HL7 CDA® R2 IG:
C-CDA Templates for Clinical Notes R2.1 Companion Guide,
Release 2- US Realm

October 2019

HL7 Standard for Trial Use
Appendix C: Provenance - Author Participation

Sponsored by:
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Appendix C: Provenance - Author Participation

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Logical Observation Identifiers Names & Codes (LOINC)	Regenstrief Institute
International Classification of Diseases (ICD) codes	World Health Organization (WHO)
NUCC Health Care Provider Taxonomy code set	American Medical Association. Please see www.nucc.org. AMA licensing contact: 312-464-5022 (AMA IP services)

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Provenance - Author Participation

[author: identifier urn:oid:2.16.840.1.113883.10.20.22.5.6:2019-10-01 (open)]

This template represents the key information to record Provenance in an Author Participation.

This Participation is appropriate to use at the CDA Header, CDA Section, or CDA Entry.

This template is consistent with the C-CDA Author Participation template (2.16.840.1.113883.10.20.22.4.119), however, it doesn't use a formal 'conforms to' relationship. All constraints defined in this template simply specialize the existing Author Participation template.

The assignedAuthor/id may be set equal to (a pointer to) an id on a participant elsewhere in the document (header or entries) or a new author participant can be described here.

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Table 1: Provenance - Author Participation Constraints Overview

XPath	Card.	Verb	Data Type	CONF#	Value
author (identifier: urn:oid:2.16.840.1.113883.10.20.22.5.6)					
templateId	1..1	SHALL		4440-6	
@root	1..1	SHALL		4440-15	2.16.840.1.113883.10.20.22.5.6
@extension	1..1	SHALL		4440-36	2019-10-01
time	1..1	SHALL		4440-7	
assignedAuthor	1..1	SHALL		4440-1	
id	1..*	SHALL		4440-2	
id	0..1	SHOULD		4440-20	
@nullFlavor	0..1	MAY		4440-21	urn:oid:2.16.840.1.113883.5.1008 (HL7NullFlavor) = UNK
@root	1..1	SHALL		4440-22	2.16.840.1.113883.4.6
@extension	0..1	SHOULD		4440-23	
code	0..1	SHOULD		4440-33	
@code	1..1	SHALL		4440-34	urn:oid:2.16.840.1.113883.11.20.12.1 (Personal And Legal Relationship Role Type)
assignedPerson	0..1	SHOULD		4440-3	
name	1..*	SHALL		4440-9	
family	1..1	SHALL		4440-17	
given	1..*	SHALL		4440-18	
assignedAuthoringDevice	0..1	MAY		4440-32	
representedOrganization	1..1	SHALL		4440-4	
@nullFlavor	0..1	MAY		4440-35	
id	1..*	SHALL		4440-10	
id	1..1	SHALL		4440-24	
@nullFlavor	0..1	MAY		4440-25	urn:oid:2.16.840.1.113883.5.1008 (HL7NullFlavor) = UNK
@root	1..1	SHALL		4440-26	2.16.840.1.113883.4.2
@extension	0..1	SHOULD		4440-27	
id	0..1	SHOULD		4440-28	
@nullFlavor	0..1	MAY		4440-29	urn:oid:2.16.840.1.113883.5.1008 (HL7NullFlavor) = UNK
@root	1..1	SHALL		4440-30	2.16.840.1.113883.4.6
@extension	0..1	SHOULD		4440-31	
name	1..1	SHALL		4440-11	
telecom	1..*	SHOULD		4440-12	

1. **SHALL** contain exactly one [1..1] **templateId** (CONF:4440-6) such that it

      a. **SHALL** contain exactly one [1..1] **@root**="2.16.840.1.113883.10.20.22.5.6" (CONF:4440-15).

      b. **SHALL** contain exactly one [1..1] **@extension**="2019-10-01" (CONF:4440-36).

2. **SHALL** contain exactly one [1..1] **time** (CONF:4440-7).
3. **SHALL** contain exactly one [1..1] **assignedAuthor** (CONF:4440-1).

      a. This assignedAuthor **SHALL** contain at least one [1..*] **id** (CONF:4440-2).

      b. This assignedAuthor **SHOULD** contain zero or one [0..1] **id** (CONF:4440-20) such that it

If id with @root="2.16.840.1.113883.4.6" National Provider Identifier is unknown then

        i. **MAY** contain zero or one [0..1] **@nullFlavor**="UNK" Unknown (CodeSystem: HL7NullFlavor urn:oid:2.16.840.1.113883.5.1008) (CONF:4440-21).

        ii. **SHALL** contain exactly one [1..1] **@root**="2.16.840.1.113883.4.6" National Provider Identifier (CONF:4440-22).

        iii. **SHOULD** contain zero or one [0..1] **@extension** (CONF:4440-23).

When the author is a person who is not acting in the role of a clinician, this code encodes the personal or legal relationship between author and the patient.

      c. This assignedAuthor **SHOULD** contain zero or one [0..1] **code** (CONF:4440-33).

        i. The code, if present, **SHALL** contain exactly one [1..1] **@code**, which **SHOULD** be selected from ValueSet Personal And Legal Relationship Role Type urn:oid:2.16.840.1.113883.11.20.12.1 **DYNAMIC** (CONF:4440-34).

      d. This assignedAuthor **SHOULD** contain zero or one [0..1] **assignedPerson** (CONF:4440-3).

        i. The assignedPerson, if present, **SHALL** contain at least one [1..*] **name** (CONF:4440-9).

          1. Such names **SHALL** contain exactly one [1..1] **family** (CONF:4440-17).

          2. Such names **SHALL** contain at least one [1..*] **given** (CONF:4440-18).

      e. This assignedAuthor **MAY** contain zero or one [0..1] **assignedAuthoringDevice** (CONF:4440-32).

      f. This assignedAuthor **SHALL** contain exactly one [1..1] **representedOrganization** (CONF:4440-4).

A nullFlavor of "NA" is allowed If the assignedAuthor is not a clinician

        i. This representedOrganization **MAY** contain zero or one [0..1] **@nullFlavor** (CONF:4440-35).

        ii. This representedOrganization **SHALL** contain at least one [1..*] **id** (CONF:4440-10).

        iii. This representedOrganization **SHALL** contain exactly one [1..1] **id** (CONF:4440-24) such that it

If id with @root="2.16.840.1.113883.4.2" Tax ID Number is unknown then

          1. **MAY** contain zero or one [0..1] **@nullFlavor**="UNK" Unknown (CodeSystem: HL7NullFlavor urn:oid:2.16.840.1.113883.5.1008) (CONF:4440-25).

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2. **SHALL** contain exactly one [1..1] **@root**="2.16.840.1.113883.4.2" Tax ID Number (CONF:4440-26).

3. **SHOULD** contain zero or one [0..1] **@extension** (CONF:4440-27).

iv. This representedOrganization **SHOULD** contain zero or one [0..1] **id** (CONF:4440-28) such that it

If id with @root="2.16.840.1.113883.4.6" National Provider Identifier is unknown then

1. **MAY** contain zero or one [0..1] **@nullFlavor**="UNK" Unknown (CodeSystem: HL7NullFlavor urn:oid:2.16.840.1.113883.5.1008) (CONF:4440-29).

2. **SHALL** contain exactly one [1..1] **@root**="2.16.840.1.113883.4.6" National Provider Identifier (CONF:4440-30).

3. **SHOULD** contain zero or one [0..1] **@extension** (CONF:4440-31).

v. This representedOrganization **SHALL** contain exactly one [1..1] **name** (CONF:4440-11).

vi. This representedOrganization **SHOULD** contain at least one [1..*] **telecom** (CONF:4440-12).

Figure 1: Provenance - Author Participation

```
<author>
    <!-- Provenance - Author Participation -->
    <templateId root="2.16.840.1.113883.10.20.22.5.6"/>
    <time value="201308011235-0800"/>
    <assignedAuthor>
        <!-- NPI of Author (example) -->
        <id root="2.16.840.1.113883.4.6" extension="1234567"/>
        <assignedPerson>
            <name>
                <given>Nurse</given>
                <family>Nightingale</family>
                <suffix>RN</suffix>
            </name>
        </assignedPerson>
        <representedOrganization>
            <!-- Tax Identifier of Organization is Unknown -->
            <id root="2.16.840.1.113883.5.1008" nullFlavor="UNK"/>
            <!-- NPI of Organization -->
            <id root="2.16.840.1.113883.4.6" extension="1104145838"/>
            <name>Good Health Hospital</name>
            <telecom value="tel:+1(555)867-5309"/>
        </representedOrganization>
    </assignedAuthor>
</author>
```

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Template Ids in This Guide

Table 2: Template List

Template Title	Template Type	templateId
Provenance - Author Participation	Unspecified	urn:oid:2.16.840.1.113883.10.20.22.5.6

Table 3: Template Containments

Template Title	Template Type	templateId
Provenance - Author Participation	unspecified	urn:oid:2.16.840.1.113883.10.20.22.5.6

Code Systems in This Guide

Table 4: Code Systems

Name	OID
HL7NullFlavor	urn:oid:2.16.840.1.113883.5.1008
HL7RoleCode	urn:oid:2.16.840.1.113883.5.111