

### 1 UNSPECIFIED

#### 1.1 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.

## Appendix C: Provenance - Author Participation

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

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).

## Appendix C: Provenance - Author Participation

---

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).
    - i. 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).
  - b. 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

- 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. 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).
  - ii. 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).
- 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 **SHOULD** contain zero or more [0..\*] **given** (CONF:4440-18).
- e. 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).

- f. 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

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

## Appendix C: Provenance - Author Participation

---

- ii. The representedOrganization, if present, **SHALL** contain at least one [1..\*] **id** (CONF:4440-10).
- iii. 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).
- iv. 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).
- v. The representedOrganization, if present, **SHALL** contain exactly one [1..1] **name** (CONF:4440-11).
- vi. The representedOrganization, if present, **SHOULD** contain zero or more [0..\*] **telecom** (CONF:4440-12).

## Appendix C: Provenance - Author Participation

---

**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>
```