| Requirement | RequirementSatisfied (Yes/No) | Vendor Response/Submission/Comments |
|---|---|---|
| **§170.302.o: Access Control** | | |
| Provide a list of existing user names/numbers. | **Yes** | See Below |
| Provide instructions on how to use the EHR functions to:<br><br>1)     Assign a new user name/number.<br><br>2)     Ensure that the name/number is unique.<br><br>3)     Assign permissions to the name/number for accessing electronic health information. | **Yes** | See Below |

## DTR170.302.o – 1: Assign unique name/number

1) The tester will obtain a list of the currently existing user names and/or numbers from the vendor.

Select VA FileMan Option: PRint File Entries


OUTPUT FROM WHAT FILE: NEW PERSON//

SORT BY: NAME//

START WITH NAME: FIRST//

FIRST PRINT FIELD: NAME

    1  NAME

    2  NAME COMPONENTS

CHOOSE 1-2: 1  NAME

THEN PRINT FIELD: NUMBER

THEN PRINT FIELD:

Heading (S/C): NEW PERSON LIST//

DEVICE: ;;999  TELNET

NEW PERSON LIST                    MAY 31,2011  14:22   PAGE 1

NAME                  NUMBER

--------------------------------------------------------------------------------

| NAME | NUMBER |
|------|--------|
| ANDERSON,MAGGIE | 68 |
| AUTHORIZER,IB MRA | 57 |
| AUTOFINISH,RX | 83 |
| BATCH,ERX | 78 |
| BOKHARI,SYED | 9 |
| CENTRAL,PAID | 5 |
| CLERK,EIGHT | 47 |
| CLERK,ELEVEN | 50 |
| CLERK,FIFTEEN | 54 |
| CLERK,FIVE | 44 |
| CLERK,FOUR | 43 |
| CLERK,FOURTEEN | 53 |
| CLERK,NINE | 48 |
| CLERK,ONE | 13 |
| CLERK,SEVEN | 46 |

| | |
|---|---|
| CLERK,SIX | 45 |
| CLERK,TEN | 49 |
| CLERK,THIRTEEN | 52 |
| CLERK,THREE | 42 |
| CLERK,TWELVE | 51 |
| CLERK,TWO | 41 |
| COORDINATOR,CLINICAL | 58 |
| DAL MOLIN,JOSEPH | 67 |
| DEVILLERS,NANCY | 3 |
| DOCTOR,EIGHT | 21 |
| DOCTOR,ELEVEN | 24 |
| DOCTOR,FIVE | 18 |
| DOCTOR,FOUR | 17 |
| DOCTOR,NINE | 22 |
| DOCTOR,ONE | 11 |
| DOCTOR,SEVEN | 20 |
| DOCTOR,SIX | 19 |
| DOCTOR,TEN | 23 |
| DOCTOR,THREE | 16 |
| DOCTOR,TWELVE | 26 |
| DOCTOR,TWO | 15 |
| EDILOCKBOX,AUTOMATIC | 6 |
| ERX,ADMIN | 84 |
| ERX,DOCTOR | 81 |
| ERX,MIDLEVEL | 82 |
| ERX,NURSE | 79 |
| FARLEY,CHRIS | 60 |
| FERGUSON,DAVID | 64 |
| INTERFACE,IB IIV | 4 |
| JUTZI,WILLIAM | 14 |
| KING,MATTHEW MICHAEL | 63 |
| LAB,SUPERUSER | 62 |
| LABTEST,DOCTOR | 80 |
| LILLY,GEORGE | 77 |

LRLAB,HL                          72

LRLAB,POC                         71

MANAGER,SYSTEM                    8

MARSHALL,RICK                     65

MCKINZIE,MARCIA                   61

NURSE,EIGHT                       33

NURSE,ELEVEN                      36

NURSE,FIFTEEN                     40

NURSE,FIVE                        30

NURSE,FOUR                        29

NURSE,FOURTEEN                    39

NURSE,NINE                        34

NURSE,ONE                         12

NURSE,SEVEN                       32

NURSE,SIX                         31

NURSE,TEN                         35

NURSE,THIRTEEN                    38

NURSE,THREE                       28

NURSE,TWELVE                      37

NURSE,TWO                         27

PATCHES,ALL D                     70

POSTMASTER                        .5

PRCA,AUTOAUDIT                    7

RADIOLOGY,OUTSIDE SERVICE         75

SEPPALA,GREGG                     2

SHARED,MAIL                       .6

STARTUP,SYSTEM                    59

STOXEN,JAMES H                    69

USER,PATCH                        56

USER,TEST                         10

VAN NESS,NANCY                    76

VPFS,APPLICATION PROXY            74

WHITTEN,DAVE                      66

WVEHR,PATCH INSTALLER             1

XOBVTESTER,APPLICATION PROXY        73

ZZ IT,MANAGER                    55

2)   The tester will use the vendor described EHR functions to attempt to create a new user with the same name/number as the existing user.

 Add a New User to the System

        Grant Access by Profile

        Edit an Existing User

        Deactivate a User

        Reactivate a User

        List users

        User Inquiry

        Switch Identities

        File Access Security ...

          **> Out of order:  ACCESS DISABLED

        Clear Electronic signature code

        Electronic Signature Block Edit

        Manage User File ...

        OAA Trainee Registration Menu ...

        Person Class Edit

        Reprint Access agreement letter


You have PENDING ALERTS

        Enter  "VA to jump to VIEW ALERTS option


You've got PRIORITY mail!


**NOT GIVEN OPPORTUNITY TO USE SAME NUMBER. NUMBER IS COMPUTER GENERATED**

Select User Management Option: ADD a New User to the System

Enter NEW PERSON's name (Family,Given Middle Suffix): KING,MATTHEW MICHAEL

 MMK    IRM    ANALYST

This isn't a new user, Want to reactivate?? NO//


The tester will verify that the user addition is rejected.

Heading (S/C): NEW PERSON LIST//

DEVICE: ;;999  TELNET

NEW PERSON LIST                    MAY 31,2011  14:27    PAGE 1

NAME                     NUMBER

--------------------------------------------------------------------------------

ANDERSON,MAGGIE              68

AUTHORIZER,IB MRA            57

AUTOFINISH,RX             83

BATCH,ERX             78

BOKHARI,SYED             9

CENTRAL,PAID             5

CLERK,EIGHT             47

CLERK,ELEVEN              50

CLERK,FIFTEEN              54

CLERK,FIVE            44

CLERK,FOUR             43

CLERK,FOURTEEN              53

CLERK,NINE            48

CLERK,ONE            13

CLERK,SEVEN              46

CLERK,SIX            45

CLERK,TEN            49

CLERK,THIRTEEN              52

CLERK,THREE             42

CLERK,TWELVE              51

CLERK,TWO             41

COORDINATOR,CLINICAL              58

DAL MOLIN,JOSEPH              67

DEVILLERS,NANCY             3

DOCTOR,EIGHT 21

DOCTOR,ELEVEN 24

DOCTOR,FIVE 18

DOCTOR,FOUR 17

DOCTOR,NINE 22

DOCTOR,ONE 11

DOCTOR,SEVEN 20

DOCTOR,SIX 19

DOCTOR,TEN 23

DOCTOR,THREE 16

DOCTOR,TWELVE 26

DOCTOR,TWO 15

EDILOCKBOX,AUTOMATIC 6

ERX,ADMIN 84

ERX,DOCTOR 81

ERX,MIDLEVEL 82

ERX,NURSE 79

FARLEY,CHRIS 60

FERGUSON,DAVID 64

INTERFACE,IB IIV 4

JUTZI,WILLIAM 14

KING,MATTHEW MICHAEL 63

LAB,SUPERUSER 62

LABTEST,DOCTOR 80

LILLY,GEORGE 77

LRLAB,HL 72

LRLAB,POC 71

MANAGER,SYSTEM 8

MARSHALL,RICK 65

| | |
|---|---|
| MCKINZIE,MARCIA | 61 |
| NURSE,EIGHT | 33 |
| NURSE,ELEVEN | 36 |
| NURSE,FIFTEEN | 40 |
| NURSE,FIVE | 30 |
| NURSE,FOUR | 29 |
| NURSE,FOURTEEN | 39 |
| NURSE,NINE | 34 |
| NURSE,ONE | 12 |
| NURSE,SEVEN | 32 |
| NURSE,SIX | 31 |
| NURSE,TEN | 35 |
| NURSE,THIRTEEN | 38 |
| NURSE,THREE | 28 |
| NURSE,TWELVE | 37 |
| NURSE,TWO | 27 |
| PATCHES,ALL D | 70 |
| POSTMASTER | .5 |
| PRCA,AUTOAUDIT | 7 |
| RADIOLOGY,OUTSIDE SERVICE | 75 |
| SEPPALA,GREGG | 2 |
| SHARED,MAIL | .6 |
| STARTUP,SYSTEM | 59 |
| STOXEN,JAMES H | 69 |
| USER,PATCH | 56 |
| USER,TEST | 10 |
| VAN NESS,NANCY | 76 |
| VPFS,APPLICATION PROXY | 74 |
| WHITTEN,DAVE | 66 |

WVEHR,PATCH INSTALLER            1

XOBVTESTER,APPLICATION PROXY        73

ZZ IT,MANAGER                55

NO DOUBLE ENTRY OR DOUBLE NUMBER!

1)   The tester again uses the EHR functions to create a new user with a unique name/number and assign permissions to this user to access electronic health information. The tester will assign permission to some information/actions, but not assign permission to some others.

GRANT BY CLONING:

KING,MATTHEW

  DATE GIVEN: AUG 01, 2005

KEY: DGPRE EDIT             GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: DGPRE SUPV              GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: LRDATA             GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005


Enter RETURN to continue or '^' to exit:

KEY: PSOINTERFACE              GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: PSB MANAGER              GIVEN BY: KING,MATTHEW MICHAEL

  DATE GIVEN: AUG 01, 2005

KEY: DG RECORD ACCESS            GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: XM SUPER SEARCH            GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: XUMF INSTITUTION            GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: XUEXKEY             GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: GMV MANAGER              GIVEN BY: BOKHARI,SYED

  DATE GIVEN: MAY 10, 2011

KEY: IBCNE IIV SUPERVISOR            GIVEN BY: BOKHARI,SYED

DATE GIVEN: AUG 01, 2005

KEY: IBCNE IIV AUTO MATCH        GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: LRAPMOD                GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005

KEY: IBCNR E-PHARMACY SUPERVISOR      GIVEN BY: BOKHARI,SYED

  DATE GIVEN: AUG 01, 2005


Enter RETURN to continue or '^' to exit:

  RESTRICT PATIENT SELECTION: NO       MULTIPLE SIGN-ON: ALLOWED

  ASK DEVICE TYPE AT SIGN-ON: DON'T ASK

  AUTO MENU: YES, MENUS GENERATED      TYPE-AHEAD: ALLOWED

  TIMED READ (# OF SECONDS): 9999      PRIMARY MENU OPTION: EVE

SECONDARY MENU OPTIONS: OR CPRS GUI CHART

SECONDARY MENU OPTIONS: PXRM CPRS CONFIGURATION

SECONDARY MENU OPTIONS: XT-OPTION TEST  SYNONYM: TEST

  TIMESTAMP: 62219,69667

C0P SUBSCRIPTION TYPE: EPRESCRIBING    C0P ACCOUNT: NEWCROP

  C0P LOCATION: ZZ ERX TEXT        C0P USER TYPE: LicensedPrescriber

  C0P SUBSCRIPTION ID: f814d1e6-97a0-46a0-8908-de904b6e0a3c

  C0P USER ROLE: doctor        C0P REQUESTED PAGE: compose

  NPI: 1231231238        NPI ENTRY STATUS: DONE

  AUTHORIZE RELEASE OF NPI: Yes

EFFECTIVE DATE/TIME: MAY 19, 2011@20:54:50

  STATUS: ACTIVE            NPI: 1231231238

CPRS TAB: COR            EFFECTIVE DATE: AUG 01, 2005

  AUTHORIZED TO WRITE MED ORDERS: YES   DEA#: AK0021004

  VA#: AK0021004          PROVIDER CLASS: PHYSICIAN

  PROVIDER TYPE: HOUSE STAFF

LICENSING STATE: NEW YORK        LICENSE NUMBER: 123222332223

  ALLOWED TO USE SPOOLER: YES       CAN MAKE INTO A MAIL MESSAGE: YES


Enter RETURN to continue or '^' to exit:

  NON-VA PRESCRIBER: NO        TAX ID: 11-7897654

EXCLUSIONARY CHECK PERFORMED: YES

DATE EXCLUSIONARY LIST CHECKED: MAY 08, 2011

ON EXCLUSIONARY LIST: NO          EXCLUSIONARY CHECKED BY: BOKHARI,SYED

Person Class: Allopathic and Osteopathic Physicians

 Effective Date: AUG 01, 2005


Is this the person whose data you want cloned? YES


You may enter a date, when the users that are being created/updated

will no longer have access to the system.

Enter (optional) TERMINATION DATE:


Batch Entry of New Persons

-------------------------


Clone of: KING,MATTHEW MICHAEL

Enter NEW PERSON's name (Family,Given Middle Suffix): NIST,USER1

 Are you adding 'NIST,USER' as a new NEW PERSON (the 86TH)? No// Y  (Yes)

Checking SOUNDEX for matches.

No matches found.

Name components.

FAMILY (LAST) NAME: NIST//

GIVEN (FIRST) NAME: USER1//

MIDDLE NAME: M

SUFFIX:

Now for the Identifiers.

INITIAL: NMU

SSN: P??

    ANSWER MUST BE 9 CHARACTERS IN LENGTH

SSN: 0000234123??

    ANSWER MUST BE 9 CHARACTERS IN LENGTH

SSN: 876543210

SEX: M  MALE

NPI:

Do You Want To Clone PERSON CLASS? YES


Next!

Enter NEW PERSON's name (Family,Given Middle Suffix):


Where do you want to print the COMPUTER ACCOUNT NOTIFICATION LETTERS?

DEVICE: HOME//   TELNET



    CREATING A NEW ACCOUNT FOR 'NIST,USER M'


One moment please...
                USER ACCOUNT NOTIFICATION


                Department of Veterans Affairs

                     SuperStar VAMC

                      123 anywhere

                    anytown, state, zip

    USER1 M NIST

    IRM   (05)

    A user account has been created in your name to enable you

    to access on-line clinical and/or administrative data

    required to perform your duties as an employee of the

    Department of Veterans Affairs.  Please read the enclosed

    NEW USER INFORMATION before you attempt your first log-on

    to the system.  Questions about access should be referred

    to the AIS Application Coordinator in your service, your

    facility Information Security Officer (ISO), or your IRM

    Service.

    Your Computer Access Coordinator is:

    Your Facility Information Security Officer:

    Your Alternate Information Security Officer:

Access Code: NIST,123

Verify Code: RSXA$613 (CHANGED TO WELCOME,4)


COMPUTER ACCOUNT ACCESS POLICY


Department of Veterans Affairs

Your VA Facility


USER1 M NIST

IRM   (05)


As an authorized user of VHA automated information systems (AISs) and having access to data stored in them, I will be given sufficient access to perform my assigned duties. I will use this access ONLY for its intended purpose and understand the following policies that apply to VA data and computer systems:


I agree to safeguard all passwords (e.g., Access/Verify codes, electronic signature codes) assigned to me and am strictly prohibited from disclosing these codes to anyone including family, friends, fellow workers, supervisor(s), and subordinates for ANY reason.

I am aware of the regulations and facility AIS security policies designed to ensure the confidentiality of all sensitive information. I am aware that information about patients or employees is confidential and protected from unauthorized disclosure by law. I understand that my obligation to protect VA information does not end with either the termination of my access to this facility's systems or with the termination of my government employment.


I will exercise common sense and good judgment in the use of electronic mail. I understand that electronic mail is not inherently confidential and I have no expectation of privacy in using it. I understand that technical

or administrative problems may create situations which requires viewing of

my messages.  I also understand that facility management officials may

authorize access to my electronic mail messages whenever there is a

legitimate purpose for such access.


I understand that a violation of this notice constitutes disregard of a

local and/or VHA policy and will result in appropriate disciplinary action

as defined in VA employee conduct Regulations (VAR 820(b)) as well as

suspension/termination of access privileges.

I affirm with my signature that I have read, understand, and agree to

fulfill the provisions of this User Access notice.

   Signature:_____

        USER1 M NIST IRM

     RETURN THIS FORM TO: IRMS - NEW ACCTS (xxx/xxx)

───────────────────────────────────────────────────────────

                        Edit an Existing User

NAME: NIST,USER M                                    Page 4 of 5

─────────────────────────────────────────────────────────────────────

RESTRICT PATIENT SELECTION: NO     OE/RR LIST:


CPRS TAB ACCESS:

 Name  Description                  Effective Date  Expiration Date

  COR   CPRS GUI "core" tabs.            MAY 31,2011     MAY 31,2011

  RPT   Reports tab.            MAY 30,2011

THIS RESTRICTS THIS USER TO ONLY **REPORTS TAB**

───────────────────────────────────────────────────────────


2)   The tester will verify that the new user name/number information was correctly created.

NEW PERSON LIST                    MAY 31,2011  14:40   PAGE 1

NAME                    NUMBER

------------------------------------------------------------------------------


ANDERSON,MAGGIE             68

AUTHORIZER,IB MRA            57

AUTOFINISH,RX            83...

…......<SNIP>
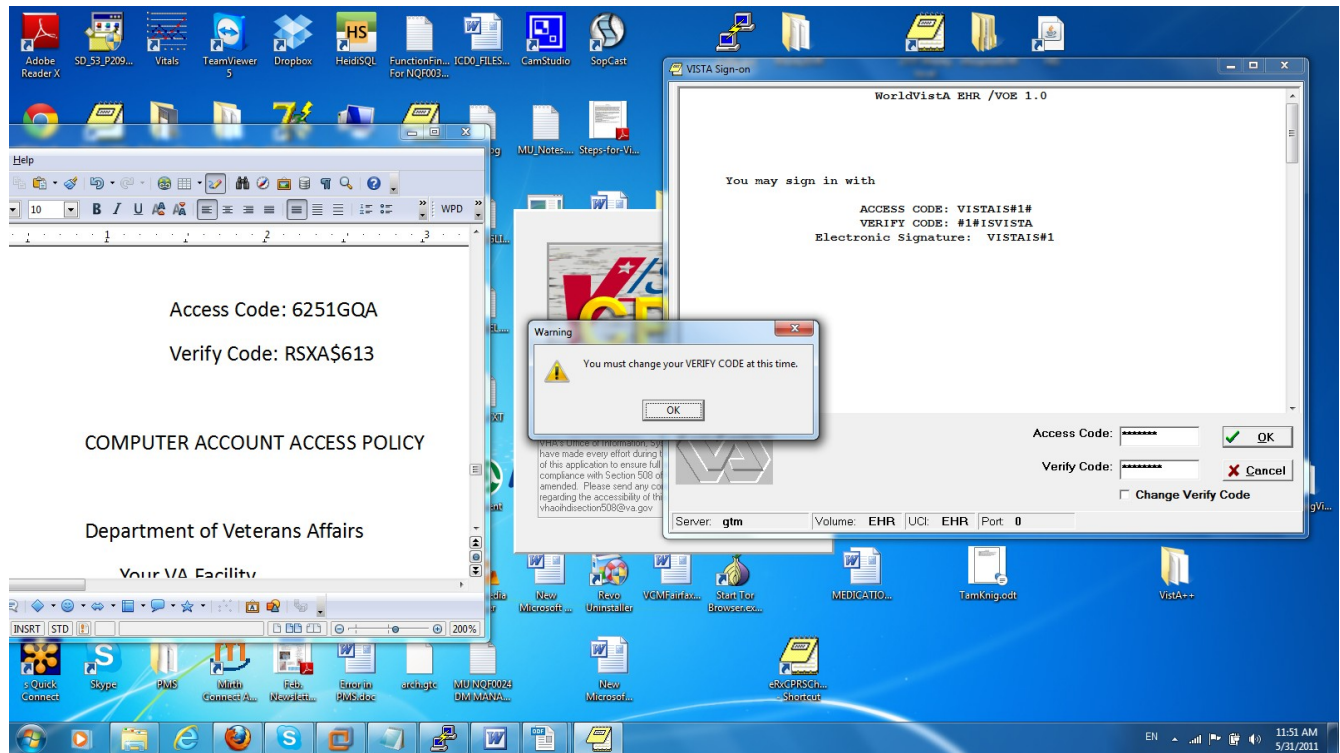
MCKINZIE,MARCIA            61
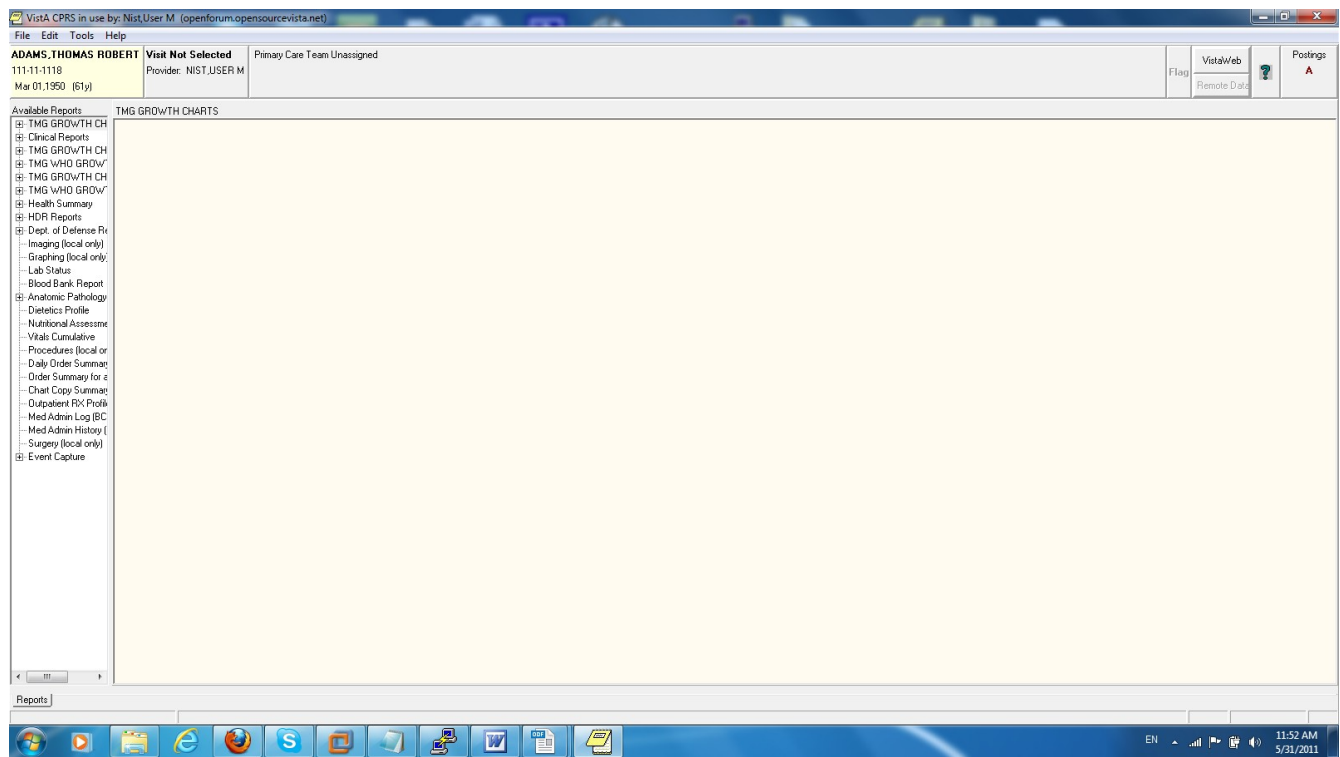
**NIST,USER M            85**
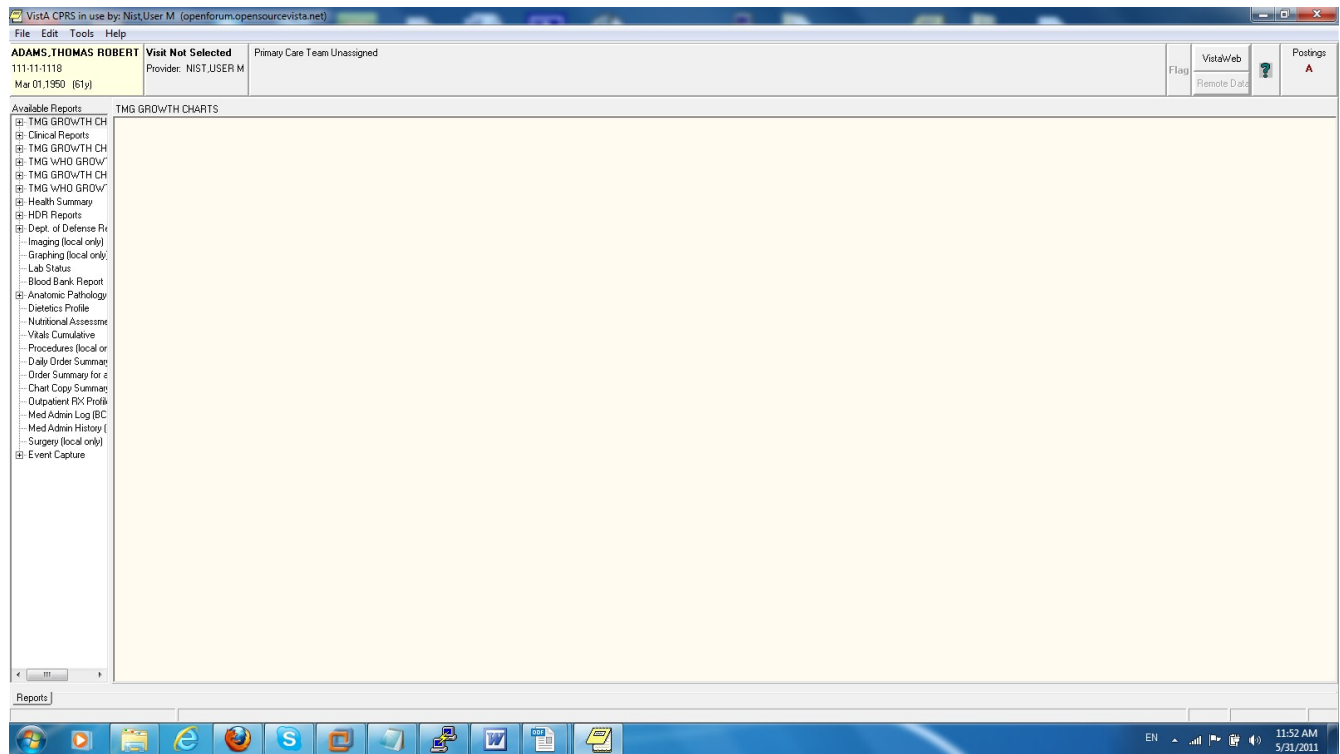
NURSE,EIGHT            33.....END


3)  The tester will attempt to perform the actions that were authorized during the user creation.



NOTE NO OTHER TABS:

4)    The tester will verify that the access is allowed.



5)    The tester will attempt to perform actions that were not authorized during the user creation.

The tester will verify that the actions are not allowed.