

2015 Edition §170.315(d)(1) Authentication, Access Control, Authorization				
Testing Components:				
Gap				
Test Procedure Version 1.0 – Last Updated 1/08/16				

Please consult the Final Rule entitled: *2015 Edition Health Information Technology (Health IT) Certification Criteria, 2015 Edition Base Electronic Health Record (EHR) Definition, and ONC Health IT Certification Program Modifications* for a detailed description of the certification criterion with which these testing steps are associated. We also encourage developers to consult the Certification Companion Guide in tandem with the test procedure as they provide clarifications that may be useful for product development and testing.

*Note: The order in which the test steps are listed reflects the sequence of the certification criterion and does not necessarily prescribe the order in which the test should take place*

### Required Tests

**(d)(1)(i) Authenticate Unique User** - Verify against a unique identifier(s) (e.g., username or number) that a user seeking access to electronic health information is the one claimed.

Standard(s): None

Criterion ¶	System Under Test	Test Lab Verification
(i)	<ol style="list-style-type: none"> <li>1. A user's unique identifier (username or number) is verified as belonging to them, prior to receiving authentication credentials for access to electronic health information.</li> <li>2. The uniqueness of the identifier (username or number) is verified through an attempt to create a new user account using the same unique user identifier already established.</li> <li>3. A user's unique identifier (username or number) associated with a disabled account is not able to access electronic health information.</li> </ol>	<ol style="list-style-type: none"> <li>1. The tester verifies that the Health IT Module can create a user's unique identifier and that the newly created user identifier and authentication credentials enable access to electronic health information.</li> <li>2. The tester verifies that the Health IT Module prevents an existing user identifier from being used again, to demonstrate that user identifiers are unique.</li> <li>3. The tester verifies that the Health IT Module does not permit a user with a disabled account to access electronic health information.</li> </ol>

**(ii) Establish Permitted User Access** - 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.

Standard(s): None

Criterion ¶	System Under Test	Test Lab Verification
(ii)	<ol style="list-style-type: none"> <li>1. Negative Test: A user attempts to log in to the Health IT Module using incorrect credentials.</li> <li>2. A user created in step 1 of (d)(1)(i) has specific access to electronic health information and specific capabilities, based on permissions assigned to their unique identifier.</li> <li>3. A user's permissions are modified to grant permissions not previously authorized.</li> <li>4. A user is able to access electronic health information and specific capabilities, based on permissions that have been modified to grant permissions not previously authorized.</li> <li>5. Negative Test: A user does not have access to unauthorized electronic health information and specific capabilities, based on permissions not assigned to their unique identifier.</li> </ol>	<ol style="list-style-type: none"> <li>1. Negative Test: The tester verifies that the Health IT Module requires valid credentials in order for a user to access the system.</li> <li>2. The tester verifies that the unique identifier created according to criteria (d)(1)(i) can only access data and perform actions permitted for that particular unique identifier.</li> <li>3. The tester verifies that the Health IT Module allows newly authorized permissions to be established.</li> <li>4. The tester verifies that the Health IT Module allows the newly established authorized action(s) to be performed.</li> <li>5. Negative Test: The tester verifies that the unique identifier cannot access health information or perform actions for which it does not have permission.</li> </ol>

### Document History

Version Number	Description of Change	Date
1.0	Final Test Procedure	January 08, 2016

Dependencies: For all related and required criteria, please refer to the [Master Table of Related and Required Criteria](#).