

User Story Number: US0012.02

User Story Name: Audit Logging - Retrieve Exam Result

Priority: High

ClearQuest Number: DAS_CR219

Author/Owner: James Picker/Business Analyst

Story: As the Business Owner, I want the Virtual Lifetime Electronic Record (VLER) Data Access Services (DAS) to log all requests/responses that it receives/sends in relation to retrieval of an exam result so that VLER DAS is in compliance with Department of Veterans Affairs (VA) system auditing requirements and can assist with troubleshooting.

Revision History

Date	Version	Description	Author
05/15/2012	v0.01	Original	James Picker
05/22/2012	v0.02	Updated Logging Attributes in Conversation/Acceptance Criteria	James Picker
05/23/2012	v0.03	Analyst Review	Analyst Team
05/29/2012	v0.04	Updated based upon Analyst Team feedback	James Picker
06/12/2012	v0.05	Updated based on business owner, and architect review	James Picker
07/02/2012	v0.06	Updated to include logging for both first pass and second pass	James Picker
07/03/2012	v0.07	Technical Writer Edit 1	David Malmstrom
07/05/2012	v0.08	Changed Log/Logging to Audit Logging to clarify technical differences – Throughout user story	James Picker
07/10/2012	v0.09	Peer Review	James Picker
07/19/2012	v0.10	Listed each attribute contained in the audit log as a separate requirement in the Acceptance Criteria	James Picker
07/20/2012	v0.11	Technical Writer Review	Nancy Burak
07/25/2012	v0.12	SQA Audit	Mostafa Balamoune
09/19/2012	v0.13	Revised to include active voice	James Picker
09/27/2012	v0.14	DAS PM Review	Stephen Pelchar Ken Brunetto
11/06/2012	v1.0	Formal Review – Approved	William G. Jackson
11/20/2012	v1.1	Make changes to include Assigning Facility for Patient ID.	Jeremy Brown
11/20/2012	v2.0	Formal Review - Approved	William G. Jackson
12/06/2012	v2.1	Added element “Date (Status) Modified” to the list of query elements / Renumbered User Story from US004.10 to US0012.02	Eniola Alabi

12/13/2012	v3.0	Formal Review - Approved	William G. Jackson
1/4/2013	v3.1	Added "Date/Time/Time Zone" to the Date Status Modified data element	Eniola Alabi
1/3/2013	v4.0	Formal Review - Approved	William G. Jackson

Background

The VA requires "that system audit logs must record sufficient information to establish what events occurred, the sources, and outcomes of the events. Audit logging must be sufficient in detail to facilitate reconstruction of events if a compromise or malfunction is suspected or has occurred." ¹

All previously submitted exam results are stored for later use by interested parties. When this is the case an identifiable exam result can be retrieved by interested parties for subsequent processing. All requests and responses for the retrieve action must be logged in the audit log. An example of how this functionality may be used is as follows:

A Veterans Benefits Administration (VBA) Ratings Specialist needs to retrieve an exam result, however the exam result cannot be found. The events and outcomes associated with the specified exam result will be recorded in VLER DAS audit logs, and can be used to aid in tracking the exam result through the system.

Conversation

1. VLER DAS stores event descriptions in an audit log for a minimum of six (6) years.
2. VLER DAS stores the following attributes, when available, in an audit log:
 - a) Unique Identifier for the exam result
 - b) Creation Date (Date, Time, and Time Zone)
 - c) Date Status Modified (Date, Time, and Time Zone)
 - d) System ID (Fully Qualified Domain Name)
 - e) Transaction Type (description of action, e.g., Retrieve)
 - f) Organization Name the document is received from/sent to
 - g) Event Description (e.g., refer to audit logging events below)
 - h) Patient ID (EDIPI, if not available then ICN, if neither available then SSN), Assigning Authority and Assigning Facility.
 - i) Status of Exam Result
3. VLER DAS stores the event description information in an audit log for the following events:

¹ VA Handbook 6500, 9/18/2007, Section 6.c.11.b.2.a, Pg. 69

- a) VLER DAS receives a request from a consuming application to retrieve a list of exam results (first pass)
- b) VLER DAS sends a request to the Health Data Repository (HDR) to retrieve a list (first pass) of exam results
- c) VLER DAS receives the list of exam results from HDR (first pass)
- d) VLER DAS sends the list of exam results to the consuming application (first pass)
- e) VLER DAS receives a request from the consuming application to retrieve an exam result (second pass or one pass)
- f) VLER DAS sends a request to the Health Data Repository (HDR) to retrieve an exam result (second pass or one pass)
- g) VLER DAS receives the exam result from HDR (second pass or one pass)
- h) VLER DAS sends the exam result to the consuming application (second pass or one pass)

Detailed Listing of Acceptance Criteria

Requirement ID	Description
US0012.02.01	VLER DAS stores the 'Unique Identifier' for the exam result, when available, in an audit log.
US0012.02.02	VLER DAS stores the 'Creation Date' (Date, Time, and Time Zone), when available, in an audit log.
US0012.02.03	VLER DAS stores the 'Date Status Modified' (Date, Time, and Time Zone), when available, in an audit log.
US0012.02.04	VLER DAS stores the 'System ID' (Fully Qualified Domain Name), when available, in an audit log.
US0012.02.05	VLER DAS stores the 'Transaction Type' (description of action, e.g., Retrieve), when available, in an audit log.
US0012.02.06	VLER DAS stores the 'Organization Name' the document is received from/sent to, when available, in an audit log.
US0012.02.07	VLER DAS stores the 'Event Description', when available, in an audit log.
US0012.02.08	VLER DAS stores the 'Patient ID' (EDIPI, if not available then ICN, if neither available then SSN), 'Assigning Authority' and 'Assigning Facility', when available, in an audit log.
US0012.02.09	VLER DAS stores the 'Status of Exam Result', when available, in an audit log.
US0012.02.10	VLER DAS stores the event description information in an audit log for the following event: VLER DAS receives a request from a consuming application to retrieve a list of exam results (first pass).

US0012.02.11	VLER DAS stores the event description information in an audit log for the following event: VLER DAS sends a request to HDR to retrieve a list of exam results (first pass).
US0012.02.12	VLER DAS stores the event description information in an audit log for the following event: VLER DAS receives the list of exam results from HDR (first pass).
US0012.02.13	VLER DAS stores the event description information in an audit log for the following event: VLER DAS sends the list of exam results to the consuming application (first pass).
US0012.02.14	VLER DAS stores the event description information in an audit log for the following event: VLER DAS receives a request from the consuming application to retrieve an exam result (second pass or one pass).
US0012.02.15	VLER DAS stores the event description information in an audit log for the following event: VLER DAS sends a request to HDR to retrieve an exam result (second pass or one pass).
US0012.02.16	VLER DAS stores the event description information in an audit log for the following event: VLER DAS receives the exam result from HDR (second pass or one pass).
US0012.02.17	VLER DAS stores the event description information in an audit log for the following event: VLER DAS sends the exam result to the consuming application (second pass or one pass).

Constraints

None at present.

Approval Signatures

X

Steven Lee Green
FIST Program Manager

X

William G. (Dusty) Jackson
Business Owner Representative