



**Managing Electronic Records:
Turning Theory Into Practice**
Authorization and Access Control





Authorization and Access Control

- Access Control
- Authorization
- Authentication
- Audits



Authorization and Access Control

- Right People
- Right Circumstances
- Right Access
- Right Communication
- Right Information



Authorization and Access Control

Authorization

– The process in which approval is granted for an end-user to enter into an electronic system.



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• Authorization

- Based on Groups – Role based Access
- Based on Individual Needs
- Other Criteria
 - Terminal address
 - Day of the week
 - Time of day

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Access Control

“The process that determines who is authorized to access patient information in the health record.”

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Access Control

- Determine the needs of users or groups
- What information
- What circumstances



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Access Control

- **Standard Reports**
- Viewing
- Printing
- Faxing

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Authorization and Access Control

Access Control

- Additional Groups
- Termination
- Job Function/Responsibility Change
- Limitations
- Emergency Situations



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Authentication

- What you know
- Who you are
- What you have



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Authentication

- What you know
 - Username
 - Password



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Authentication

- Who you are
 - Eyes
 - Fingers
 - Voice



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Authentication

– What you have

- Key
- Badge
- Fab



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Authentication

- Recommendations
- Accommodating Users



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Non-repudiation

- Definition: the concept of ensuring that a party in a dispute cannot repudiate, or refute the validity of a statement or contract.

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Electronic Signature

- Electronic signature means an electronic sound, symbol, or process, attached to or logically associated with a contract or other record and executed or adopted by a person with the intent to sign the record



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Digital Signature

- Digital signature is actually a subset of electronic signature.
 - Encryption of the document.
 - Identification of the person.
 - Validate and detect any changes



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Electronic Signature Laws

- HIPAA Security Rule
 - Lack of consistency in technology
 - Conflicting state laws
- Digital Signature Guidelines
 - American Bar Association
 - Utah Digital Signature Act - 1995



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Audit Trails

- Necessary to support:
 - Evidence of timeliness
 - Chronology of events
 - Information integrity (trustworthiness)
 - Information security

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Audit Trails

- User Audit Trail
 - All commands directly initiated
 - All identification and authentication attempts
 - Files and resources accessed

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Audit Trails

- Identification and flagging of unusual activity.
- Differentiation between system errors versus user errors that result in data alteration.
- Real-time intrusion detection.
- Capability for retrospective reviews.

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Authorization and Access Control

HL7 Record Management and Evidentiary Support Profile

- Security Functions
 - Authentication
 - Authorization
 - Entity Access Control
 - Patient Access Management
 - Nonrepudiation
 - Secure Data Exchange
 - Information Attestation
 - Patient Privacy and Confidentiality

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