, can that be uploaded?**

Lists of assets can be linked to your SRA using the Documents feature. This feature allows you to link documents located on your local machine or another networked location.

**Do we need to list every device on our network as an asset?**

Keeping an inventory of assets that have access to ePHI is an important part of assessing your security posture. Even assets that do not have access to ePHI can open your IT environment up to compromise. See this OCR newsletter on keeping an asset inventory for more information <https://www.hhs.gov/hipaa/for-professionals/security/guidance/cybersecurity-newsletter-summer-2020/index.html>

### **How is the Risk Rating determined?**

Risk Rating is determined based on the Risk Assessment Rating Key shown at the top of the Risk Report. A threat rated with low likelihood and low impact will be assigned a Risk Rating of “low”.

### **How is the Risk Score percentage determined?**

Risk Score is a percentage of responses marked as “Areas for Review” out of the total number of questions answered. In other words, it is the percentage of responses where risk was indicated.

### **Can SRA files be saved on shared network storage or in the cloud?**

Yes. SRA files can be stored on a shared resource, whether it be on the cloud or otherwise. The file can be opened and saved in that location. This makes it easier for different users working on the same .sra file.

### **Does the SRA need to be submitted?**

The SRA does not need to be submitted. Documentation supporting that an accurate and thorough risk analysis was conducted is required by HIPAA and should be kept on record.

### **Is any information from the tool sent to ONC?**

All information captured by the tool stays with the .sra file. This is a local application that does not store any information on the internet. No information is sent to ONC.

### **How do I go back and correct items listed in the Flagged Report?**

To make changes to responses shown in the risk report, you need to navigate back through the assessment. To do this, select the section containing the question you would like to change. This will take you to the Section Summary screen. From here, you can either use the Back button to move backwards until you reach the desired question or you can use the “Jump to section start” button to move to the beginning of the section and navigate forwards using the Next button.

When you’ve moved backwards from the Section Summary of a completed section, the white check mark signifying section completion will go away. In order to register as complete, you must navigate to the end of a section when finished editing. The white check mark will appear confirming section completion.

### **Will the SRA Tool be supported in Windows 11?**

We do anticipate that the SRA Tool will work in Windows 11, which will be released in October of 2021, but we will be working to address any Windows 11 related issues in our next release.

### **When will the next version of the SRA Tool be released?**

We do not have a release date for the next version of the SRA Tool at this time. Follow along with updates from ONC at HealthIT.gov and subscribe to the OCR Listserv.

OCR Listserv - <https://www.hhs.gov/hipaa/for-professionals/list-serve/index.html>

ONC Email Updates – use “stay connected with ONC” on bottom of the page at [HealthIT.gov](https://www.healthit.gov)