

EHRIS-FM R2 – Record Infrastructure
Record Entry Lifecycle Event
Metadata on FHIR

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FHIR Resource Index

As of 1 August 2014

General:

- AdverseReaction
- AllergyIntolerance
- CarePlan
- Condition (aka Problem)
- Procedure
- Contraindication
- RiskAssessment

Administrative

Attribution:

- Patient
- RelatedPerson
- Practitioner
- Organization

Infrastructure

Support:

- List
- Media
- Other
- Provenance
- SecurityEvent
- (Binary)

Medications:

- Medication
- MedicationPrescription
- MedicationAdministration
- MedicationDispense
- MedicationStatement
- Immunization
- ImmunizationRecommendation

Entities:

- Device
- Location
- Substance
- Group

Docuemnts:

- Composition
- DocumentReference
- DocumentManifest

Diagnostics:

- Observation
- DiagnosticReport
- DiagnosticOrder
- ImagingStudy
- Specimen
- DeviceObservationReport

Workflow Management:

- Encounter
- Alert
- Supply
- Order
- OrderResponse

Exchange:

- MessageHeader
- OperationOutcome
- Query
- Subscription

Data Collection:

- Questionnaire
- QuestionnaireAnswers
- FamilyHistory
- DataElement

Scheduling:

- Appointment
- Appointment Response
- Availability
- Slot

Conformance:

- Conformance
- Profile
- OperationDefinition
- ValueSet
- ConceptMap
- Namespace

Current/Emerging Projects Related to...

EHR-S FM Record Infrastructure

- EHR Record Lifecycle Event Metadata using HL7 Fast Health Interoperable Resources (FHIR) – [this project](#)
- S&I Data Provenance
- S&I esMD
- S&I Simplification
 - S&I Use Case Requirements Analysis
 - Use Case Authoring Tool (UCAT) Development
- HL7 Functional Model Framework
 - Next Releases of EHR-S FM (R3), PHR-S FM (R2), Lab FM (?)
- HL7 Vocabulary Harmonization: EHR, Security, CBCC WGs
- Functional Profile Development: RM-ES R2, MU FP, PH FPs
- ISO 21089 Revision, Trusted End-to-End Information Flows
- ISO 13606 Revision, EHR Communication
- Others: HSPC?

| ISO/HL7 Standard or S&I Activity → | | ISO 21089:2004 Trusted End2End Published TR | ISO 21089:2014 Trusted End2End In development | ISO/HL7 10781 EHR FM R2:2014 Published | ISO/HL7 16527 PHRS FM R1:2014 Published | ISO/HL7 16527 PHRS FM R2 In development | ISO 19669 – Re- Usable Use Case In development | ISO 13606 – EHR Communication In Revision | HL7 EHR Lifecycle Model DSTU:2008 Published | HL7 RM-ES FP R1 2009 Published | HL7 RM-ES FP R2 In Development | HL7 Record Lifecycle on FHIR In Development | US S&I Simplification | US S&I Data Provenance |
|---|-----------------------------------|---|---|--|---|---|--|---|---|--------------------------------------|-----------------------------------|---|--------------------------|---------------------------|
| Vocabulary Alignment Underway: HL7 EHR, CBCC, Security WGs ↓ | | | | | | | | | | | | | | |
| Record Lifecycle Event ↓ (EHR-S FM RI.1.1.x) | | | | | | | | | | | | | | |
| 1 | Originate/Retain Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 2 | Amend Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 3 | Translate Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 4 | Attest Record Entry | | X | X | | X | X | | X | | X | X | X | |
| 5 | View/Access Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 6 | Output/Report Record Entry | X | X | X | | X | X | X | X | | X | X | X | |
| 7 | Disclose Record Entry | X | X | X | | X | X | X | X | | X | X | X | |
| 8 | Transmit Record Entry | X | X | X | | X | X | X | X | | X | X | X | |
| 9 | Receive/Retain Record Entry | X | X | X | | X | X | X | X | | X | X | X | |
| 10 | De-Identify Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 11 | Pseudo-nymize Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 12 | Re-Identify Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 13 | Extract Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 14 | Archive Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 15 | Restore Record Entry | | X | X | | X | X | | X | | X | X | X | |
| 16 | Destroy Record Entry | X | X | X | | X | X | | X | | X | X | X | |
| 17 | Deprecate/Retract Record Entry | | X | X | | X | X | | | | X | X | X | |
| 18 | Re-Activate Record Entry | | X | X | | X | X | | | | X | X | X | |
| 19 | Merge Record Entry | | X | X | | X | X | | | | X | X | X | |
| 20 | Unmerge Record Entry | | X | X | | X | X | | | | X | X | X | |
| 21 | Link Record Entry | | X | X | | X | X | | | | X | X | X | |
| 22 | Unlink Record Entry | | X | X | | X | X | | | | X | X | X | |
| 23 | Place Legal Hold on Record Entry | | X | X | | N/A | X | | | | X | X | X | |
| 24 | Remove Legal Hold on Record Entry | | X | X | | | X | | | | X | X | X | |
| 25 | Verify Record Entry Content | X | X | | | X | X | | X | | X | X | X | |
| 26 | Encrypt Record Entry | | X | | | X | X | | | | X | X | X | |
| 27 | Decrypt Record Entry | | X | | | X | X | | | | X | X | X | |
| Applicable Lifecycle Events → | | 15 | 27 | 24 | 0 | 25 | 27 | 4 | 16 | 0 | 27 | 27 | 27 | ? |

Exchange

TBD

Now Underway


Mapping to FHIR

| | |
|---|--|
| ISO/HL7 10781 EHR-S FM R2 Record Infrastructure (RI) → 24(+3) Record Lifecycle Events | FHIR Resources |
| <u>Basic Lifecycle Event</u> | <ul style="list-style-type: none">• SecurityEvent |
| <u>Provenance Lifecycle Event</u> when Record Entry content is originated or updated | <ul style="list-style-type: none">• SecurityEvent• Provenance• [other new/updated resource(s)] → corresponding to Action Taken |

↑ Resources may also be indivisibly and immutably bound by one or more digital signatures in the Record Entry.

EHR-S FM Record Lifecycle


Pre/Post Events 1-9



| Pre Event State | Resource @ Event | Post Event State | | | | |
|---|-------------------------------|----------------------------|--------------------------------------|-------------------------|---------------------|---------------------|
| | SecurityEvent + Provenance | Added Event Evidence | Retained Pre Edition Unaltered | Added New Edition | Signed as Author | Signed as System |
| [none] | 1 Originate/Retain | X | | X | Opt | X |
| [Record Entry as persisted, indivisible and immutable since previous Lifecycle Event] | 2 Amend | X | X | X | Opt | X |
| | 3 Translate | X | X | X | | X |
| | 4 Attest | X | X | | X | X |
| | 5 Access/View | X | | | | |
| | 6 Output/Report | X | | | | X |
| | 7 Disclose | X | | | | X |
| | 8 Transmit | X | | | | X |
| | 9 Receive/Retain | X | X | | | |

EHR-S FM Record Lifecycle

Pre/Post Events 10-18



| Pre Event State | Resource @ Event | Post Event State | | | | |
|--|-------------------------------|----------------------------|--------------------------------------|-------------------------|---------------------|---------------------|
| | SecurityEvent + Provenance | Added Event Evidence | Retained Pre Edition Unaltered | Added New Edition | Signed as Author | Signed as System |
| [Record Entry as persisted, indivisible and immutable since previous Lifecycle Event] | 10 De-Identify | X | X | X | | X |
| | 11 Pseudonymize | X | | | | |
| | 12 Re-Identify | X | | | | |
| | 13 Extract | X | X | X | | X |
| | 14 Archive | X | | | | |
| | 15 Restore | X | | | | |
| | 16 Destroy/Delete | X | [none] | | | |
| | 17 Deprecate | X | | | | |
| | 18 Re-Activate | X | | | | |

EHR-S FM Record Lifecycle

Pre/Post Events 19-27



| Pre Event State | Resource @ Event | Post Event State | | | | |
|--|-------------------------------|----------------------------|--------------------------------------|-------------------------|---------------------|---------------------|
| | SecurityEvent + Provenance | Added Event Evidence | Retained Pre Edition Unaltered | Added New Edition | Signed as Author | Signed as System |
| [Record Entry as persisted, indivisible and immutable since previous Lifecycle Event] | 19 Merge | X | X | X | | |
| | 20 Unmerge | X | | | | |
| | 21 Link | X | | | | |
| | 22 Unlink | X | | | | |
| | 23 Add Legal Hold | X | | | | |
| | 24 Remove Legal Hold | X | | | | |
| | 25 Verify (new) | X | | | | |
| | 26 Encrypt (new) | X | X | ? | | |
| | 27 Decrypt (new) | X | X | ? | | |

Record Entry Event Lifecycle




Pre/Post Entry Content w/FHIR

| | <u>Prior Event Added</u> | <u>During Interval between Events</u> Retains (at rest): Indivisibly+Immutablely | PRE | <u>At New Event Adds</u> | POST |
|--------------|--------------------------------------|---|-----|--------------------------------------|----------------------------|
| Basic | 1 SecurityEvent instance | 1 or more SecurityEvent instances >> One per each prior Record Lifecycle Event | → | 1 SecurityEvent instance | <i>Becomes Prior Event</i> |
| w/Provenance | 1 Provenance instance | 1 or more Provenance instances >> One per each prior Record Lifecycle Provenance Event | → | 1 Provenance instance | |
| | 1 or more other resource instance(s) | 1 or more other FHIR resource instances > Corresponding to Action(s) Taken > As documented in Record Entry(ies) | → | 1 or more other resource instance(s) | |

Originate/Retain Record Entry

With Event Evidence (RI.1.1.1.1) →
↓ At Lifecycle Event Occurrence (RI.1.1.1)

1. The system SHALL provide the ability to capture (originate) a Record Entry instance corresponding to an Action instance and context.
2. The system SHALL capture a unique instance identifier for each Record Entry.
3. The system SHALL capture the signature event (e.g., digital signature) of the origination entry Author, binding signature to Record Entry content.
4. The system SHALL provide the ability to capture both structured and unstructured content in Record Entries.
5. The system SHALL provide the ability to capture Record Entries from information recorded during system downtime.
6. The system SHOULD provide the ability to integrate Record Entries from Information recorded during system downtime.
7. The system SHALL provide the ability to capture date/time an Action was taken or data was collected if different than date/time of the Record Entry.
8. The system SHOULD capture metadata that identifies the source of non-originated Record Entry (e.g., templated, copied, duplicated, or boilerplate information).
9. The system MAY provide the ability to tag unstructured Record Entry content to organize it according to need, for example, in a time-related fashion or by application-specific groups (such as photographs, handwritten notes, or auditory sounds), or by order of relative importance.
10. The system MAY capture and maintain a Record Entry encoded as a standards-based data object (e.g., HL7 Continuity of Care, other HL7 CDA R2 Document, ISO 13606 artifact).
11. The system MAY capture and maintain a standards-based data object to mirror (be duplicate and synchronous with) internal Record Entry representation.

Fulfilled by FHIR Resource Implementation 
Lifecycle Event Metadata 
Others for consideration 

1. The system SHALL audit each occurrence when a Record Entry is originated and retained.
2. The system SHALL capture identity of the organization where Record Entry content is originated.
3. The system SHALL capture identity of the patient who is subject of Record Entry content.
4. The system SHALL capture identity of the individual(s) who performed the Action documented in Record Entry content.
5. The system SHALL capture identity of the user who entered/authored Record Entry content.
6. The system SHALL capture identity of the system application which originated Record Entry content.
7. IF the source of Record Entry content is a device THEN the system SHALL capture identity of the device.
8. The system SHALL capture the Action as evidenced by Record Entry content.
9. The system SHALL capture the type of Record Event trigger (i.e., originate/retain).
10. The system SHALL capture date and time of Action occurrence as evidenced by Record Entry content.
11. The system SHALL capture date and time Record Entry content is originated.
12. The system MAY capture the duration of the Action evidenced by Record Entry content.
13. The system MAY capture the physical location of the Action evidenced by Record Entry content.
14. The system SHOULD capture identity of the location (i.e., network address) where Record Entry content is originated.
15. The system MAY capture the rationale for the Action evidenced by Record Entry content.
16. The system MAY capture the rationale for originating Record Entry content.
17. IF Record Entry content includes templates (boilerplate information) or copied (duplicated) information THEN the system SHOULD capture the source of such content.

EHR-S FM Record Infrastructure (RI) – Lifecycle Events

Action/Event Evidence/Metadata

| | Action | Corresponding Record Entry(ies) |
|-------|---|--|
| Who | Patient, Subject of Action or Entry | User/Author Source of Entry |
| | Practitioner, Performer of Action | System/Device Source of Entry |
| | Organization of Action | |
| What | Action Taken | Record Lifecycle Event |
| When | Date/Time/Duration of Action Occurrence | Date/Time of Entry Occurrence |
| Where | Location of Action Taken | Device ID, Network Address of Entry Occurrence |
| Why | Rationale, Purpose for Action Taken | Rationale, Purpose of Entry |

EHR-S FM Record Infrastructure (RI) – Lifecycle Events

More Evidentiary Metadata

| |
|---|
| Record Entry ID |
| Record Entry Content: Data, Document and/or Artifact ID(s) |
| Corresponding/linked Record Entry(ies) |
| Amendment/Translation Sequence |
| Pointer to Pre-Event Entry, if chained: e.g., pre-amendment, pre-translation |
| Source of Copied Content: e.g., via copy/paste, template or boilerplate |
| Event is known Disclosure |
| Permissions associated with Entry Content |
| Entry(ies) in Event Transaction: e.g., set of entries viewed, entries extracted, entries to be archived or deleted. |

Lifecycle Event Metadata

Who

| Metadata | FHIR Resource | Resource Attribute(s) |
|--------------------|----------------------------------|---|
| Organization | Provenance.Agent : 0..* | role : Coding 1..1 « ProvenanceAgentRole+ » type : Coding 1..1 « ProvenanceAgentType+ » reference : uri 1..1 |
| | SecurityEvent.Participant : 1..* | role : CodeableConcept 0..* « DICOMRoleId+ » reference : Resource(Organization Practitioner Patient Device) 0..1 userId : string 0..1 |
| Patient | Provenance.Agent : 0..* | role : code 1..1 « ProvenanceEntityRole » type : Coding 1..1 « ProvenanceEntityType+ » reference : uri 1..1 |
| | SecurityEvent.Participant : 1..* | role : CodeableConcept 0..* « DICOMRoleId+ » reference : Resource(Organization Practitioner Patient Device) 0..1 userId : string 0..1 |
| Action - Performer | Provenance.Agent : 0..* | role : Coding 1..1 « ProvenanceAgentRole+ » type : Coding 1..1 « ProvenanceAgentType+ » reference : uri 1..1 |
| | SecurityEvent.Participant : 1..* | role : CodeableConcept 0..* « DICOMRoleId+ » reference : Resource(Organization Practitioner Patient Device) 0..1 userId : string 0..1 |

Lifecycle Event Metadata

Who, con't

| Metadata | FHIR Resource | Resource Attribute(s) |
|---------------------------|-------------------------------------|--|
| Record - Author/ User | Provenance.Agent : 0..* | role : Coding 1..1 « ProvenanceAgentRole+ » type : Coding 1..1 « ProvenanceAgentType+ » reference : uri 1..1 |
| | SecurityEvent.Participant : 1..* | role : CodeableConcept 0..* « DICOMRoleId+ » reference : Resource(Practitioner Patient Device) 0..1 userId : string 0..1 |
| Record - System/Device | Provenance.Agent : 0..* | role : Coding 1..1 « ProvenanceAgentRole+ » type : Coding 1..1 « ProvenanceAgentType+ » reference : uri 1..1 |
| | SecurityEvent.Participant : 1..* | role : CodeableConcept 0..* « DICOMRoleId+ » reference : Resource(Practitioner Patient Device) 0..1 userId : string 0..1 |

Need to distinguish Action from Record Metadata.

Why is Provenance.Agent.reference a uri instead of a Resource (like others)?

Lifecycle Event Metadata

What

| Metadata | FHIR Resource | Resource Attribute(s) |
|--------------------------|-----------------------------|---|
| Action - Taken | SecurityEvent.Event : 1..1 | type : CodeableConcept 1..1 « SecurityEventType+ » subtype : CodeableConcept 0..* « SecurityEventSubType+ » action : code 0..1 « SecurityEventAction » |
| | ? | ? |
| Record - Lifecycle Event | SecurityEvent.Event : 1..1 | type : CodeableConcept 1..1 « SecurityEventType+ » subtype : CodeableConcept 0..* « SecurityEventSubType+ » action : code 0..1 « SecurityEventAction » |
| | SecurityEvent.Object : 0..* | identifier : Identifier 0..1 reference : Resource(Any) 0..1 type : code 0..1 « SecurityEventObjectType » role : code 0..1 « SecurityEventObjectRole » lifecycle : code 0..1 « SecurityEventObjectLifecycle » |

Action Taken = <list of resources>?

Lifecycle Event Metadata

When

| Metadata | FHIR Resource | Resource Attribute(s) |
|---------------------------------------|----------------------------|---|
| Action - Date/ Time | Provenance | target : Resource(Any) 1..* period : Period 0..1 |
| Record - Date/ Time | Provenance | recorded : instant 1..1 |
| | SecurityEvent.Event : 1..1 | dateTime : instant 1..1 |
| Action - Duration/ Elapsed Time | Provenance | period : Period 0..1 |

Lifecycle Event Metadata

Where

| Metadata | FHIR Resource | Resource Attribute(s) |
|----------------------------|-----------------------------------|--|
| Action - Physical Location | Provenance | <code>location</code> : Resource(Location) 0..1 |
| | SecurityEvent.Source | <code>site</code> : string 0..1 <code>identifier</code> : string 1..1 <code>type</code> : code 0..* |
| | | <code>location</code> : Resource(Location) 0..1 |
| Record - Network Address | Provenance | <code>location</code> : Resource(Location) 0..1 |
| | SecurityEvent.Participant.Network | <code>identifier</code> : string 0..1 <code>type</code> : code 0..1 « SecurityEventParticipantNetworkType » |

Add “location” to SecurityEvent.Event?

Lifecycle Event Metadata

Why

| Metadata | FHIR Resource | Resource Attribute(s) |
|-------------------------------------|----------------------------|--------------------------------------|
| Action - Reason, Rationale, Purpose | Provenance | <i>reason</i> : CodeableConcept 0..1 |
| | SecurityEvent.Event : 1..1 | <i>reason</i> : CodeableConcept 0..1 |
| Record - Reason, Rationale, Purpose | Provenance | <i>reason</i> : CodeableConcept 0..1 |
| | SecurityEvent.Event : 1..1 | <i>reason</i> : CodeableConcept 0..1 |

Add “reason” to SecurityEvent.Event?

Lifecycle Event Metadata

Evidentiary

| Metadata | FHIR Resource | Resource Attribute(s) |
|--|-----------------------------|--|
| Record Entry ID | SecurityEvent.Object : 0..* | identifier : Identifier 0..1 reference : Resource(Any) 0..1 |
| Record Entry Content ID(s): data, documents, artifacts | SecurityEvent.Object : 0..* | identifier : Identifier 0..1 reference : Resource(Any) 0..1 |
| Corresponding/linked Record Entry(ies) | SecurityEvent.Object : 0..* | identifier : Identifier 0..1 reference : Resource(Any) 0..1 |
| Amendment/Translation Sequence | SecurityEvent.Object : 0..* | lifecycle : code 0..1 « SecurityEventObjectLifecycle » |
| Pointer to Pre-Event Entry, if chained | SecurityEvent.Object : 0..* | identifier : Identifier 0..1 reference : Resource(Any) 0..1 |

Lifecycle Event Metadata

Evidentiary, con't

| Metadata | FHIR Resource | Resource Attribute(s) |
|------------------------------|----------------------------------|--|
| Source of Copied Content | SecurityEvent.Object : 0..* | identifier : Identifier 0..1 reference : Resource(Any) 0..1 type : code 0..1 « SecurityEventObjectType » role : code 0..1 « SecurityEventObjectRole » |
| Event is known Disclosure | SecurityEvent.Object : 0..* | lifecycle : code 0..1 « SecurityEventObjectLifecycle », where lifecycle = "disclosure" |
| Record Entry Permissions | SecurityEvent.Participant : 1..* | role : CodeableConcept 0..* « DICOMRoleId+ » reference : Resource(Practitioner Patient Device) 0..1 userId : string 0..1 |
| | SecurityEvent.Object : 0..* | sensitivity : code 0..1 «SecurityEvent.object.sensitivity » |
| Event Transaction Entry(ies) | SecurityEvent.Object : 0..* | identifier : Identifier 0..1 reference : Resource(Any) 0..1 type : code 0..1 « SecurityEventObjectType » |

Source of copied content: e.g., via copy/paste, template, boilerplate?

FHIR Resource

Provenance

| Resource | Attribute | Description | Value Set |
|------------|---|---|-----------|
| Provenance | | → Who, What, When for a set of resources | |
| | target : Resource(Any) 1..* | Target resources (usually version specific) | |
| | period : Period 0..1 | When the activity occurred | |
| | recorded : instant 1..1 | When the activity was recorded/updated | |
| | location : Resource(Location) 0..1 | Where the activity occurred, if relevant | |
| | reason : CodeableConcept 0..1 | Reason activity is occurring | |

Create value set for “reason”?

FHIR Resource

Provenance.Agent

| Resource | Attribute | Description | Value Set |
|------------------|---|---|---|
| Provenance.Agent | | → Person, organization, records, etc. involved in creating resource | |
| | role : Coding 1..1 « ProvenanceAgentRole+ » | | <confirm> Enterer, performer, author, verifier, attester, informant, source, cc, application, daemon |
| | type : Coding 1..1 « ProvenanceAgentType+ » | | <confirm> Practitioner, organization, software, record, document |
| | reference : uri 1..1 | | |

Review value sets for “role” and “type”.
Why is “reference” a uri not a resource?

FHIR Resource

SecurityEvent.Event

| Resource | Attribute | Description | Value Set |
|---------------------|---|---|---|
| SecurityEvent.Event | | → What was done | |
| | type : CodeableConcept 1..1 « SecurityEventType+ » | Type/identifier of event | <confirm> Rest + DICOM codeset |
| | subtype : CodeableConcept 0..* « SecurityEventSubType+ » | More specific type/id for the event | <confirm> Read, vread, update, delete, validate, create, history-instance, history-type, history-system, search-type, search-system, transaction + DICOM codeset |
| | action : code 0..1 « SecurityEventAction » | Type of action performed during the event | <confirm> C) Create; R) Read/view/print; U) Update; D) Delete; E) Execute. |
| | dateTime : instant 1..1 | Time when the event occurred on source | |
| | location : Resource(Location) 0..1 | TBD | |
| | reason : CodeableConcept 0..1 | TBD | TBD |

Review value sets for “type”, “subtype” and “action”.
Add “location” and “reason” and value set for “reason”.

FHIR Resource

SecurityEvent.Source

| Resource | Attribute | Description | Value Set |
|----------------------|---|---|--|
| SecurityEvent.Source | | → Application systems and processes | |
| | site | Logical source location within the enterprise | |
| | identifier | The id of source where event originated | |
| | type : CodeableConcept 1..1 « SecurityEventSourceType+ » | The type of source where event originated | <confirm> 1) User Device; 2) Data Interface; 3) Web Server; 4) Application Server; 5) Database Server; 6) Security Server Security server; 7) Network Device; 8) Network Router; 9) Other. |
| | location : Resource(Location) 0..1 | TBD | |

Why not “location” resource instead of site, identifier and type?
 Review value set for “type”.

FHIR Resource

SecurityEvent.Object

| Resource | Attribute | Description | Value Set |
|----------------------|---|--|---|
| SecurityEvent.Object | | → Specific instances of data or objects accessed | |
| | identifier : Identifier 0..1 | Specific instance of object (e.g. versioned) | |
| | reference : Resource(Any) 0..1 | Specific instance of resource (e.g. versioned) | |
| | type : code 0..1 « SecurityEventObjectType » | Object type being audited | <confirm> 1) Person; 2) System Object; 3) Organization; 4) Other. |
| | role : code 0..1 « SecurityEventObjectRole » | Functional application role of Object | <confirm> 1) patient; 2) location; 3) report; 4) resource; 5) master file; 6) user; 7) list; 8) doctor; 9) subscriber; 10) guarantor; 11) security user entity; 12) security user group; 13) security resource; 14) security granularity definition; 15) practitioner; 16) data destination; 17) data reposition; 18) schedule; 19) customer; 20) job; 21) job stream; 22) table; 23) routing criteria; 24) query. |

Review value sets for “type” and “role”.

FHIR Resource

SecurityEvent.Object, con't

| Resource | Attribute | Description | Value Set |
|----------------------|---|---|---|
| SecurityEvent.Object | lifecycle : code 0..1 « SecurityEventObjectLifecycle » | Life-cycle stage for the object | <confirm> 1 OriginationCreation; 2) Import/ Copy from original; 3) Amendment; 4) Verification; 5) Translation; 6) Access/Use; 7) De-identification; 8) Aggregation, summarization, derivation; 9) Report; 10) Export/ Copy to target; 11) Disclosure; 12) Receipt of disclosure; 13) Archiving; 14) Logical deletion; 15) Permanent erasure/Physical destruction |
| | sensitivity : code 0..1 « SecurityEvent.object.sensitivity » | Policy-defined sensitivity for the object | <confirm> L) Low; M) Moderate; N) Normal; R) Restricted; U) Unrestricted; V) Very restricted. |

Review value sets for “lifecycle” and “sensitivity”.

FHIR Resource

SecurityEvent.Participant.Network

| Resource | Attribute | Description | Value Set |
|-----------------------------------|--|--|-----------|
| SecurityEvent.Participant.Network | | → Logical network location for application activity | |
| | identifier : string 0..1 | Identifier for the network access point of a user device | |
| | type : code 0..1 « SecurityEventParticipantNetworkType » | The type of network access point | <confirm> |

Review value set for “type”.

Record Entry and FHIR Resources

- An EHR System manages a persistent EHR comprising Record Entries for
 - one or more provider organizations,
 - one to many individual practitioners, and
 - one to many patients
- An EHR comprises
 - one to many Record Entry instances
- A Record Entry instance may comprise
 - one to many FHIR Resource instance(s)
 - with signature bindings

Project Focus/Success Criteria

FHIR Enabled Lifecycle Events

| Project Focus | Success Criteria |
|--|---|
| <p>Binds (joins) FHIR Resource Instance(s) together in Record Entry Instance:</p> <ul style="list-style-type: none">• Including applicable Clinical, Administrative, Infrastructure Resources• Based on Action(s) Taken | <ul style="list-style-type: none">• Complete specification of baseline Set of FHIR Resources applicable at each Record Lifecycle Event (1-24) and captured in the resulting Record Entry Instance• Allowing additional Resources to be bound in a Record Entry Instance, per Clinical, Administration and/or other context |
| <p>Includes Pre- and Post-Lifecycle Event Entry States</p> <ul style="list-style-type: none">• e.g., before/after amendment or translation | <ul style="list-style-type: none">• Complete specification of how both pre- and post-lifecycle event states (of FHIR Resources) are captured and preserved in one or more Record Entries |

Project Focus/Success Criteria

FHIR Enabled Lifecycle Events

| Project Focus | Success Criteria |
|---|--|
| Includes Action/Event Metadata | <ul style="list-style-type: none">• Complete specification of Action/Event Metadata (in FHIR Resources) per Record Entry |
| Includes Attestation and Content Binding <ul style="list-style-type: none">• With/without Digital Signature | <ul style="list-style-type: none">• Complete specification of:<ul style="list-style-type: none">• Attestation and/or Digital Signature bound to Record Entry content |

Dimensions of End-to-End Flow

Record Lifespan

1. Within Single System


- Starting at point of origination, in Source System
- Starting at point of receipt, in Receiving System
- Ending at point of deletion

2. Across Multiple Systems

- Starting at point of origination, in Source System
- Traversing one or more Points of Exchange
- Ending at point of deletion, in each System

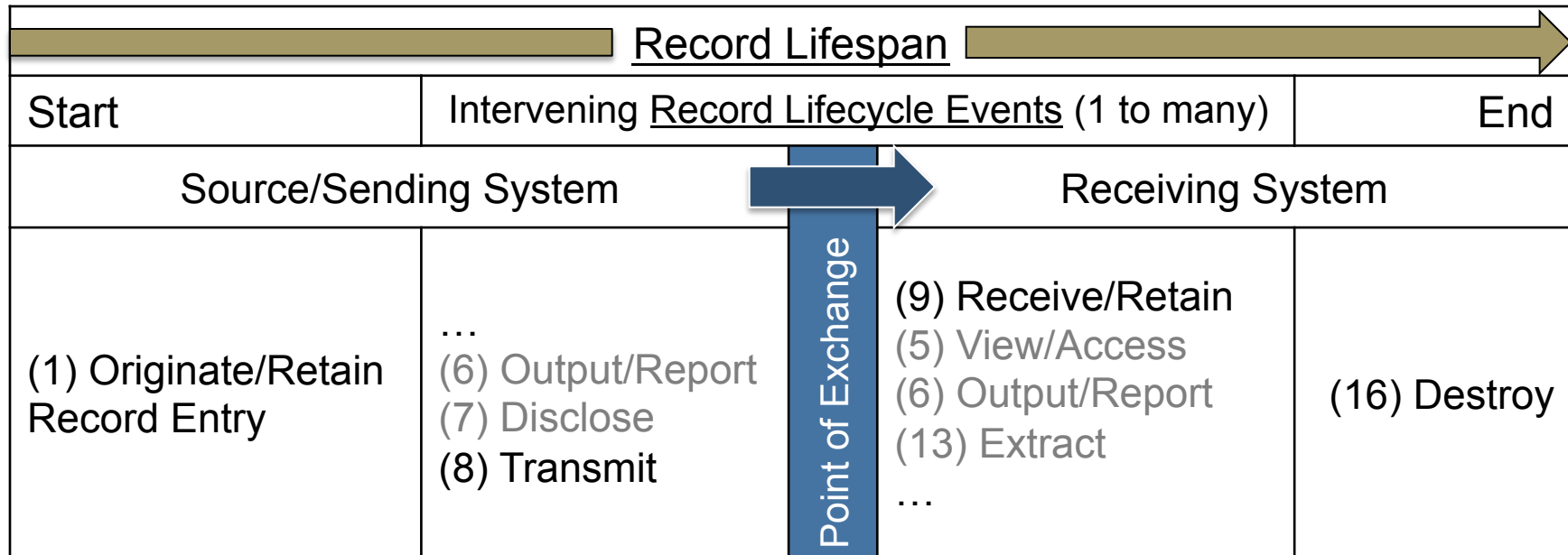
Record Lifespan – End-to-End

Within Single System

| Record Lifespan  | | |
|---|---|--------------|
| Start | Intervening Record Lifecycle Events (0 to many) | End |
| <u>Source System</u> (1) Originate/ Retain Record Entry | (2) Amend (3) Translate (25,4) Verify, Attest (5) View/Access (6) Output/Report (7) Disclose (8) Transmit (10) De-Identify (11) Pseudo-nymize (12) Re-Identify (13) Extract | (16) Destroy |
| <u>Receiving System</u> (9) Receive/Retain Record Entry | (14,15) Archive, Restore (17,18) Deprecate/Retract, Re-Activate (19,20) Merge, Unmerge (21,22) Link, Unlink (23,24) Place, Remove Legal Hold (26,27) Encrypt, Decrypt | (16) Destroy |

Record Lifespan – End-to-End

Across Multiple Systems



Repeated at each point of exchange...

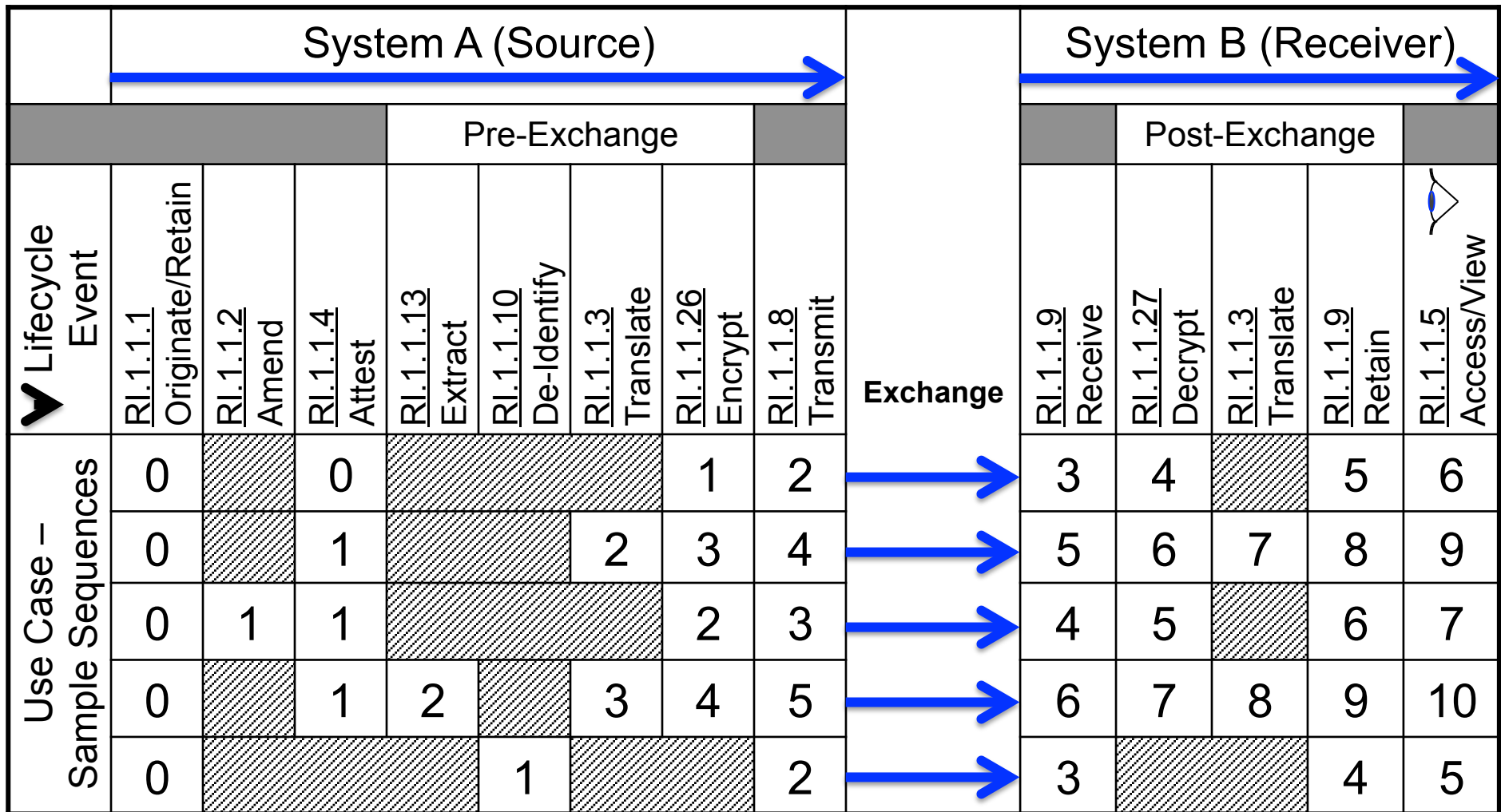
Record Lifecycle Events

Sample Sequences

| | System A (Source) | | | System B (Receiver) | | |
|---|-------------------------|---|--------------------------|---------------------|--------------------------|----------------------|
| 1 | ◆ Originate ◆ Retain | ◆ Attest ◆ Encrypt | ◆ Disclose ◆ Transmit | ◆ Receive | ◆ Decrypt | ◆ Retain ◆ Access |
| 2 | | ◆ Attest ◆ Translate ◆ Encrypt | | | ◆ Decrypt ◆ Translate | |
| 3 | | ◆ Amend ◆ Attest ◆ Encrypt | | | ◆ Decrypt | |
| 4 | | ◆ Attest ◆ Extract ◆ Translate ◆ Encrypt | | | ◆ Decrypt ◆ Translate | |
| 5 | | ◆ De-Identify | | | | |

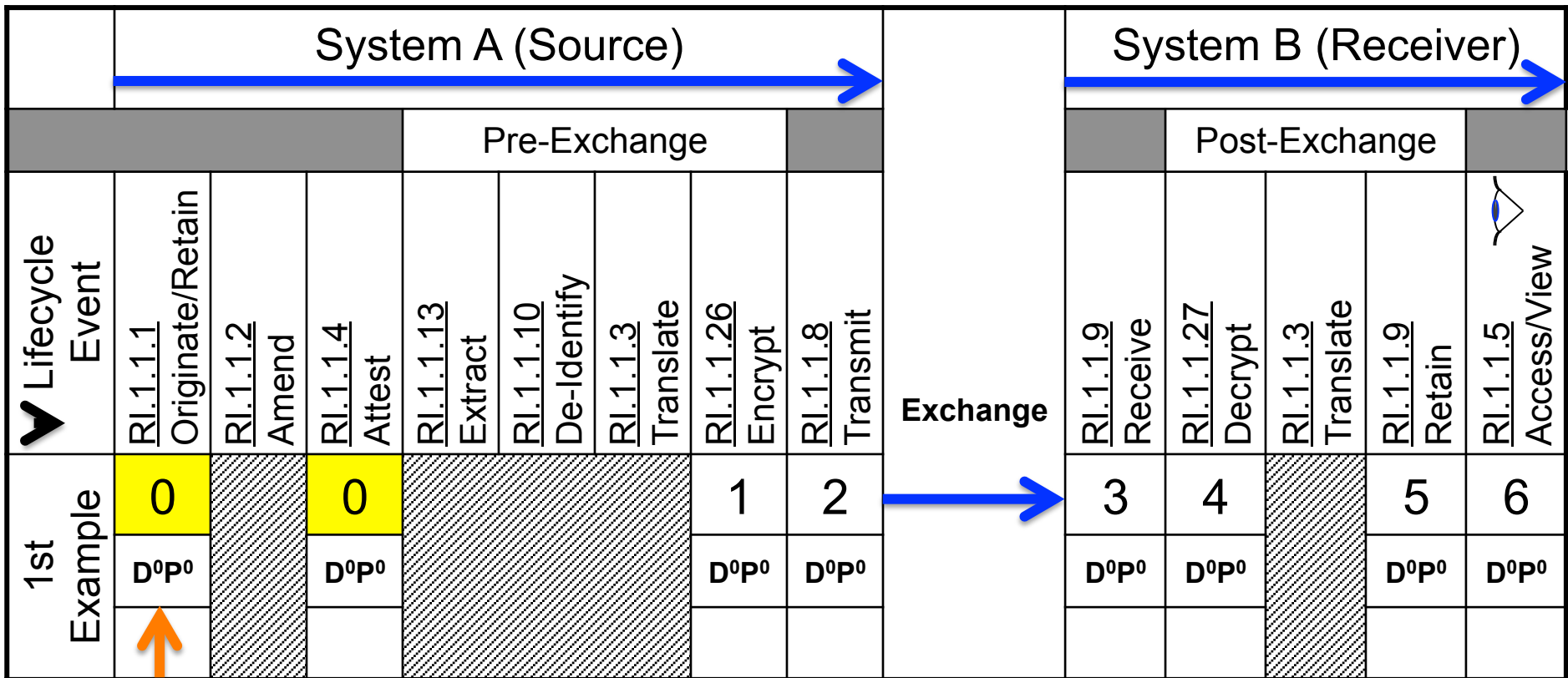
Record Lifecycle Events

Examples Du Jour



1st Example

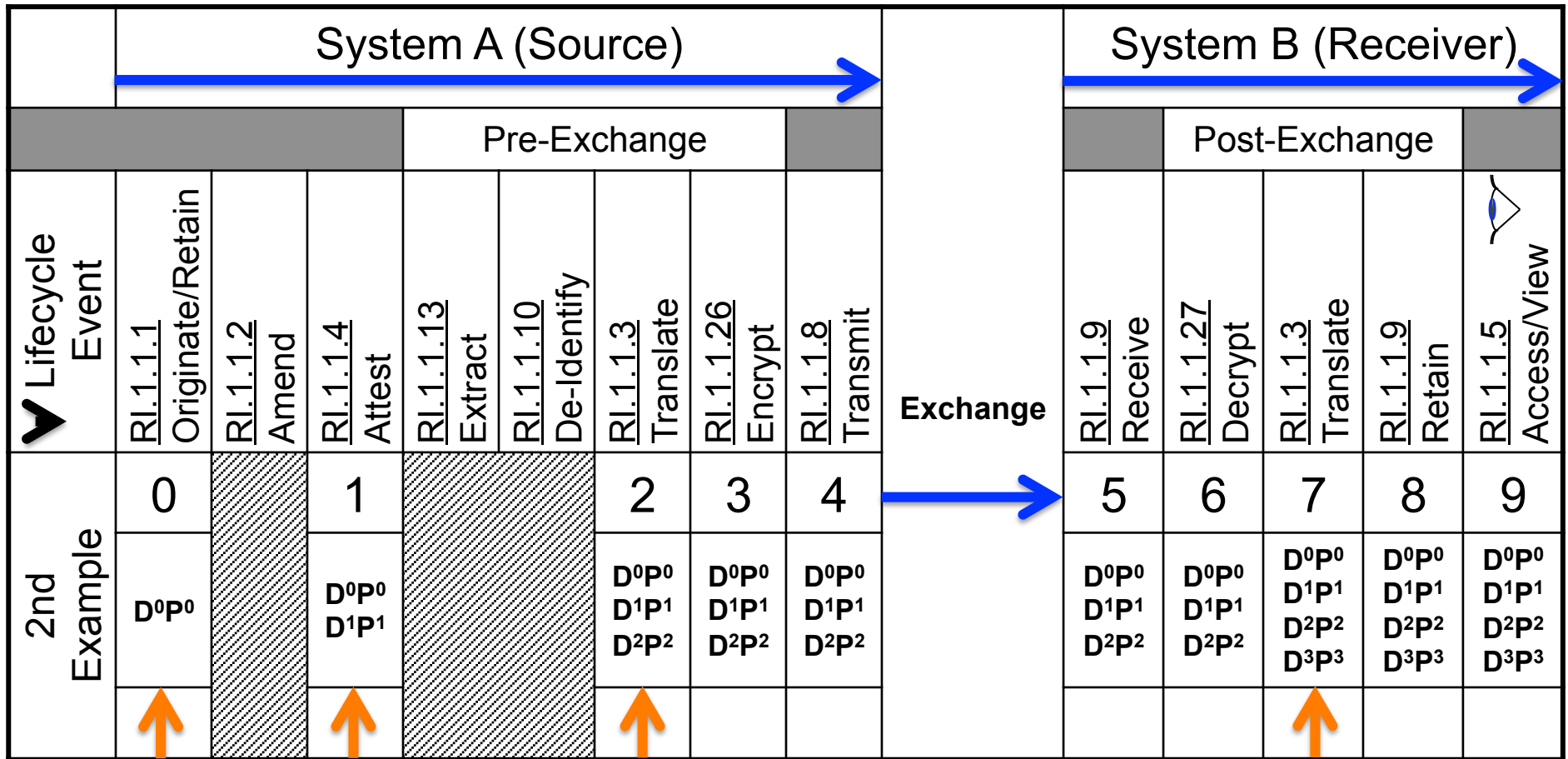
Lifecycle Event Sequences



↑ = New Provenance Event; D^xP^x = Data/Provenance Duplets

2nd Example

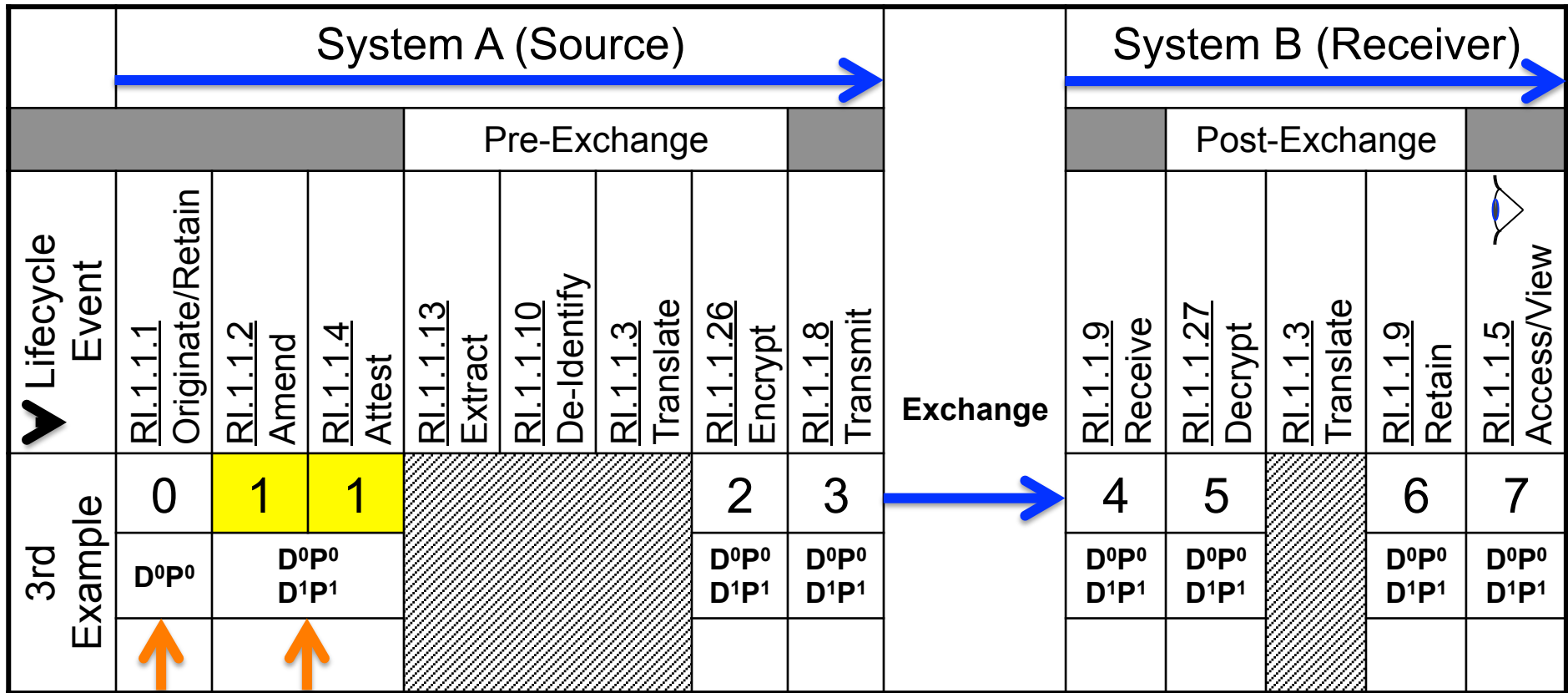
Lifecycle Event Sequences



↑ = New Provenance Event; D^XP^X = Data/Provenance Duplets

3rd Example

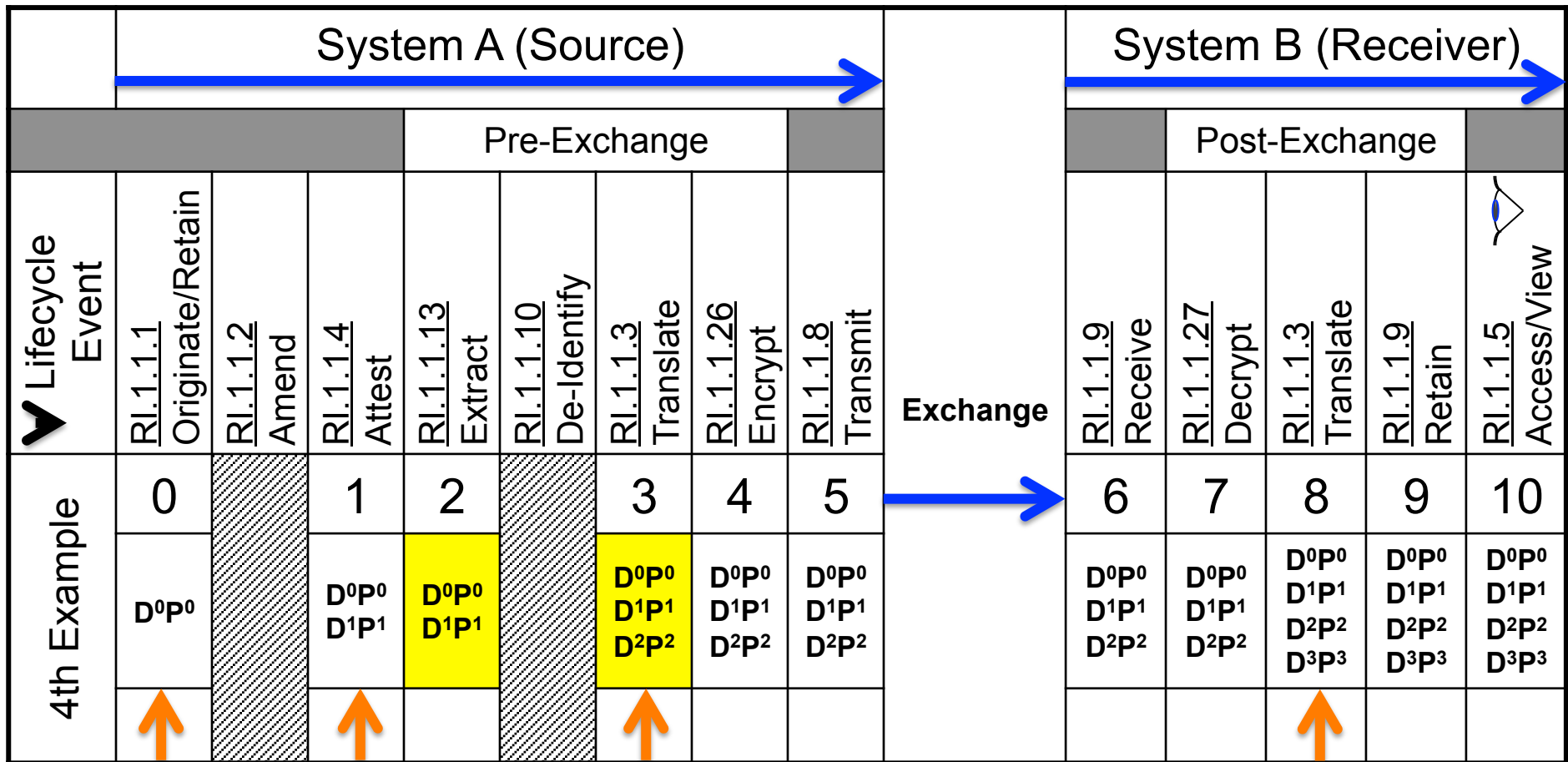
Lifecycle Event Sequences



 = New Provenance Event; D^XP^X = Data/Provenance Duplets

4th Example

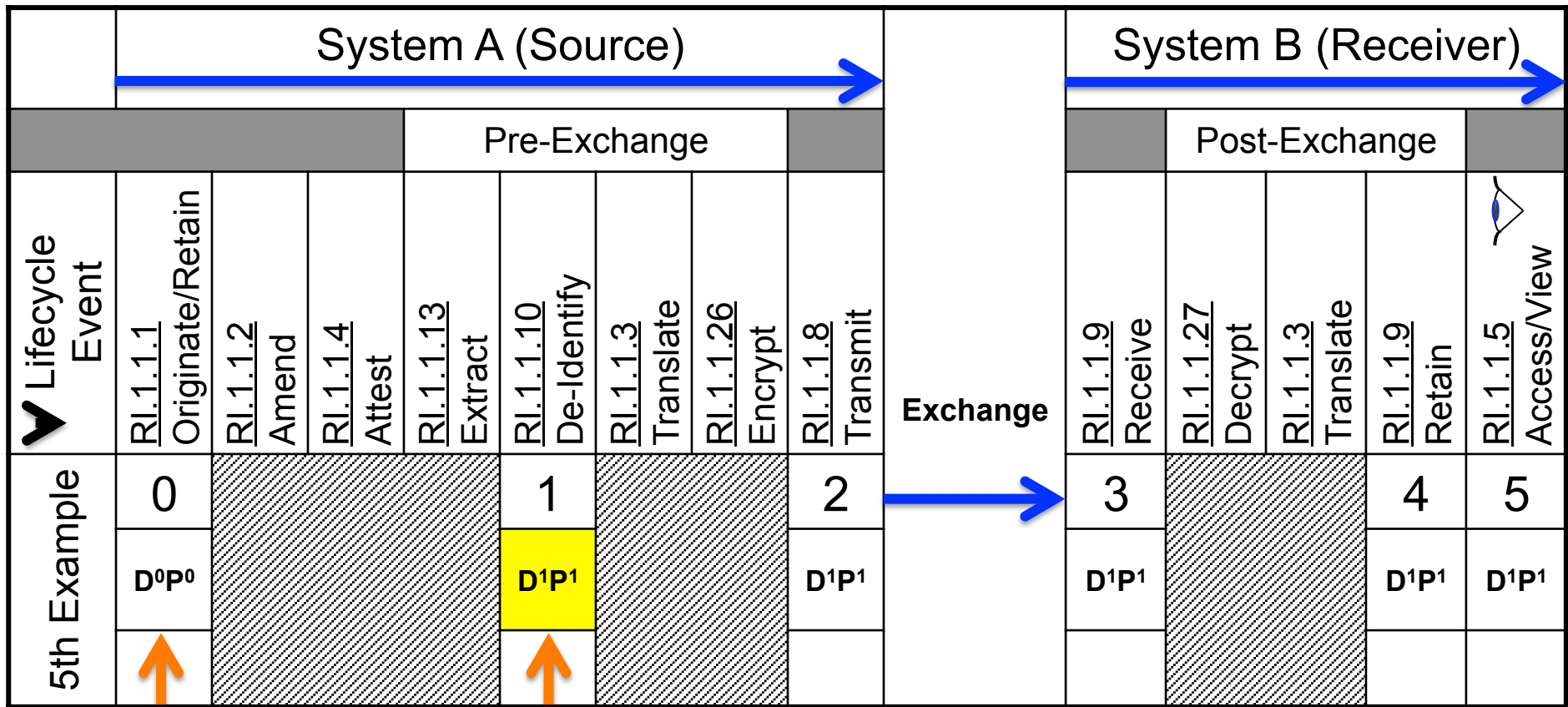
Lifecycle Event Sequences




↑ = New Provenance Event; D^XP^X = Data/Provenance Duplets

5th Example

Lifecycle Event Sequences



 = New Provenance Event; D^xP^x = Data/Provenance Duplets

Longer Term...

Project Segments/Leads

| | | Leads |
|---|--|---|
| 1 | ISO/HL7 10781 EHR-S FM R2 RI – Record Infrastructure RM-ES – Records Management/ Evidentiary Support | Gary Dickinson, Reed Gelzer, MD, Josh Mandel, Diana Warner |
| 2 | TI – Trust Infrastructure | TBD |
| 3 | CP – Care Provision | TBD |
| 4 | CPS – Care Provision Support | TBD |
| 5 | AS – Administrative Support | TBD |
| 6 | POP – Population Health Support | TBD |
| 7 | ISO/HL7 16527 PHR-S FM R1 PH – Personal Health S – Supportive II – Information Infrastructure | John Ritter, et al. |

EHR-S FM Record Lifecycle Events on FHIR

Links

- HL7 EHR Interop Wiki:
 - http://wiki.hl7.org/index.php?title=EHR_Interoperability_WG