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**HL7 CDA® R2 Implementation Guide:**

**C-CDA Templates for Clinical Notes R2.1**

**Companion Guide**

**Release 2 (US Realm)**

**Standard for Trial Use**

**October 2019**

**October 2021 Errata Version**

**Appendix C: Provenance - Author Participation**

**Sponsored by:  
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Table of Contents

1 unspecified 4

1.1 Provenance - Author Participation 4

2 Template Ids in This Guide 9

3 Code Systems in This Guide 10

Table of Figures

Figure 1: Provenance - Author Participation 8

Table of Tables

Table 1: Provenance - Author Participation Constraints Overview 5

Table 2: Template List 9

Table 3: Template Containments 9

Table 4: Code Systems 10

# unspecified

Provenance - Author Participation

[author: identifier urn:oid:2.16.840.1.113883.10.20.22.5.6 (open)]

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

This Participation is appropriate at any place CDA allows an author. For example, at the CDA Header, CDA Section, CDA Entry, or within a CDA entry (e.g. Organizer and contained Observation(s)).

This template is consistent with the C-CDA Author Participation, however, it doesn’t use a formal ‘conforms to’ relationship. All constraints for conformance are defined in this template which specializes the Author Participation (2.16.840.1.113883.10.20.22.4.119).

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.

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](#C_4440-6) |  |
| @root | 1..1 | SHALL |  | [4440-15](#C_4440-15) | 2.16.840.1.113883.10.20.22.5.6 |
| @extension | 1..1 | SHALL |  | [4440-36](#C_4440-36) | 2019-10-01 |
| time | 1..1 | SHALL |  | [4440-7](#C_4440-7) |  |
| assignedAuthor | 1..1 | SHALL |  | [4440-1](#C_4440-1) |  |
| id | 1..\* | SHALL |  | [4440-2](#C_4440-2) |  |
| id | 1..1 | SHALL |  | [4440-20](#C_4440-20) |  |
| @nullFlavor | 0..1 | MAY |  | [4440-21](#C_4440-21) | urn:oid:2.16.840.1.113883.5.1008 (HL7NullFlavor) = UNK |
| @root | 1..1 | SHALL |  | [4440-22](#C_4440-22) | 2.16.840.1.113883.4.6 |
| @extension | 0..1 | SHOULD |  | [4440-23](#C_4440-23) |  |
| code | 0..1 | SHOULD |  | [4440-33](#C_4440-33) |  |
| assignedPerson | 0..1 | SHOULD |  | [4440-3](#C_4440-3) |  |
| name | 1..\* | SHALL |  | [4440-9](#C_4440-9) |  |
| family | 1..1 | SHALL |  | [4440-17](#C_4440-17) |  |
| given | 0..\* | SHOULD |  | [4440-18](#C_4440-18) |  |
| assignedAuthoringDevice | 0..1 | MAY |  | [4440-32](#C_4440-32) |  |
| representedOrganization | 0..1 | MAY |  | [4440-4](#C_4440-4) |  |
| @nullFlavor | 0..1 | MAY |  | [4440-35](#C_4440-35) |  |
| id | 1..\* | SHALL |  | [4440-10](#C_4440-10) |  |
| id | 1..1 | SHALL |  | [4440-24](#C_4440-24) |  |
| @nullFlavor | 0..1 | MAY |  | [4440-25](#C_4440-25) | urn:oid:2.16.840.1.113883.5.1008 (HL7NullFlavor) = UNK |
| @root | 1..1 | SHALL |  | [4440-26](#C_4440-26) | 2.16.840.1.113883.4.2 |
| @extension | 0..1 | SHOULD |  | [4440-27](#C_4440-27) |  |
| id | 1..1 | SHALL |  | [4440-28](#C_4440-28) |  |
| @nullFlavor | 0..1 | MAY |  | [4440-29](#C_4440-29) | urn:oid:2.16.840.1.113883.5.1008 (HL7NullFlavor) = UNK |
| @root | 1..1 | SHALL |  | [4440-30](#C_4440-30) | 2.16.840.1.113883.4.6 |
| @extension | 0..1 | SHOULD |  | [4440-31](#C_4440-31) |  |
| name | 1..1 | SHALL |  | [4440-11](#C_4440-11) |  |
| telecom | 0..\* | SHOULD |  | [4440-12](#C_4440-12) |  |

1. SHALL contain exactly one [1..1] templateId (CONF:4440-6) such that it
   1. SHALL contain exactly one [1..1] @root="2.16.840.1.113883.10.20.22.5.6" (CONF:4440-15).
   2. 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).
   1. This assignedAuthor SHALL contain at least one [1..\*] id (CONF:4440-2).
      1. If the assignedAuthor/id is not referencing a Provenance Author described elsewhere in the document with a representedOrganization populated, this assignedAuthor SHALL contain exactly one [1..1] representedOrganization (CONF:4440-64).
   2. This assignedAuthor SHALL contain exactly one [1..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

* + 1. MAY contain zero or one [0..1] @nullFlavor="UNK" Unknown (CodeSystem: HL7NullFlavor urn:oid:2.16.840.1.113883.5.1008) (CONF:4440-21).
    2. SHALL contain exactly one [1..1] @root="2.16.840.1.113883.4.6" National Provider Identifier (CONF:4440-22).
    3. 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.

* 1. This assignedAuthor SHOULD contain zero or one [0..1] code (CONF:4440-33).
     1. If the content is provider authored, the code SHOULD be selected from ValueSet Healthcare Provider Taxonomy urn:oid:2.16.840.1.114222.4.11.1066 DYNAMIC (CONF:4440-56).
     2. If the author is a person who is not acting in the role of a clinician, the code SHOULD be selected from ValueSet Personal And Legal Relationship Role Type urn:oid:2.16.840.1.113883.11.20.12.1 DYNAMIC (CONF:4440-57).
  2. This assignedAuthor SHOULD contain zero or one [0..1] assignedPerson (CONF:4440-3).
     1. 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 SHOULD contain zero or more [0..\*] given (CONF:4440-18).
  3. This assignedAuthor MAY contain zero or one [0..1] assignedAuthoringDevice (CONF:4440-32).

If the assignedAuthor/id is not referencing a Provenance Author described elsewhere in the document with a representedOrganization populated, this assignedAuthor SHALL contain exactly one [1..1] representedOrganization (See - CONF:4440-64).

* 1. This assignedAuthor MAY contain zero or one [0..1] representedOrganization (CONF:4440-4).

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

* + 1. The representedOrganization, if present, MAY contain zero or one [0..1] @nullFlavor (CONF:4440-35).
    2. The representedOrganization, if present, SHALL contain at least one [1..\*] id (CONF:4440-10).
    3. The representedOrganization, if present, 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).
      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).
    1. The representedOrganization, if present, SHALL contain exactly one [1..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).
    1. The representedOrganization, if present, SHALL contain exactly one [1..1] name (CONF:4440-11).
    2. The representedOrganization, if present, SHOULD contain zero or more [0..\*] 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" extension="2019-10-01"/>

<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>

# Template Ids in This Guide

Table 2: Template List

| Template Title | Template Type | templateId |
| --- | --- | --- |
| [Provenance - Author Participation](#U_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](#U_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 |
| --- | --- |
| Healthcare Provider Taxonomy (HIPAA) | urn:oid:2.16.840.1.113883.6.101 |
| HL7NullFlavor | urn:oid:2.16.840.1.113883.5.1008 |
| HL7RoleCode | urn:oid:2.16.840.1.113883.5.111 |
| ProvenanceParticipantType | urn:oid:2.16.840.1.113883.4.642.4.1131 |