# Test Criteria: 170.315.d.1 Authentication Access Authorization

|  |  |
| --- | --- |
| **Testing Result** |  |
| Participant and Product-with-version |  |
| Setting (Ambulatory or Inpatient) |  |
| Test Proctor |  |
| Test Date |  |
| Test Result | Pass:  Fail:  No Attempt: |
| Error Description (if applicable) |  |
| Modifications to Product Under Test |  |
| Additional Software Used |  |
| Additional Proctor Notes |  |

### Overview

In this document you will find:

* [Test Data and Test Tools](#_Test_Data_and)
* [Standards Support](#_Demonstrate_Standards_Support)
* [Drummond Test Report (Instructions, Expected Results, Points to Remember)](#_170.315(d)(1)(i)_Authenticate_Uniqu)
* [Test Procedures](#_Test_Procedures)
* [Appendix A: Testing Guide](#_Appendix_A:_Testing)
* [Appendix B: ONC Criteria](#_Appendix_B:_ONC)

### Version of ONC Test Method

1.0

### Scope of Proctoring Sheet

The ONC test method associated with this criterion is the only approved test method for EHR Meaningful Use certification. This Proctoring Sheet is not a replacement test method but a test procedure document for performing the ONC test method and recording the results. Proctoring Sheet describe test data, test criteria and expected results. It is assumed the Health IT developer or Participant UnderTest is familiar with the associated ONC test method.

# Robustness and Reliability Requirement

To satisfy the module criteria, it is expected that the Product-Under-Test is able to complete the testing requirements reliably, including repeat testing with the same result without error, and with a satisfactory level of robustness. This includes unexpected error messages produced through normal operation, multiple unintended restarts of the application or any other “buggy” facets of the product displayed while testing. These errors are record in the Additional Proctor Notes of the proctor sheet. Lack of reliability and robustness of design will result in failure of the module.

# Test Data and Tools

|  |  |
| --- | --- |
| **Test Data Source:** | ONC-Supplied  DG-Supplied:  Developer-Supplied: |
| **Pre-Test Data Setup:**  Not applicable. | |
| **Test Data:**  Developer-supplied. | |
| **Test Tools:**  Not applicable. | |

# Demonstrate Standards Support

|  |  |
| --- | --- |
| **Test Result:** | PASS:  FAIL:  No Attempt: |
| **Instructions:** There are no standards required for this criterion. | |

# 170.315(d)(1)(i) Authenticate Unique User

# 170.315(d)(1)(ii) Establish Permitted User Access

|  |  |
| --- | --- |
| **Test Result:** | PASS:  FAIL:  No Attempt: |
| **P&S applies to all criteria:** | YES:  NO: |
| **If not, list applicable criteria:** |  |
| **Permission level:**  **(authorized and unauthorized)** |  |
| **Instructions:** Authenticate user and establish permitted user access. | |
| **Expected Test Result:**   * Authenticate user verifying against a unique identifier (e.g., username or number) that a user seeking access to electronic health information is the one claimed. * Establish the type of access to electronic health information a user is permitted based on the unique identifier(s) provided at authentication, and the actions the user is permitted to perform with the technology. * Prevent an existing user identifier from being used again, to demonstrate that user identifiers are unique. | |
| **Points to Remember:**   * This module is eligible for gap certification. * The user may be disabled, inactivated, or deleted to satisfy the final test step in this module. * See “[EHR Test-128] Privacy and Security Framework” document provided by Drummond Group to verify instructions on submitting required P&S attestation. | |

### Test Procedures

**1.1 Authenticate Unique User**

|  |  |
| --- | --- |
|  | Create a user with a unique identifier (e.g., username or number) and assign limited authorized permissions thus not a “super-user”. Proctor records permission levels above. |
|  | Verify user identifier credentials cannot be duplicated. |
|  | User attempts to log in with incorrect credentials but cannot access health IT module. |

<INSERT SCREEN SHOTS>

**1.2 Establish Permitted User Access**

|  |  |
| --- | --- |
|  | User logs in with identifier and authentication credentials to access health information. |
|  | User performs action assigned by permissions above. |
|  | User cannot perform actions not assigned by permissions. |
|  | Grant permission to user allowing access to previously prohibited functions. |
|  | User performs new action assigned by permissions. |
|  | Disable account, or deactivate user. |
|  | Verify user with disabled account is unable to access electronic health information. |

<INSERT SCREEN SHOTS>

**1.3 Privacy and Security Attestation**

|  |  |
| --- | --- |
|  | Health IT Developer submits Privacy and Security Framework document attesting to the approach used for certification testing. Additionally, attestation must specify if the criteria demonstrated in this test event applies to *all* certified modules or only specific modules. See “[EHR Test-128] Privacy Security Framework” provided by Drummond Group. |

<ATTACH or INSERT LINK TO DOCUMENTATION>

# Appendix A: Testing Guide

*This appendix contains more details and background on the testing requirements, including explanation on underlying standards, notable issues and best practice suggestions.*

Rev 01-Mar-2016 Additions

* None.

# Appendix B: ONC Criteria and Standards

*This appendix contains copy of the relevant ONC criteria and standards for this proctor sheet as a reference. In the event of a discrepancy with the ONC Final Rule, the ONC Final Rule takes precedence.*

**§170.315(d)(1) *Authentication, access control, and authorization.*** (i) Verify against a unique identifier(s) (*e.g.*, username or number) that a user seeking access to electronic health information is the one claimed; and

(ii) Establish the type of access to electronic health information a user is permitted based on the unique identifier(s) provided in paragraph (d)(1)(i) of this section, and the actions the user is permitted to perform with the technology.

# Change Log

|  |  |
| --- | --- |
| Revision | Change Description |
| 01-July-2016 | Re-numbered sections. Added section 1.3 for Privacy and Security attestation. |
| 01-Jun-2016 | Added text boxes to indicate if this P&S module applies to all certified criteria and reference to the attestation based on “Privacy and Security Framework” document. Removed section 2.1 since already addressed in Framework document. |
| 01-Mar-2016 | Initial Release. |
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**About Drummond Group LLC**

Drummond Group LLC is a global software test and certification lab that serves a wide range of vertical industries.  In healthcare, Drummond Group tests and certifies Controlled Substance Ordering Systems (CSOS), Electronic Prescription of Controlled Substances (EPCS) software and processes, and Electronic Health Records (EHRs) – designating the trusted test lab as the only third-party certifier of all three initiatives designed to move the industry toward a digital future. Founded in 1999, and accredited for the Office of the National Coordinator Health IT Certification Program as an Authorized Certification Body (ACB) and an Authorized Test Lab (ATL), Drummond Group continues to build upon its deep experience and expertise necessary to deliver reliable and cost-effective services. For more information, please visit <http://www.drummondgroup.com> or email [ehr@drummondgroup.com](mailto:ehr@drummondgroup.com)

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