

Hazard Analysis
SFWRENG 4G05A

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Table 1: Revision History

Date	Developer(s)	Change
18-10-2024	Inreet Kaur	FMEA Table, Critical Assumptions
18-10-2024	Moamen Ahmed	FMEA Table, Safety + Security Reqs.
20-10-2024	Gurleen Rahi	FMEA Table, Safety + Security Reqs.
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1 Introduction

The purpose of this document is to provide a comprehensive hazard analysis for RapidCare, a software application that aims to streamline the healthcare documentation process. According to Nancy Leveson, hazard is a property/condition within the system and its environment that can cause harm or result in loss [1]. To ensure the safety of the system as well as the user, it is critical to identify and mitigate potential hazards.

For the purposes of this document, we will use the Failure Modes and Effect Analysis (FMEA) method for hazard analysis. This document will provide an overview of the scope and purpose of hazard analysis, system boundaries and components, critical assumptions about the system and its environment, and an FMEA table listing the causes and effects of failure along with recommended actions. The document will also list any additional safety and security requirements identified as a result of hazard analysis and a roadmap for implementation.

2 Scope and Purpose of Hazard Analysis

Hazards can arise from various sources such as user input, security issues, system failure or other external factors where the system is deployed. The scope of this document is a hazard within the various system components as well as the environment in which the system will operate.

The purpose of hazard analysis is to proactively identify all potential hazards, the effects and causes of the failure and to develop appropriate mitigation strategies. Since the system will operate in a healthcare setting, it is critical to identify potential hazards. This will ensure the safety, reliability, and security of the system. Moreover, it is essential to protect sensitive information, delays in treatment, other medical errors, and the safety of the system and user.

3 System Boundaries and Components

To identify potential hazards, we first define the system boundaries and break it down into its major components:

- **Prediction Modules** This module is responsible for all of the predictions that will occur based on the medical notes.
 - PR1: Diagnosis Prediction: The prediction module is responsible for using the clinical notes to provide some diagnosis predictions. The goal of this is module to associate symptoms with common diagnosis'. This allows for a lateral view of possible patient diagnoses.
 - PR2: Medicine Prediction: Once a diagnosis is selected through the model or manual entry the corresponding frequently used medication will also be provided.

Potential Hazards:

- Wrong diagnosis family is predicted.
- Processing non-medical related inputs.

- **User Interface:** The user interface is the point of interaction between the users and the system. It is responsible for displaying outputs from the system, such as patient data, medication suggestions, diagnosis predictions etc. The UI plays a crucial role in ensuring a user-friendly and intuitive experience for the users.

Potential Hazards:

- User errors: incorrect data input or misinterpretation of displayed data
- Inadequate feedback when errors occur
- Incorrect data displayed to the user

- **Data Layer:** The data layer in the system is responsible for managing and processing all data related to patient records, healthcare professionals, health networks, and predictive models for medication and diagnosis. It is divided into the following databases:

- DB1: Patient, Healthcare Professional, and Network Database: This database stores patient records, healthcare professionals, and healthcare network profiles. This component is responsible for storing, retrieving, updating, and deleting data.
- DB2: Diagnosis Prediction Database: This database stores the data used by the diagnosis prediction component to suggest potential diagnoses based on analysis of the transcribed data.
- DB3: Medication Prediction Database: This database holds the data used by the medical prediction component to suggest appropriate medications based on the identified or accepted diagnosis.

Potential Hazards:

- Accidental deletion of database entries or the entire database
- Creation of duplicate records
- Security breaches
- Database crashes

- **API Module (OAuth):** This component securely connects different parts of the system using OAuth authentication. It verifies the identity of users and services before allowing them to access protected resources. The module manages the OAuth process, including user authentication, issuing access tokens, and validating these tokens for each request.

Potential Hazards:

- Failed connection between components

- **User Authentication:** This component verifies and validates user credentials for secure system access. It implements multi-factor authentication and integrates with the system’s cryptographic infrastructure. The component also handles password security and implements measures against unauthorized access attempts.

Potential Hazards:

- User cannot log in to the system

- **Account Management:** This component oversees user account lifecycles within the system. It handles account creation, profile updates, and account deletion, ensuring data integrity throughout these processes.

Potential Hazards:

- Account cannot be created, updated, or deleted

- **Report Generating Module:** The report generating module is responsible for generating organized and thorough reports from the audio conversations recorded during patient’s visit. The important aspects of medical data (such as the symptoms, illness history, etc.) is extracted from the conversation which is then compiled into the report using this module.

Potential Hazards:

- Data inaccuracy
- System crash

- **Transcription Module:** The transcription module is responsible for converting audio data from the conversation to written text. The converted written text is used thereafter used by the report generation module to generate the report of the patient.

Potential Hazards:

- Background noise disruption

4 Critical Assumptions

The following assumptions are made regarding both the software and hardware components of the system:

- **Stable Network Connection:** It is assumed that the network connection between the client and server will be stable. If the connection is unstable, it could cause interruptions to the process, which results in significant issues in the system’s performance.

- **Reliable Hardware:** It is assumed that there won't be any major hardware failures. Although hardware problems are rare, they could severely affect system availability and accuracy, especially in critical healthcare environment.

5 Failure Mode and Effect Analysis

Comp.	Design Function	Failure mode	Effects of failure	Causes of failure	Detection	Recommended action	Req.	Ref.
User Interface	Allow user input and access data	User errors in data input	Incorrect data stored in the database; Inaccurate data may lead to medical errors	Poor UI design; Lack of input validation	User reports; Record validation checks	Display soft feedback to guide user input. Implement input masks, field-level validation, and page-level validation to prevent the system from saving any invalid data. Implement constraints on input data fields.	NFR1; NFR2; IR2	H1.1
		Incorrect interpretation of displayed data	Incorrect diagnosis; Other medical errors	Poor UI design	Feedback mechanisms; Detected medical errors	Improve UI design for clarity. Improve discoverability and use appropriate signifiers for various data fields.	NFR1; NFR2; IR2	H1.2

	Display error messages and provide feedback	Inadequate feedback when errors occur	Users are unaware of the current system state; Unresolved issues; Inaccurate data stored in a database	Insufficient feedback mechanism	Error logs; User reports; Record validation checks	Provide clear and actionable error messages when an error occurs. Use language familiar to the user for easy interpretation. Provide steps to recover from the error state	NFR1; NFR2; IR2	H1.3
	Display correct data to the user	Incorrect data displayed to the user	Incorrect medical decisions; Compromise patient safety	Data processing error; System bugs	User reports; Error logs	Ensure user input is accurately interpreted and stored by the system. Add data verification steps to ensure the system retrieves the correct data to display	IR4	H1.4

Data Layer	Manage and store data in a secure manner	Accidental deletion of database entries or the entire database	Permanent loss of critical data	User error; Lack of validation checks	User reports; Failure to retrieve or access a data instance or database	Display appropriate feedback before confirming the deletion. Implement role-based access control for deletion action. Implement automatic data backup and recovery system.	FR5; FR9; FR2	H2.1
		Creation of duplicate records	Incorrect output displayed to the user; Medical errors	Lack of validation on user input	Record validation checks	Implement validation checks for user input. Implement validation checks before storing a new entry. Regular data integrity checks	IR4	H2.2
		Security breaches	Unauthorized access to sensitive data; Regulatory and compliance issues	Improper authentication and encryption	Security audits; Access logs	Implement strong authentication protocols. Encrypt sensitive data using standard encryption protocols. Ensure compliance with HIPAA and regulatory standards.	NFR6; NFR8; FR7	H2.3

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	Retrieve and store data in real-time.	Database crashes	Inability to access stored data; Inability to store new data	Server overload; System failure	Error messages; Monitoring system performance	Implement failover systems. Implement automatic backups. Implement scalable server infrastructure.	NFR4; NFR5	H2.4
General	Provide continuous access to the system	App closes unexpectedly	Unsaved progress is lost; Delayed medical access to patients	Loss of power or internet; Software failure	User reports; System logs	Implement automatic data backups and recovery system.	NFR4	H3.1
API Module (OAuth)	Securely connect components with OAuth	Failed connection between components	Inability to authenticate users, disrupting services	Network failure, OAuth misconfiguration	Monitor connection status and failed authentication attempts	Check network status, verify OAuth configuration, retry connection	AC??	H5.1
User Authentication	Verify user credentials	User cannot log in to the system	User cannot access any system data or functions	Invalid credentials, database failure	Failed login attempts trigger security alerts	Reset credentials, verify database connectivity	IR1	H6.1

Account Management	Manage user accounts (create, update, delete)	Account cannot be created, updated, or deleted	User unable to register, update info, or remove account	Database failure, validation errors	Log account creation, update, and deletion attempts	Check database integrity, validate inputs, retry operations	AC2	H7.1
Report Generating Module	Generate organized medical reports from audio input	System crash while report generation	Might lead to data loss or delay in fetching information again for compiling	Loss of internet access	Compiling verification checks	The system should check if the compiling can be done successfully while the written notes are being made.	SR4	H8.2
Transcription Module	Convert audio data from the conversation to written text	Incorrect transcription	Inaccurate diagnosis	Background noise disruption	Error analysis through text-review tools	Validation of data accuracy by the healthcare professional	SR3	H8.1; H9.1
Prediction Module	Use medical notes to predict diagnosis and medicine required.	Incorrect due to biased prediction	Healthcare professional may be misled.	Poorly trained model, biased data.	Use validation and cross validation evaluate the models.	Use healthcare professional evaluation and train systematically.	IR7, NFR6	PR1

	Use medical notes to predict diagnosis and medicine required	Processing non-medical related inputs	Healthcare professional may be misled.	Inputs for model are not appropriately filtered for	Add filters to the model pipeline to ensure data inputted is useful data.	Add filters to check for quantitative inputs.	SR5, NFR6	PR2
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6 Safety and Security Requirements

- SR1: The system should be able to filter the background noise to capture the medical data from the audio conversation between the patient and healthcare professional only. **Rationale:** To prevent data inaccuracy with addition of unwanted information in the report.
- SR2: The system should provide validation that the text can be compiled by the report generating module as audio is being transcribed to the written text. **Rationale:** To identify technical errors in the beginning itself. However, in the event of any error, the system should be able to fix it without causing delay in the transcription process.

6.1 Access Requirements

- AC1: The API Module (OAuth) must allow only authenticated users access to system resources. Failed authentication attempts must be logged.
- AC2: Only authorized personnel can create, update, or delete user accounts. Unauthorized actions should be blocked and logged.

6.2 Integrity Requirements

- IR1: User credentials must remain intact during authentication. Failed login attempts should not affect the system's functionality or stored data.
- IR2: The system should provide real-time error detection based on validation checks and provide feedback to users. **Rationale:** To prevent user errors and incorrect output, it is vital to check the integrity of user input. Moreover, in the event of an error, the system should communicate its current state, how the input has been interpreted, and any related errors to the user.
- IR3: The system should provide confidence score on any prediction. Additionally, after each model training session validation accuracy score must be outputted. **Rationale:** To understand the bias in any data and in the model. Using validation scores for training and test sets the model can be evaluated to detect underfitting and overfitting. Additionally, adding model confidence scores will allow the healthcare professionals to see how confident the model is with the scores.
- IR4: The system should provide duplicate record detection for the record in various databases of the system. **Rationale:** To prevent confusion and medical errors resulting from duplicate entries, the system should validate and flag potential duplicate records before they are created.
- SR2: The system should filter out irrelevant parameters before feeding the data into the model. **Rationale:** Medical data may contain a lot of side notes

and information which is not critical for diagnosis and medicine prediction. That data should be filters out and not be passed into the model as an input. This is because the model will be expecting only a certain set of parameters. Any irrelevant parameters must be left out.

6.3 Privacy Requirements

PR1:

6.4 Audit Requirements

AD1:

6.5 Immunity Requirements

IM1:

7 Roadmap

After this hazard analysis a lot of new points, specifically requirements have been raised. In terms of the scope of the capstone project, in terms of these requirements the team will aim to deliver them. SR and IR may be simplified. As for the input check it may be reduced to a simple filter, and the validation scores maybe to simplified to just attempting to mitigate model bias. The roadmap will re-assessed towards the end of the project to see if features can be augmented to complete the requirements.

8 References

- 1 S. Smith, SE 4G06: Capstone Design Project, Lecture: "Hazard Analysis", Faculty of Engineering, McMaster University, Hamilton, October 9, 2024.

Appendix — Reflection

[Not required for CAS 741 —SS]

The purpose of reflection questions is to give you a chance to assess your own learning and that of your group as a whole, and to find ways to improve in the future. Reflection is an important part of the learning process. Reflection is also an essential component of a successful software development process.

Reflections are most interesting and useful when they're honest, even if the stories they tell are imperfect. You will be marked based on your depth of thought and analysis, and not based on the content of the reflections themselves. Thus, for full marks we encourage you to answer openly and honestly and to avoid simply writing "what you think the evaluator wants to hear."

Please answer the following questions. Some questions can be answered on the team level, but where appropriate, each team member should write their own response:

1. What went well while writing this deliverable?
2. What pain points did you experience during this deliverable, and how did you resolve them?
3. Which of your listed risks had your team thought of before this deliverable, and which did you think of while doing this deliverable? For the latter ones (ones you thought of while doing the Hazard Analysis), how did they come about?
4. Other than the risk of physical harm (some projects may not have any appreciable risks of this form), list at least 2 other types of risk in software products. Why are they important to consider?