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Health Informatics — HL7 Electronic Health Records-System Functional Model, Release 2 (EHR FM)

*Informatique de santé — Modèle fonctionnel d'un système de dossier
de santé électronique, publication 2 (EHR FM)*



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Contents

	Page
Foreword	v
Introduction	vi
1 Scope	1
2 Normative references	2
3 Terms and definitions	2
4 Overview and definition of the Functional Model (Normative)	3
4.1 Sections of the Function List.....	4
4.2 Functional Profiles.....	5
4.3 EHR-S Function List Components.....	6
4.3.1 Function ID (Normative).....	7
4.3.2 Function Type (Reference).....	7
4.3.3 Function Name (Normative).....	7
4.3.4 Function Statement (Normative).....	8
4.3.5 Description (Reference).....	8
4.3.6 Conformance Criteria (Normative).....	8
5 Anticipated Uses (Reference)	8
5.1 Anticipated Development Approach: Functional Profiles.....	8
5.1.1 Scenario 1 – Group Practice.....	9
5.1.2 Scenario 2 - Hospital.....	9
5.1.3 Scenario 3 - IT Vendor.....	9
5.2 Examples of Current Use.....	10
5.2.1 Functional Profile for Clinical Research based on the EHR-S FM.....	10
5.2.2 AHRQ Announces Children’s Electronic Health Record Format.....	10
5.2.3 Linking clinical content descriptions to the EHR-S FM (Reference).....	11
6 Conformance Clause	11
6.1 Introduction (Reference).....	11
6.2 Scope and Field of Application (Normative).....	11
6.3 Concepts (Normative).....	12
6.3.1 Functional Profiles.....	12
6.3.2 Conformance Model.....	13
6.3.3 Profile Traceability.....	13
6.4 Normative Language (Normative).....	14
6.5 Conformance Criteria (Normative).....	14
6.5.1 Criteria in the Functional Profile.....	14
6.5.2 ‘Dependent SHALL’ Criteria.....	14
6.5.3 Referencing Other Criteria or Functions.....	15
6.6 Functional Model Structure and Extensibility (Normative).....	15
6.6.1 Hierarchical Structure.....	15
6.6.2 Naming Convention.....	17
6.6.3 Priorities.....	17
6.6.4 Extensibility.....	17
6.7 Functional Profile Conformance (Normative).....	17
6.7.1 Rules for Functional Domain Profiles.....	17
6.7.2 Rules for Creating New Functions in Functional Profiles.....	19
6.7.3 Rules for Derived Functional Profiles.....	21
6.7.4 Conformance Statement.....	22
6.7.5 Rules for Functional Companion Profiles.....	22
6.8 Use Cases and Samples (Reference).....	23
6.8.1 Functional Profile Use Cases.....	23
6.8.2 Sample Functional Domain Profile Conformance Clauses.....	24
6.8.3 Interpreting and Applying a Conditional ‘SHALL’ (Reference).....	25
6.8.4 General Concepts.....	25

This is a preview of "ISO/HL7 10781:2015". [Click here to purchase the full version from the ANSI store.](#)

6.8.5	Rationale for 'Dependent SHALL'	26
6.8.6	How to Apply the 'Dependent SHALL'	26
7	Glossary	28
7.1	Preface (Reference).....	28
7.2	Introduction (Normative).....	28
7.3	Overview (Reference).....	28
7.3.1	Known Issues (Reference).....	29
7.4	The Action-Verb Structure (Normative).....	29
7.4.1	Secure (System) Category.....	29
7.4.2	Data Management Category.....	30
7.4.3	How Action-Verbs are defined	30
7.4.4	Deprecated Verbs	31
7.5	Guidelines for Use (Reference)	31
7.5.1	General Guidance.....	31
7.5.2	Constructing Rigorous Conformance Criteria	32
7.5.3	Examples of Rewording Conformance Criteria using the Proper Action-Verbs.....	33
Annex A (normative) Function List		35
Annex B (informative) Glossary of Terms for EHR-S FM		36
Annex C (informative) History of the Action-Verb Hierarchy		60
Annex D (informative) Contributing Organizations		63
Annex E (informative) Background		64
Annex F (informative) Acknowledgements		66
Annex G (informative) Other Offerings and Requests from the EHR Work Group		68
Bibliography		69

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO/HL7 10781 was prepared by Technical Committee ISO/TC 215, *Health informatics*.

This second edition cancels and replaces the first edition (ISO/HL7 10781:2009), which has been technically revised.

Introduction

Information for readers

EHR System Functional Model Release 2.0 is based on a series of predecessors, starting in 2004 with the release of the first consensus Draft Standard, followed in 2007 by Release 1, then in 2009 with Release 1.1, jointly balloted with ISO/TC 215 and CEN/TC 251. Release 2.0 reflects many changes, including ballot comments that had been made on past ballots and where the HL7 EHR Work Group had committed to bringing consideration of requested changes forward. It also includes comments that were considered for future use from the ISO ballot of 2009 as well as considerations of the Comment Only ballot that was circulated in May 2011.

Other inclusions were made as a result of the multiple EHR System Functional Profiles that have been written on Functional Model Releases 1 and 1.1. There was great learning in those various domain as well as companion profiles. The EHR-S FM also incorporated two other Draft Standards for Trial Use: HL7 EHR Lifecycle Model and HL7 EHR Interoperability Model.

Changes from previous Release

The HL7 EHR-System Functional Model Release 2 had its first normative ballot in May 2012. The key changes as a result of the first normative ballot included the following.

- Moved the normative parts of the Glossary into the Conformance clause section as use of glossary consistently is key to ease in reading and understanding the model.
- Improved consistency in representation of Headers, Functions and Conformance Criteria throughout the model.
- Updated the conformance clause for ease of reading especially as it related to the different types of profiles: domain profiles and companion profiles.
- Provided clarity for functional description and related conformance criteria.
- Updated the content to be more current.

To see all of the comments and reconciliation of the Normative 1 ballot, please see the HL7 Ballot Website for the ballot cycle of May 2012.

Background

What are Electronic Health Record Systems?

The effective use of information technology is a key focal point for improving healthcare in terms of patient safety, quality outcomes, and economic efficiency. A series of reports from the US Institute of Medicine (IOM) identifies a crisis of "system" failure and calls for "system" transformation enabled by the use of information technology. Such a change is possible by "an infrastructure that permits fully interconnected, universal, secure network of systems that can deliver information for patient care anytime, anywhere." (HHS Goals in "Pursuing HL7 EHR Functional Standard" in Memorandum to HIMSS from C. Clancy and W. Raub co-chairs of HHS Council on the Application of Health Information Technology, dated November 12, 2003.) A critical foundational component for resolving these system and infrastructure issues is the Electronic Health Record System (EHR-S).

In developing this EHR-S Functional Model, HL7 relied on three well-accepted definitions: two provided by the US. Institute of Medicine and one developed by the European Committee for Standardization/ Comité Européen de Normalization (CEN). This Functional Model leverages these existing EHR-S definitions and does not attempt to create a redundant definition of an EHR-S.

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Existing EHR System Definitions

The IOM's 1991 report, *The Computer-Based Patient Record: An Essential Technology*, and updated in 1997 (Dick, R.S, Steen, E.B., and Detmer, D.E. (Editors), National Academy Press: Washington, DC) defined an EHR System as follows.

- The set of components that form the mechanism by which patient records are created, used, stored, and retrieved.
- A patient record system is usually located within a health care provider setting. It includes people, data, rules and procedures, processing and storage devices (e.g. paper and pen, hardware and software), and communication and support facilities.
- The 2003 IOM Letter Report, *Key Capabilities of an Electronic Health Record System*, defined the EHR System as including:
 - Longitudinal collection of electronic health information for and about persons, where health information is defined as information pertaining to the health of an individual or health care provided to an individual.
 - Immediate electronic access to person- and population-level information by authorized, and only authorized, users.
 - Provision of knowledge and decision-support that enhance the quality, safety, and efficiency of patient care.
 - Support of efficient processes for health care delivery.

The 2003 ISO/TS 18308 references the IOM 1991 definition above as well as ISO 13606:

- A system for recording, retrieving and manipulating information in electronic health records.

How were the Functions Identified and Developed?

To achieve healthcare community consensus at the outset, the functions are described at a conceptual level, providing a robust foundation for a more detailed work. Functions were included if considered essential in at least one care setting. Written in user-oriented language, the document is intended for a broad readership.

Functional Granularity is a term used to describe the level of abstraction at which a function is represented. Functions that are commonly grouped together in practice or by major systems have been consolidated where appropriate; functions requiring extra or separate language or involving different workflows have been kept separate where appropriate. For example, decision support is maintained as a separate section, but mapped to other key sections, to indicate the "smart" function behind an action. All of the functions could be expanded into more granular elements but a balance between a usable document and an unwieldy list of functions has been agreed upon. The goal of determining an appropriate level of functional granularity at this time is to present functions that can be easily selected and used by readers of this standard, but that are not so abstract that readers would need to create a large number of additional functions within each function.

Although the determination of functional granularity is a relatively subjective task, systematic evaluation of each function by diverse groups of industry professionals has resulted in a level of granularity appropriate for this EHR-S Functional Model. Every attempt has been made to provide supporting information in the functional descriptions to illustrate the more granular aspects of functions that may have been consolidated for usability purposes.

Keeping with the intent of this EHR-S Functional Model to be independent with regard to technology or implementation strategy, no specific technology has been included in the functions, but may be used in the examples to illustrate the functions. Inclusion of specific technologies in the examples does not endorse or support the use of those technologies as implementation strategies.

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Drafts of the EHR-S Functional Model and of specific functions have been widely reviewed by healthcare providers, vendors, and other stakeholders. This proposed standard reflects input from all these reviewers.