**HISO 10040.4:2015**

**Clinical Document Metadata Interim Standard**

February 2015

**Document information**

*HISO 10040.4:2015 Clinical Document Metadata Standard* is an interim standard for the New Zealand health and disability sector

Published in February 2015 by the Ministry of Health

ISBN 978-0-478-44496-4 (online)

This document carries the Health Information Standards Organisation (HISO) and Connected Health brands of the National Health IT Board

HISO is the expert advisory group on standards to the National Health IT Board

This document is posted on our website at [www.ithealthboard.health.nz/standards](http://www.ithealthboard.health.nz/standards)

**Contributors**

|  |  |
| --- | --- |
| Health Sector Architects Group  HL7 New Zealand  Central Region Information Systems Programme | Patients First  South Island Information Systems Alliance  Bay of Plenty District Health Board |

**Copyright**

Crown copyright (c) – This copyright work is licensed under the Creative Commons Attribution-No Derivative Works 3.0 New Zealand licence creativecommons.org/licenses/by-nd/3.0/nz. You may copy and distribute this work provided you attribute it to the Ministry of Health, you do not adapt it and you abide by the other licence terms.

****Keeping standards up-to-date****

HISO standards are regularly updated to reflect advances in health information science and technology. See our website for information about the standards development process. We welcome your ideas for improving this standard. Email standards@health.govt.nz or write to Health Information Standards, Ministry of Health, PO Box 5013, Wellington 6145.

Contents

1 Introduction 1

1.1 Purpose of the standard 1

1.2 Scope of the standard 1

1.3 Compliance with the standard 2

1.4 Source standards 2

1.5 Structure of data element specifications 2

1.6 LOINC terms of use 3

1.7 Retention of personal health information 3

1.8 Privacy and security 3

2 Metadata elements 4

2.1 Patient identifier 4

2.2 Health specialty 5

2.3 Service date and time 6

2.4 Facility identifier 7

2.5 Facility type 7

2.6 Document author 8

2.7 Document author clinical role 8

2.8 Document approver 9

2.9 Creation date and time 10

2.10 Repository identifier 10

2.11 Document identifier 11

2.12 Document URI 11

2.13 Document type 12

2.14 Availability status 13

2.15 Confidentiality 13

2.16 Language 14

2.17 Media type 14

2.18 Document format 15

2.19 Document size 16

2.20 Custodian 16

# Introduction

This is a standard for the metadata used to classify and describe clinical documents stored in clinical data repositories and accessed via clinical workstation and patient portal systems.

## Purpose of the standard

The purpose of this standard is to ensure that clinical documents are identified, classified and indexed in a common way, enabling secure document sharing. This is therefore a standard for the architecture of clinical data repository, clinical workstation, shared care and patient portal systems. It is also a standard for a record locator service used by these systems.

## Scope of the standard

This standard defines the set of metadata elements used to describe any clinical document about an individual patient. This includes documents of many kinds including clinical assessments, test results, referral requests, transfer of care documents, operation notes and shared care plans. The same metadata requirements apply to all clinical document types, regardless of health specialty or content. This standard specifies the required metadata elements and value domains.

*HISO 10040 Health Information Exchange Architecture* describes how clinical documents are shared between health care providers via federated regional and national clinical data repositories. Under this model, all clinical documents are registered with a record locator service that clinical workstation and patient portal systems use as an index to the collective content of repositories around the country. These systems must implement the metadata standard.

Metadata also drives how clinical documents are secured. Clinical workstation systems are required to implement access controls that are based on the metadata associated with each document.

The key use case scenarios are:

|  |  |
| --- | --- |
| 1. Storing a clinical document in a repository | A document is saved to a repository and indexed by the record locator service, which captures the necessary metadata |
| 1. Displaying the list of available clinical documents for the current patient | A clinical workstation or patient portal system queries the record locator service to obtain a list of clinical documents for the patient in context, and allows the user to filter and select from the list, based on the metadata  Metadata also drives security controls that clinical workstations patient portals must implement to protect the confidentiality of individual documents |
| 1. Retrieving a clinical document from a repository | A clinical workstation or patient portal system uses metadata from the record locator to direct a query to the correct repository and retrieve the selected document |

While this standard is about using documents to represent and exchange health information, solutions that are data intensive or need a fluid data flow might warrant a different approach. This standard does not prevent alternatives.

## Compliance with the standard

Parts of this standard require health provider identities to be recorded. The Health Provider Index (HPI) presently includes health practitioners where a registration authority exists. Until the HPI is extended to all classes of health worker, certain data elements will need to be treated as optional.

## Source standards

The key industry source standards referenced by this specification are:

* IHE Cross Enterprise Document Sharing (XDS) – specifically XDS.b as described by the IHE IT Infrastructure Technical Framework Volume 3 Cross-Transaction Specifications and Content Specifications (www.ihe.net/uploadedFiles/Documents/ITI/IHE\_ITI\_TF\_Vol3.pdf)
* HL7 Clinical Document Architecture Release 2 (www.hl7.org)
* HL7/LOINC Clinical Document Ontology Implementation Guide (www.loinc.org)
* HL7 Fast Healthcare Interoperability Resources (FHIR).

The set of metadata elements specified here derives from and is compatible with the XDS ‘DocumentEntry’ data set. Mappings to CDA elements and HL7 FHIR ‘DocumentReference’ and CDA document elements are also included.

FHIR is published by HL7 as a draft standard for trial use.

LOINC codes are used to indicate the different clinical document types.

## Structure of data element specifications

Each metadata element is defined as follows, using the framework provided by ISO/IEC 11179 Information Technology – specification and standardisation of data elements, 2004.

|  |  |
| --- | --- |
| Data element | Unique name for the data element (comprising object class, property and representation terms) |
| Definition | Statement expressing the essential nature of the data element |
| Source standards | Standards upon which the data element is based |
| Value domain | The set of valid values for the data element  The value domain can be indicated by name, enumerated or described in some other way  Data type is implicit in the value domain |
| Guide for use | How to collect, record and use the data element  Includes mappings to the corresponding XDS, CDA and FHIR elements |

## LOINC terms of use

This document contains material from the LOINC table and LOINC clinical document ontology, which are copyright (c) 1995-2014 Regenstrief Institute Inc. These resources are available at no cost but are subject to the LOINC terms of use loinc.org/terms-of-use.

LOINC stands for logical observation identifiers, names and codes.

## Retention of personal health information

Metadata entries are subject to the usual retention rules for personal health information:

* Retention of Health Information Regulations 1996
* Public Records Act 2005

## Privacy and security

Clinical document metadata is classed as medical-in-confidence and subject to the usual privacy and security rules for protecting personal health information:

* Privacy Act 1993
* Health Information Privacy Code
* HISO 10029 Health Information Security Framework

This standard is also informed by (1) the National Health IT Board Consumer Panel’s ‘Protecting personal health information – consumer expectations’ document and (2) the Health Information Governance Expert Advisory Group’s ‘Withholding personal health information’ paper.

# Metadata elements

This section defines the required set of clinical document metadata elements. Together, these data elements identify and describe an instance of a clinical document stored in a clinical data repository.

Each set of metadata element values represents and points to the location of one particular instance of a document in a repository. Where copies of the same document are present in different repositories, each copy will have its own distinct metadata entry (although multiple copies would be unusual under the registry-repository model).

Repository documents may be stored in the same format as they are exchanged. Equally, repository systems may generate documents on demand from content stored in another format. The same metadata rules apply in either case.

A uniform resource indicator (URI) provides the location of each document instance. This URI is the primary key element that is unique to each metadata entry. A secondary, composite key comprises the two elements repository identifier and document identifier.

The defined metadata elements are:

|  |  |  |
| --- | --- | --- |
| Patient identifier | Health specialty code | Service start datetime |
| Service finish datetime | Facility identifier | Facility type code |
| Author identifier | Author clinical role code | Approver identifier |
| Creation datetime | Repository identifier | Document identifier |
| Document URI | Document type code | Availability status code |
| Confidentiality code | Language code | Media type code |
| Document format code | Document size | Custodian identifier |

All data elements are mandatory except as noted below.

## Patient identifier

The patient who is the subject of care is identified.

|  |  |
| --- | --- |
| Data element | Patient identifier |
| Definition | Identifier for the patient whose care is the subject of the document |
| Source standards | HISO 10046 Consumer Health Identity Standard |
| Value domain | NHI number  Example:   * ‘CHN6824’ |
| Obligation | Mandatory |
| Guide for use | Identity and contact details for the patient are as recorded in the NHI system  Maps to:   * XDS element ‘patientId’ * CDA element ‘ClinicalDocument/recordTarget/patientRole/id/ @extension’ (where the corresponding ‘@root’ attribute indicates the above value domain) * FHIR element ‘subject.identifier’ |

## Health specialty

The health specialty or clinical setting associated with the documented service is recorded. Approximately 150 health specialties are recognised.

|  |  |
| --- | --- |
| Data element | Health specialty code |
| Definition | Code for the health specialty associated with the documented service |
| Source standards | XDS.b |
| Value domain | Health specialty code (www.health.govt.nz/nz-health-statistics/data-references/code-tables/common-code-tables/health-specialty-code-table)  This code set will be extended to include ambulance as a health specialty  It is accepted that the code set should be organised hierarchically  Examples:   * ‘G01’ – General practice * ‘M05’ – Emergency medicine * ‘S40’ – Ophthalmology |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘practiceSettingCode’   There is no equivalent FHIR element |

## Service date and time

The interval of time when the documented clinical service or event occurred is recorded. This is always a completed interval of time, represented by a pair of data elements.

The first data element records the start of the interval.

|  |  |
| --- | --- |
| Data element | Service start datetime |
| Definition | Date and time the documented service started |
| Source standards | XDS.b |
| Value domain | UTC datetime |
| Obligation | Mandatory |
| Guide for use | The time component may be omitted if date alone is sufficient to describe when the service was delivered  Maps to:   * XDS element ‘serviceStartTime’ * CDA element ‘ClinicalDocument/serviceEvent/effectiveTime/low/ @value’ * FHIR element ‘context.period.start’ |

The second data element records the finish of the interval.

|  |  |
| --- | --- |
| Data element | Service finish datetime |
| Definition | Date and time the documented service finished |
| Source standards | XDS.b |
| Value domain | UTC datetime |
| Obligation | Mandatory |
| Guide for use | The time component may be omitted if date alone is sufficient to describe when the service was delivered  Maps to:   * XDS element ‘serviceStopTime’ * CDA element ‘ClinicalDocument/serviceEvent/effectiveTime/high/ @value’ * FHIR element ‘context.period.end’ |

## Facility identifier

The health facility or sub-facility where the documented service or event took place is identified. Facilities include ambulances and mobile services, as well as medical centres, hospitals and other fixed locations. The Health Provider Index (HPI) is the correct identity source.

|  |  |
| --- | --- |
| Data element | Facility identifier |
| Definition | Identifier for the health facility where the documented service occurred |
| Source standards | HISO 10005/6 Health Practitioner Index Standard |
| Value domain | HPI facility number  Examples:   * ‘F06033-K’ – Wellington Hospital * ‘FKJ425-6’ – Wellington Hospital Clinical Measurement Unit * ‘F05678-D’ – Tirau General Practice |
| Obligation | Mandatory |
| Guide for use | The facility that delivered the service is recorded, whether or not the service was delivered on facility premises.  Maps to:   * XDS element ‘authorInstitution’ * CDA element ‘ClinicalDocument/componentOf/ encompassingEncounter/location/healthCareFacility/id/ @extension’ |

## Facility type

The type of facility where the documented service or event occurred is recorded. There are approximately 60 recognised facility types.

|  |  |
| --- | --- |
| Data element | Facility type code |
| Definition | Code for the facility type where the documented service occurred |
| Source standards | XDS.b  HISO 10005/6 Health Practitioner Index Standard |
| Value domain | HPI facility type code  Examples:   * ‘001’ – Public hospital * ‘103’ – Community laboratory |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘healthcareFacilityTypeCode’ * FHIR element ‘context.facilityType’ |

## Document author

Every clinical document has an identified author or lead author. The author will always be an individual and usually a health practitioner. The author might also be the patient or a support person.

|  |  |
| --- | --- |
| Data element | Document author identifier |
| Definition | Identifier for the document author |
| Source standards | XDS.b  HISO 10005/6 Health Practitioner Index Standard |
| Value domain | HPI person number for health workers  NHI number for patients  Example:   * ‘53HBNS’ – health worker * ‘JSD1476’ – patient |
| Obligation | Mandatory |
| Guide for use | Exactly one author is recorded – a health worker known to the HPI system or a patient known to the NHI system  Maps to:   * XDS element ‘authorPerson’ * CDA element ‘ClinicalDocument/author/assignedAuthor/id/ @extension’ (where the corresponding ‘@root’ attribute indicates the applicable value domain) * FHIR element ‘author.identifier’ |

## Document author clinical role

The broad clinical role the author has with respect to the patient is recorded. Clinical roles include being the nurse, physician, pharmacist or physiotherapist, for example. And patients themselves or their support people might be authors for some document types.

|  |  |
| --- | --- |
| Data element | Author clinical role code |
| Definition | Code for the clinical role of the document author |
| Source standards | XDS.b  HISO 10005/6 Health Practitioner Index Standard |
| Value domain | HPI clinical role code  Examples:   * ‘NUR’ – nurse * ‘PHY’ – physician * ‘CPH’ – clinical pharmacist * ‘PAT’ – patient/proxy |
| Obligation | Mandatory |
| Guide for use | Recorded when available  Maps to:   * XDS element ‘authorRole’ * CDA element ‘ClinicalDocument/author/participationFunction’ * FHIR element ‘Practitioner.role’ |

## Document approver

Some clinical document types require approval and are recorded with details of the approver. It is assumed that in each such case one person will have designated responsibility for approval.

|  |  |
| --- | --- |
| Data element | Approver identifier |
| Definition | Identifier for the health worker who approved the clinical document |
| Source standards | XDS.b  HISO 10005/6 Health Practitioner Index Standard |
| Value domain | HPI person number  Example:   * ‘52GHJB’ – indicating the health practitioner |
| Obligation | Optional |
| Guide for use | Recorded for applicable document types and when an HPI person number is available  The approver must be an individual health worker and known to the HPI system  The approver may be a different person to the document author  Maps to:   * XDS element ‘legalAuthenticator’ * CDA element ‘ClinicalDocument/legalAuthenticator/assignedEntity/id/@extension’ (where the corresponding ‘@root’ attribute indicates the above value domain) * FHIR element ‘authenticator’ |

## Creation date and time

The date and time that the document was created at source by the author is recorded.

|  |  |
| --- | --- |
| Data element | Creation datetime |
| Definition | Date and time that the document was created at source |
| Source standards | XDS.b |
| Value domain | UTC datetime |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘creationTime’ * CDA element ‘ClinicalDocument/effectiveTime’ * FHIR element ‘createdDate’ |

## Repository identifier

The metadata entry identifies the clinical data repository where the document is stored. Every repository at regional or national level is assigned a universally unique ASN.1 Object Identifier (OID).

|  |  |
| --- | --- |
| Data element | Repository identifier |
| Definition | Identifier for the repository where the document is stored |
| Source standards | XDS.b |
| Value domain | OID  HL7 New Zealand OID registry (www.hl7.org.nz/new-zealand-oid-registry)  Example:   * 2.16.840.1.113883.2.18.66.0.100 – OID for the Central Region clinical data repository |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘repositoryUniqueId’ |

## Document identifier

Every document has a universally unique identifier that is assigned at source and is the same for all copies of the document stored in different repositories (usually there would be only one such copy). The document identifier is represented as an OID in the metadata entry. Universally Unique Identifiers (UUIDs) and identifiers from other schemes can be transformed to OIDs.

There is no practical limit on the number of document identifiers possible under this scheme.

|  |  |
| --- | --- |
| Data element | Document identifier |
| Definition | Identifier assigned to the document at source and the same for all repository copies of the document |
| Source standards | XDS.b |
| Value domain | OID  Example:   * 2.16.840.1.113883.2.18.66.1.1.945628572 – OID for some particular document |
| Obligation | Mandatory |
| Guide for use | Any document identifier that is not an OID at source must be transformed to an OID when the document is copied to a repository  UUIDs, for example, can be mapped to OIDs by representing the 128-bit value as a string of decimal characters prefixed with the root OID assigned to the provider organisation – see the HL7 New Zealand OID registry (www.hl7.org.nz/new-zealand-oid-registry)  Maps to:   * XDS element ‘uniqueID’ * CDA element ‘ClinicalDocument/id/@extension’ (the corresponding ‘@root’ element indicates that this is an OID) * FHIR element ‘masterIdentifier’ |

## Document URI

Every document instance has a URI at which it can be addressed within the repository.

|  |  |
| --- | --- |
| Data element | Document URI |
| Definition | URI at which the stored document can be accessed in the repository |
| Source standards | XDS.b |
| Value domain | URI  Example:   * http://interrai.health.nz/assessment/129458323 |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘URI’ * CDA element ‘ClinicalDocument/id/@extension’ (URI derives from this element) * FHIR element ‘masterIdentifier’ |

## Document type

The precise clinical document type is recorded. There are two data elements.

|  |  |
| --- | --- |
| Data element | Document type code |
| Definition | Code for the precise type of the clinical document |
| Source standards | XDS.b  LOINC clinical document ontology |
| Value domain | LOINC code  Examples:   * 74196-7 – interRAI home care assessment * 56445-0 – Medication list document |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘typeCode’ * CDA element ‘ClinicalDocument/code/@code’ * FHIR element ‘type’ |

LOINC has a standard name for each coded document type, and this also is captured as a metadata element. The document type name is composed in a structured way and can be used to sort, filter and categorise lists of documents.

|  |  |
| --- | --- |
| Data element | Document type name |
| Definition | Name for the precise clinical document type |
| Source standards | XDS.b  LOINC clinical document ontology |
| Value domain | Text |
| Obligation | Mandatory |
| Guide for use | Document type name has these components:   * Kind of document – characterising the general structure of the document at a macro level * Type of service – characterising the kind of service or activity provided for the patient * Setting – describing the facility type or setting * Subject matter domain – naming the health specialty |

## Availability status

Whether the document is valid and available for patient care is recorded.

|  |  |
| --- | --- |
| Data element | Availability status code |
| Definition | The status of the document in terms of whether it is valid and available for patient care |
| Source standards | XDS.b |
| Value domain | Values are:   * ‘A’ (available) – document is available * ‘D’ (deprecated) – document is obsolete or withdrawn |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘availabilityStatus’ * FHIR element ‘docStatus’ |

## Confidentiality

The confidentiality of every clinical document is recorded. All clinical documents are classed as medical in confidence and the patient may choose any document to have the further protection of a ‘sealed envelope’, for greater confidentiality.

|  |  |
| --- | --- |
| Data element | Confidentiality code |
| Definition | Code for the confidentiality level of the document |
| Source standards | XDS.b |
| Value domain | HL7 confidentiality code:   * ‘N’ (normal) – document has the usual level of confidentiality and should be treated as medical-in-confidence * ‘R’ (restricted) – document is protected within a ‘sealed envelope’ and cannot normally be viewed |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘confidentialityCode’ * CDA element ‘ClinicalDocument/confidentialityCode/code’ * FHIR element ‘confidentiality’ |

## Language

The language used predominantly in the document is recorded. This does not prevent sections such as for patient advice using a different language.

|  |  |
| --- | --- |
| Data element | Language code |
| Definition | Code for the human language in which the document is written |
| Source standards | XDS.b  ISO 639 Codes for the representation of names of languages |
| Value domain | ISO 639-1 alpha-2 code  Examples:   * ‘en’ – English * ‘mi’ – Maori |
| Obligation | Optional |
| Guide for use | Maps to:   * XDS element ‘languageCode’ * CDA element ‘ClinicalDocument/languageCode’ * FHIR element ‘primaryLanguage’ |

## Media type

The Internet media type or MIME type of the stored document is recorded.

|  |  |
| --- | --- |
| Data element | Media type code |
| Definition | Code for the media type of the document |
| Source standards | XDS.b |
| Value domain | Media type code (www.iana.org/assignments/media-types)  Examples:   * application/xml * application/pdf * application/atom+xml * image/png * video/mp4 |
| Obligation | Mandatory |
| Guide for use | Maps to:   * XDS element ‘mimeType’ * FHIR element ‘mimeType’ * Media type for CDA documents is always ‘application/xml’ |

## Document format

CDA document types are structured according to specific templates that determine how documents are processed and displayed. The specific document format is recorded.

|  |  |
| --- | --- |
| Data element | Document format code |
| Definition | Code indicating the format of the document |
| Source standards | XDS.b |
| Value domain | OID  HL7 New Zealand OID registry (www.hl7.org.nz/new-zealand-oid-registry)  Examples:   * 2.16.840.1.113883.2.18.7.2 – GP2GP document * 2.16.840.1.113883.2.18.7.20.2 – Home care assessment document * 2.16.840.1.113883.2.18.7.21.6 – Maternity care summary document * 2.16.840.1.113883.2.18.7.21.7 – Ambulance care summary document |
| Obligation | Mandatory |
| Guide for use | Document format is used in conjunction with media type to determine how to render or parse a document  Document format is presently applicable to CDA document types only  The document format code can be used to represent a specific version of a set of CDA templates (or some other format)  Maps to:   * XDS element ‘formatCode’ * FHIR element ‘format’ |

## Document size

Document size in bytes can be recorded.

|  |  |
| --- | --- |
| Data element | Document size |
| Definition | Size of the document in bytes |
| Source standards | XDS.b |
| Value domain | Integer |
| Obligation | Optional |
| Guide for use | Record document size when known (document size will not necessarily be known for documents generated on demand)  Maps to:   * XDS element ‘size’ * FHIR element ‘size’ |

## Custodian

The health provider organisation that is the custodian of the clincial document may be recorded.

|  |  |
| --- | --- |
| Data element | Custodian |
| Definition | Custodian organisation identifier |
| Source standards | XDS.b  HISO 10043 CDA Common Templates |
| Value domain | HPI organisation number  Example:   * GAB432-F |
| Obligation | Optional |
| Guide for use | Maps to:   * CDA element ‘ClinicalDocument/custodian/assignedCustodian/ representedCustodianOrganisation/id/@extension’ (where the corresponding ‘@root’ element indicates the value domain) * FHIR element ‘custodian’ |