### Header Participants

This section describes classes related to the root ClinicalDocument class via a Participation.

#### authenticator

Represents a participant who has attested to the accuracy of the document, but who does not have privileges to legally authenticate the document. An example would be a resident physician who sees a patient and dictates a note, then later signs it. (See also [legalAuthenticator (§ 4.2.2.8 )](file:///C%3A%5CUsers%5Crickg%5CDocuments%5CLantana%5Cprojects%5Chl7%5CCDA_R2_NormativeWebEdition2005%5Cinfrastructure%5Ccda%5Ccda.htm#legalAuthenticator))

A clinical document can have zero to many authenticators. While electronic signatures are not captured in a CDA document, both authentication and legal authentication require that a document has been signed manually or electronically by the responsible individual. An authenticator has a required authenticator.time indicating the time of authentication, and a required authenticator.signatureCode, indicating that a signature has been obtained and is on file.

| Table 8: Value set for authenticator.typeCode (CNE)  |
| --- |
| **Code** | **Definition** |
| AUTHEN (authenticator) [**default**]  | A verifier who attests to the accuracy of an act, but who does not have privileges to legally authenticate the act.  |

| Table 9: Value set for authenticator.signatureCode (CNE)  |
| --- |
| **Code**  | **Definition** |
| S (signed) | Signature has been affixed and is on file. |
| X (required) (Deprecated) | CDA Release One represented either an intended ("X") or actual ("S") authenticator. CDA Release Two only represents an actual authenticator, so has deprecated the value of "X".  |

An authenticator is a person in the role of an assigned entity (AssignedEntity class). An assigned entity is a person assigned to the role by the scoping organization. The entity playing the role is a person (Person class). The entity scoping the role is an organization (Organization class). (See [here](file:///C%3A%5CUsers%5Crickg%5CDocuments%5CLantana%5Cprojects%5Chl7%5CCDA_R2_NormativeWebEdition2005%5Cinfrastructure%5Crim%5Crim.htm#Role-cls) for a description of "player" and "scoper" role associations.)

| Table 10: Value set for AssignedEntity.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| ASSIGNED (Assigned) [**default**]  | An agent role in which the agent is an entity acting in the employ of an organization. The focus is on the functional role on behalf of the organization.  |

| Table 11: Value set for Person.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| PSN (person) [**default**]  | A living subject of the species homo sapiens.  |

| Table 12: Value set for Person.determinerCode (CNE)  |
| --- |
| **Code** | **Definition** |
| INSTANCE (instance) [**default**]  | The INSTANCE determiner indicates an actual occurrence of an entity, as opposed to the KIND determiner, which refers to the general description of a kind of entity. For example, one can refer to a specific car (a car instance), or one can refer to cars in general (a car kind).  |

| Table 13: Value set for Organization.classCode (CNE)  |
| --- |
| **Code** | **Definition**  |
| ORG (organization) [**default**]  | A social or legal structure formed by human beings. |

| Table 14: Value set for Organization.determinerCode (CNE)  |
| --- |
| **Code**  | **Definition** |
| INSTANCE (Assigned) [**default**]  | The INSTANCE determiner indicates an actual occurrence of an entity, as opposed to the KIND determiner, which refers to the general description of a kind of entity. For example, one can refer to a specific car (a car instance), or one can refer to cars in general (a car kind).  |

A scoping organization can be part of a larger organization. Where there is a need to include whole-part relationships, the OrganizationPartOf role can be used. OrganizationPartOf.statusCode indicates the state of the whole-part relationship (e.g. "active", "terminated"). OrganizationPartOf.effectiveTime is an interval of time specifying the period during which the whole-part relationhship is in effect, if such time limit is applicable and known.

| Table 15: Value set for OrganizationPartOf.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| PART (part) [**default**]  | An association between two Entities where the playing Entity is part of the scoping entity. |

| Table 16: Value set for OrganizationPartOf.statusCode (CNE)  |
| --- |
| **Code** | **Definition** |
| normal (normal) | The 'typical' state. Excludes "nullified" which represents the termination state of a Role instance that was created in error. |
| active (active) | The state representing the fact that the Entity is currently active in the Role. |
| cancelled (cancelled) | The terminal state resulting from cancellation of the role prior to activation. |
| pending (pending) | The state representing that fact that the role has not yet become active. |
| suspended (suspended) | The state that represents a suspension of the Entity playing the Role. This state is arrived at from the "active" state. |
| terminated (terminated) | The state representing the successful termination of the Role. |
| nullified (nullified) | The state representing the termination of a Role instance that was created in error. |

#### author

Represents the humans and/or machines that authored the document.

In some cases, the role or function of the author is inherent in the ClinicalDocument.code, such as where ClinicalDocument.code is "Medical Student Progress Note". The role of the author can also be recorded in the Author.functionCode or AssignedAuthor.code attribute. If either of these attributes is included, they should be equivalent to or further specialize the role inherent in the ClinicalDocument.code (such as where the ClinicalDocument.code is simply "Physician Progress Note" and the value of Author.functionCode is "rounding physician"), and shall not conflict with the role inherent in the ClinicalDocument.code, as such a conflict would constitute an ambiguous situation.

| Table 17: Value set for author.typeCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| AUT (author) [**default**]  | A party that originates the Act and therefore has responsibility for the information given in the Act. |

| Table 18: Value set for author.contextControlCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| OP (overriding propagating) [**default**]  | The participant overrides associations with the same typeCode. This overriding association will propagate to any descendant Acts reached by conducting ActRelationships. (See section "CDA Context" below.)  |

An author is a person in the role of an assigned author (AssignedAuthor class). The entity playing the role is a person (Person class) or a device (AuthoringDevice class). The entity scoping the role is an organization (Organization class), and is the organization from which the document originates.

| Table 19: Value set for AssignedAuthor.classCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| ASSIGNED (assigned entity) [**default**]  | A role in which the playing entity is acting in the employ of or on behalf of a scoping organization.  |

| Table 20: Value set for AuthoringDevice.classCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| DEV (device) [**default**]  | An entity used in an activity, without being substantially changed through that activity.  |

| Table 21: Value set for AuthoringDevice.determinerCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| INSTANCE (Assigned) [**default**]  | The INSTANCE determiner indicates an actual occurrence of an entity, as opposed to the KIND determiner, which refers to the general description of a kind of entity. For example, one can refer to a specific car (a car instance), or one can refer to cars in general (a car kind).  |

**NOTE:** In CDA, Release One, it was possible to specify those individuals responsible for the device. This functionality has been deprecated in CDA, Release Two. The MaintainedEntity class is present for backwards compatibility, and its use is discouraged, except where needed to support the transformation of CDA, Release One documents.

| Table 22: Value set for MaintainedEntity.classCode(CNE)  |
| --- |
| **Code**  | **Definition**  |
| MNT (maintained entity) [**default**]  | An entity that is maintained by another entity. This is typically a role held by durable equipment. The scoper assumes responsibility for proper operation, quality, and safety.  |

#### custodian

Represents the organization that is in charge of maintaining the document. The custodian is the steward that is entrusted with the care of the document. Every CDA document has exactly one custodian.

The custodian participation satisfies the CDA definition of Stewardship (see [What is the CDA (§ 1.1 )](file:///C%3A%5CUsers%5Crickg%5CDocuments%5CLantana%5Cprojects%5Chl7%5CCDA_R2_NormativeWebEdition2005%5Cinfrastructure%5Ccda%5Ccda.htm#What_is_the_CDA)). Because CDA is an exchange standard and may not represent the original form of the authenticated document, the custodian represents the steward of the original source document.

| Table 23: Value set for custodian.typeCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| CST (custodian) [**default**]  | An organization that is in charge of maintaining this document. |

A custodian is a scoping organization in the role of an assigned custodian (AssignedCustodian class). The steward organization (CustodianOrganization class) is an entity scoping the role of AssignedCustodian, and has a required CustodianOrganization.id.

| Table 24: Value set for AssignedCustodian.classCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| ASSIGNED (assigned entity) [**default**]  | A role in which the playing entity is acting in the employ of or on behalf of a scoping organization.  |

| Table 25: Value set for CustodianOrganization.classCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| ORG (organization) [**default**]  | A social or legal structure formed by human beings. |

| Table 26: Value set for CustodianOrganization.determinerCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| INSTANCE (Assigned) [**default**]  | The INSTANCE determiner indicates an actual occurrence of an entity, as opposed to the KIND determiner, which refers to the general description of a kind of entity. For example, one can refer to a specific car (a car instance), or one can refer to cars in general (a car kind).  |

**dataEnterer (Transcriptionist)**

Represents the participant who has transformed a dictated note into text.

| Table 27: Value set for dataEnterer.typeCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| ENT (transcriptionist) [**default**]  | A person entering the data into the originating system. The data entry person is collected optionally for internal quality control purposes. This includes the transcriptionist for dictated text.  |
| Table 28: Value set for dataEnterer.contextControlCode (CNE)  |
| **Code**  | **Definition**  |
| OP (overriding propagating) [**default**]  | The participant overrides associations with the same typeCode. This overriding association will propagate to any descendant Acts reached by conducting ActRelationships. (See section "CDA Context" below.)  |

#### encounterParticipant

See [EncompassingEncounter (§ 4.2.3.5 )](file:///C%3A%5CUsers%5Crickg%5CDocuments%5CLantana%5Cprojects%5Chl7%5CCDA_R2_NormativeWebEdition2005%5Cinfrastructure%5Ccda%5Ccda.htm#EncompassingEncounter) for a description of the encounterParticipant participant.

#### informant

An informant (or source of information) is a person that provides relevant information, such as the parent of a comatose patient who describes the patient's behavior prior to the onset of coma.

| Table 29: Value set for informant.typeCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| INF (informant) [**default**]  | A source of reported information (e.g., a next of kin who answers questions about the patient's history). For history questions, unless otherwise stated, the patient is implicitly the informant.  |

| Table 30: Value set for informant.contextControlCode (CNE)  |
| --- |
| **Code**  | **Definition**  |
| OP (overriding propagating) [**default**]  | The participant overrides associations with the same typeCode. This overriding association will propagate to any descendant Acts reached by conducting ActRelationships. (See section "CDA Context" below.)  |

An informant can be a person in one of two roles. The RelatedEntity role is used to represent an informant without a role.id (e.g. a parent or guy on the street). The informant in this case bears some formal or personal relationship to the patient. The role is unscoped, with the assumption that the patient is always the implied scoper. RelatedEntity.code can be used to specify the nature of the relationship. The AssignedEntity role is used for an identified informant, and is scoped by an Organization.

| Table 31: Value set for RelatedEntity.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| Any subtype of RoleClassMutualRelationship | A role of an entity that has some mutual relationship with the patient. The basis of such relationship may be agreements (e.g., spouses, contract parties) or they may be de facto behavior (e.g. friends) or may be an incidental involvement with each other (e.g. parties over a dispute, siblings, children). See vocabulary domain "RoleClassMutualRelationship" for allowable values. |

#### informationRecipient

Represents a recipient who should receive a copy of the document.

**NOTE:** The information recipient is an entity to whom a copy of a document is directed, at the time of document authorship. It is not the same as the cumulative set of persons to whom the document has subsequently been disclosed, over the life-time of the patient. Such a disclosure list would not be contained within the document, and it outside the scope of CDA.

| Table 32: Value set for informationRecipient.typeCode (CNE)  |
| --- |
| **Code** | **Definition** |
| PRCP (primary recipient) [**default**]  | Recipient to whom the document is primarily directed.  |
| TRC (secondary recipient) | A secondary recipient to whom the document is directed.  |

Where a person is the intended recipient (IntendedRecipient class), the playing entity is a person (Person class), optionally scoped by an organization (Organization class). Where the intended recipient is an organization, the IntendedRecipient.classCode is valued with "ASSIGNED", and the recipient is reflected by the presence of a scoping Organization, without a playing entity. Where a health chart is the intended recipient, the IntendedRecipient.classCode is valued with "HLTHCHRT" (health chart). In this case there is no playing entity, and an optional scoping organization (Organization class).

| Table 33: Value set for IntendedRecipient.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| ASSIGNED (assigned entity) [**default**]  | A role in which the playing entity is acting in the employ of or on behalf of a scoping organization.  |
| HLTHCHRT (health chart) | A role in which the playing entity is a physical health chart belonging to the scoping organization.  |

#### legalAuthenticator

Represents a participant who has legally authenticated the document.

The CDA is a standard that specifies the structure of exchanged clinical documents. In the case where a local document is transformed into a CDA document for exchange, authentication occurs on the local document, and that fact is reflected in the exchanged CDA document. A CDA document can reflect the unauthenticated, authenticated, or legally authenticated state. The unauthenticated state exists when no authentication information has been recorded (i.e., it is the absence of being either authenticated or legally authenticated).

While electronic signatures are not captured in a CDA document, both authentication and legal authentication require that a document has been signed manually or electronically by the responsible individual. A legalAuthenticator has a required legalAuthenticator.time indicating the time of authentication, and a required legalAuthenticator.signatureCode, indicating that a signature has been obtained and is on file.

| Table 34: Value set for legalAuthenticator.typeCode (CNE)  |
| --- |
| **Code** | **Definition** |
| LA (legal authenticator) [**default**]  | A verifier who legally authenticates the accuracy of an act. An example would be a staff physician who sees a patient and dictates a note, then later signs it. Their signature constitutes a legal authentication.  |

| Table 35: Value set for legalAuthenticator.signatureCode (CNE)  |
| --- |
| **Code** | **Definition** |
| S (signed)  | Signature has been affixed and is on file. |
| X (required) (Deprecated) | CDA Release One represented either an intended ("X") or actual ("S") legal authenticator. CDA Release Two only represents an actual legal authenticator, so has deprecated the value of "X".  |

| Table 36: Value set for legalAuthenticator.contextControlCode (CNE)  |
| --- |
| **Code** | **Definition** |
| OP (overriding propagating) [**default**]  | The participant overrides associations with the same typeCode. This overriding association will propagate to any descendant Acts reached by conducting ActRelationships. (See section "CDA Context" below.)  |

A legalAuthenticator is a person in the role of an assigned entity (AssignedEntity class). An assigned entity is a person assigned to the role by the scoping organization. The entity playing the role is a person (Person class). The entity scoping the role is an organization (Organization class).

#### Participant1

Used to represent other participants not explicitly mentioned by other classes, that were somehow involved in the documented acts. The Participant1 participant is compatible with the Participant participant in CDA R2. Use the Participant2 participant for defining participants that require RIM classes not available in CDA R2.

| Table 37: Value set for participant.typeCode (CNE)  |
| --- |
| **Code** | **Definition** |
| Any ParticipationType subtype | See vocabulary domain "ParticipationType" for allowable values. |

| Table 38: Value set for participant.contextControlCode (CNE)  |
| --- |
| **Code** | **Definition** |
| OP (overriding propagating) [**default**]  | The participant overrides associations with the same typeCode. This overriding association will propagate to any descendant Acts reached by conducting ActRelationships. (See section "CDA Context" below.)  |

A participant is a person or organization in the role of a participating entity (AssociatedEntity class). The entity playing the role is a person (Person class). The entity scoping the role is an organization (Organization class).

| Table 39: Value set for AssociatedEntity.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| Any RoleClassAssociative subtype | See vocabulary domain "RoleClassAssociative" for allowable values. |

When the participating entity is an organization, this is reflected by the presence of a scoping Organization, without a playing entity.

#### Participant2

TBD

#### performer

See [ServiceEvent (§ 4.2.3.2 )](file:///C%3A%5CUsers%5Crickg%5CDocuments%5CLantana%5Cprojects%5Chl7%5CCDA_R2_NormativeWebEdition2005%5Cinfrastructure%5Ccda%5Ccda.htm#Event) for a description of the performer participant.

#### recordTarget

The recordTarget represents the medical record that this document belongs to.

A clinical document typically has exactly one recordTarget participant. In the uncommon case where a clinical document (such as a group encounter note) is placed into more than one patient chart, more than one recordTarget participants can be stated.

The recordTarget(s) of a document are stated in the header and propagate to nested content, where they cannot be overridden (see See [CDA Context (§ 4.4 )](file:///C%3A%5CUsers%5Crickg%5CDocuments%5CLantana%5Cprojects%5Chl7%5CCDA_R2_NormativeWebEdition2005%5Cinfrastructure%5Ccda%5Ccda.htm#CDAContext)).

| Table 40: Value set for recordTarget.typeCode (CNE)  |
| --- |
| **Code** | **Definition** |
| RCT (record target) [**default**]  | The record target indicates whose medical record holds the documentation of this act.  |

| Table 41: Value set for recordTarget.contextControlCode (CNE)  |
| --- |
| **Code** | **Definition** |
| OP (overriding propagating) [**default**]  | The participant overrides associations with the same typeCode. This overriding association will propagate to any descendant Acts reached by conducting ActRelationships. (See section "CDA Context" below.)  |

A recordTarget is represented as a relationship between a person and an organization, where the person is in a patient role (PatientRole class). The entity playing the role is a patient (Patient class). The entity scoping the role is an organization (Organization class). A patient is uniquely identified via the PatientRole.id attribute.

CDA Release One allowed for additional person identifiers, corresponding to the Patient.id attribute in CDA Release Two. This attribute is included for backwards compatibility and has been deprecated because having two different ways to identify a patient can result in inconsistent usage. Further use of Patient.id is discouraged.

| Table 42: Value set for PatientRole.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| PAT (patient) [**default**]  | A person that receives health care services from a provider.  |

| Table 43: Value set for Patient.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| PSN (person) [**default**]  | A living subject of the species homo sapiens. |

| Table 44: Value set for Patient.determinerCode (CNE)  |
| --- |
| **Code** | **Definition** |
| INSTANCE (instance) [**default**]  | The INSTANCE determiner indicates an actual occurrence of an entity, as opposed to the KIND determiner, which refers to the general description of a kind of entity. For example, one can refer to a specific car (a car instance), or one can refer to cars in general (a car kind).  |

A patient's language communication skills can be expressed in the associated LanguageCommunication class. A Patient's birthplace is represented as a relationship between a patient and a place. The Birthplace class is played by a place (Place class), and scoped by the patient (Patient class).

| Table 45: Value set for Birthplace.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| BIRTHPL (birthplace) [**default**]  | Relates a place as the location where a living subject was born.  |
| Table 46: Value set for Place.classCode (CNE)  |
| **Code** | **Definition**  |
| PLC (place) [**default**]  | A physicial place or site with its containing structure.  |
| Table 47: Value set for Place.determinerCode (CNE)  |
| **Code** | **Definition** |
| INSTANCE (instance) [**default**]  | The INSTANCE determiner indicates an actual occurrence of an entity, as opposed to the KIND determiner, which refers to the general description of a kind of entity. For example, one can refer to a specific car (a car instance), or one can refer to cars in general (a car kind).  |

A patient's guardian is a person or organization in the role of guardian (Guardian class). The entity playing the role of guardian is a person (Person class) or organization (Organization class). The entity scoping the role is the patient (Patient class).

Where a guardian is not explicitly stated, the value should default to local business practice (e.g. the patient makes their own health care decisions unless incapacitated in which case healthcare decisions are made by the patient's spouse).

| Table 48: Value set for Guardian.classCode (CNE)  |
| --- |
| **Code** | **Definition** |
| GUARD (guardian) [**default**]  | An entity (player) that acts or is authorized to act as the guardian of the patient.  |

#### responsibleParty

See [EncompassingEncounter (§ 4.2.3.5 )](file:///C%3A%5CUsers%5Crickg%5CDocuments%5CLantana%5Cprojects%5Chl7%5CCDA_R2_NormativeWebEdition2005%5Cinfrastructure%5Ccda%5Ccda.htm#EncompassingEncounter) for a description of the responsibleParty participant.

#### Participant Scenarios

Several CDA Header participations can be played by the same person. In such cases, the person should be identified as the player for each appropriate participation. For instance, if a person is both the author and the authenticator of a document, the CDA Header should identify that person as both the author participant and the authenticator participant.

On other occasions, CDA Header participants are played by different people. The following table shows a number of scenarios and the values for various participants.

|  |
| --- |
| Table 49: CDA participation scenarios  |
| 1. StaffPhysicianOne sees a patient as a consultant, dictates a note, and later signs it.  |
| * Author — StaffPhysicianOne
* Encounter Participant — StaffPhysicianOne (typeCode="CONS")
* Legal Authenticator — StaffPhysicianOne
 |
| 2. StaffPhysicianOne sees a patient and dictates a note. StaffPhysicianTwo later signs the note. \* |
| * Author — StaffPhysicianOne
* Legal Authenticator — StaffPhysicianTwo
 |
| 3. ResidentOne sees a patient with StaffPhysicianOne. ResidentOne dictates a note and later signs it. The note is co-signed by StaffPhysicianOne. \*  |
| * Author — ResidentOne
* Authenticator — ResidentOne
* Encounter Participant — StaffPhysicianOne (typeCode="ATND")
* Legal Authenticator — StaffPhysicianOne
 |
| 4. ResidentOne sees a patient with StaffPhysicianOne. ResidentOne dictates a note and later signs it. The note is co-signed by StaffPhysicianTwo. \*  |
| * Author — ResidentOne
* Authenticator — ResidentOne
* Encounter Participant — StaffPhysicianOne (typeCode="ATND")
* Legal Authenticator — StaffPhysicianTwo
 |
| 5. ResidentOne sees a patient with StaffPhysicianOne. ResidentOne dictates a note, and goes off on vacation. The note is signed by ResidentTwo and by StaffPhysicianOne. \*  |
| * Author — ResidentOne
* Authenticator — ResidentTwo
* Encounter Participant — StaffPhysicianOne (typeCode="ATND")
* Legal Authenticator — StaffPhysicianOne
 |
| 6. ResidentOne sees a patient with StaffPhysicianOne. ResidentOne dictates a note, which is later signed by ResidentTwo and StaffPhysicianTwo. \*  |
| * Author — ResidentOne
* Authenticator — ResidentTwo
* Encounter Participant — StaffPhysicianOne (typeCode="ATND")
* Legal Authenticator — StaffPhysicianTwo
 |
| 7. StaffPhysicianOne receives an abnormal lab result, attempts to contact patient but can't, and writes and signs a progress note.  |
| * Author — StaffPhysicianOne
* Legal Authenticator — StaffPhysicianOne
 |
| 8. ResidentSurgeonOne is operating on a patient with StaffSurgeonOne. StaffSurgeonOne dictates an operative report and later signs it.  |
| * Author — StaffSurgeonOne
* Authenticator — null (need not be included)
* Legal Authenticator — StaffSurgeonOne
* Performer — StaffSurgeonOne (typeCode="PPRF")
* Performer — ResidentSurgeonOne (typeCode="SPRF")
 |

\* Note that the ability of one clinician to co-sign or to sign on behalf of another clinician is subject to regulatory and local practice constraints.