



ONC
TEFCA
RECOGNIZED
COORDINATING
ENTITY

Standard Operating Procedure (SOP): Delegation of Authority

Version 1.0

DRAFT for Stakeholder Feedback

January 19, 2024

Applicability: QHINs, Participants, Subparticipants

1. COMMON AGREEMENT REFERENCES

The requirements set forth in this Standard Operating Procedure (SOP) are required for implementation in addition to the terms and conditions found in the applicable Framework Agreement, the Qualified Health Information Network™ (QHIN™) Technical Framework (QTF), and applicable SOPs. The Trusted Exchange Framework and Common Agreement™ (TEFCA™) Cross Reference Resource identifies which SOPs provide additional detail on specific references from the Common Agreement.

All documents cited in this SOP can be found on the Recognized Coordinating Entity® (RCE™) [website](#).

2. SOP DEFINITIONS

Terms defined in this section are introduced here and can be found in the TEFCA Glossary. Capitalized terms used in this SOP without definition here shall have the respective meanings assigned to such term in the TEFCA Glossary.

Delegated Request: a TEFCA Exchange Request initiated by a Delegate working for a Principal.

3. PURPOSE

This SOP identifies specific requirements that Delegates are required to follow when initiating Delegated Requests or otherwise transmitting information via TEFCA Exchange.

4. PROCEDURE

4.1 Overarching Requirements

1. Delegated Requests MUST follow all requirements that apply to the Principal, as set forth in the applicable Exchange Purpose (XP) Implementation SOP.
2. The Initiating QHIN for a Delegated Request MUST verify that the Principal referenced in the transaction (Section 4.3 and 4.4 of this SOP) matches a Principal listed in the Delegate's Directory Entry, as described in Section 4.2 of this SOP. A transaction from a Delegate that does not appropriately reference a Principal from that Delegate's Directory entry MUST NOT be accepted.

4.2 RCE Directory Service

1. The Delegate's Organization resource in the RCE Directory MUST have:
 - a) The "queryingFor" extension with the List resource with all List.entry.item references to the Organization resources of all Principal(s) for whom the Delegate will be transmitting Delegated Requests.
 - b) The expected date of first Delegated Request as the List.entry.date.
 - c) The date registered in the List.entry.date MUST match the effective_date in the Delegated Request Access File in Table 1 of this SOP, where present.
2. By listing a Principal in the Directory, Delegate is attesting that it has a written agreement, directly or indirectly, with such Principal authorizing the Delegate to conduct TEFC A Exchange for or on behalf of the Principal.

4.3 QHIN Query

The specifications in this section are required, unless otherwise stated herein or in an applicable SOP.

1. All Delegated Requests MUST append the following within the SAML for each transaction sent to the Responding QHIN:

This <Attribute> element MUST have the Name attribute set to "urn:oasis:names:tc:xacml:1.0:resource:resource-id" with FriendlyName set to "QueryAuthGrantor". The value MUST be the Directory Entry assigned to the Principal for whom the Delegate is initiating the Request, using the FHIR Resource format.

```
<saml:Attribute FriendlyName="QueryAuthGrantor"
Name="urn:oasis:names:tc:xacml:1.0:resource:resource-id">
<saml:AttributeValue>Organization/2.16.840.1.113883.3.7204.1</saml:Attribute
Value>
</saml:Attribute>
```

2. The SAML MUST include the following segment, which provides the document OID or a URL to the Delegated Request JSON object for that client relationship. An example of each is below.

```
<saml2:Attribute Name="DelegationDetail"
NameFormat="urn:oasis:names:tc:SAML:2.0:attrname-format:uri">
<saml2:AttributeValue>urn:oid:1.2.3.yyyy</saml2:AttributeValue>
</saml2:Attribute>
```

OR

```
<saml2:Attribute Name="DelegationDetail"
NameFormat="urn:oasis:names:tc:SAML:2.0:attrname-format:uri">
<saml2:AttributeValue>http://example.org/tefca-dra/dra-defbaa92-cef9-42fc-
b994-e1bb4873d8f1.json</saml2:AttributeValue>
</saml2:Attribute>
```

- The JSON file MUST contain the entries as described in Table 1 Delegated Request Access File Contents.

Table 1 Delegated Request Access (DRA) File Contents

Delegated Request Access File		
Element	Optionality	Requirement
tefca_dra	required	Fixed string value: "true"
dra_version	required	Fixed string value: "1"
grantor	required	RCE Directory Organization.ID of the Principal on whose behalf the Request is being made on
grantor_company	required	Organization name as listed in the RCE Directory Service that matches the Organization.ID
grantor_contact	required	Email address of contact at grantor_company for verification of contract status
receiving_data_source	conditional	HCID of Node where data will reside- Required if not grantor
supplier_contact_name	optional	Name of individual or group at Delegate’s organization for verification of contract status
supplier_contact	required	Email address of contact at Delegate’s organization for verification of contract status
contract_id	optional	Contract number or other Identifier representing contractual authority for the Delegate to make Delegated Requests
effective_date	optional	Date of contract start as YYMMDD e.g., 250324 for March 24, 2024
expiry_date	optional	Date of contract end as YYMMDD e.g., 240325 for March 25, 2025

An example of the Delegated Request Access file is as follows:

```
{
  "tefca_dra": true,
  "dra_version" : 1,
  "grantor" : "Organization/1.2.3.xxxxxx",
  "grantor_company" : "Veterinarian's Hospital",
  "grantor_contact" : "administration@vethospital.org",
  "receiving_data_source" : 1.2.4.xxxxx
  "supplier_contact_name" : "John Jacob Jingleheimer Schmidt",
  "supplier_contact" : "contracts@example.org",
  "contract_id" : "DRA660809",
  "effective_date" : "250324",
  "expiry_date" : "240325"
}
```

4.4 Facilitated FHIR

The specifications in this section are required, unless otherwise stated herein or in an applicable SOP.

1. Facilitated FHIR flows for all Delegated Requests MUST have separate authorization to ensure separation of Delegate role for each set of Requests.
2. An Initiating Node MUST NOT use an authorization code for a Request that does not correspond to the code granted for the Delegated Request attached to the Principal for which the information is being retrieved.
3. Each Code Grant OAuth flow authorizing the Delegate MUST contain the tefca_dra extension which MUST contain the same information as the SAML for Request.

Table 2 TEFCA DRA OAuth Extension

tefca_dra	
queryAuthGrantor	MUST be the RCE Directory Organization.ID of the Principal on whose behalf the Request is being made, using the FHIR Resource format.
delegationDetail	MUST be a DocumentReference resource id OR a full URL to the Delegated Request JSON object for that client relationship.