



RCE Directory Service (Directory) Requirements Policy SOP

https://rce.sequoiaproject.org/wp-content/uploads/2024/07/SOP-Directory-Requirements_508-1.pdf

Context for Proposed Changes

This update is intended to improve the consistency, accountability, and reliability of information maintained in the RCE® Directory Service by requiring each Directory entry to be associated with a federal Employer Identification Number (FEIN) assigned by the Internal Revenue Service (IRS). The requirement is centered on FEINs because FEINs provide a non-personal tax identifier that can be used to associate Directory entries with the legal or tax-reporting persons or entities responsible for them.

For purposes of this requirement, it is important to distinguish between FEINs, Taxpayer Identification Numbers (TINs), Social Security Numbers (SSNs), and Individual Taxpayer Identification Numbers (ITINs). A TIN is a broad term that includes several types of taxpayer identifiers, including FEINs, SSNs, and ITINs. A FEIN is a federal tax identifier assigned by the IRS to businesses and other entities, including sole proprietors, corporations, partnerships, estates, trusts, and certain individuals. By contrast, SSNs and ITINs are individual taxpayer identifiers. Because SSNs and ITINs are personal and sensitive identifiers, it would not be appropriate to publish them through the Directory.

This new requirement is also not intended to make the FEIN a proxy for vetting status, HIPAA-Covered Entity status, Health Care Provider status, or legal-entity separateness. The purpose of the requirement is to ensure that each Directory entry can be attributed to the appropriate responsible legal or tax-reporting entity at the level represented in the Directory.

The same FEIN may appropriately be associated with multiple Directory entries where those entries are legally, operationally, or tax-reporting attributable to the same person or entity. Conversely, a FEIN should not be selected merely because it is associated with some narrower component, subunit, department, service line, billing arrangement, payer enrollment, cost center, or other portion of a broader Directory entry, unless that narrower component is itself the Directory entry.

Feedback on the proposed changes in Section 4.1.13 of *Standard Operating Procedure (SOP): RCE Directory Service (Directory) Requirements Policy Version 1.0 (July 2024)*, as presented in the attached redlines, is due to rce@sequoiaproject.org by July 28, 2026.



ONC
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DRAFT: Standard Operating Procedure (SOP): RCE[®] Directory Service (Directory) Requirements Policy

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Version 1.2

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Effective Date:

Deleted: July 1, 2024

Applicability: QHINs, Participants, and Subparticipants that control a Node

1 Common Agreement References

The requirements set forth in this Standard Operating Procedure (SOP) are for implementation, in addition to the terms and conditions found in the Common 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](#).

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2 Definitions

Select terms used throughout this SOP are defined in this section for ease of reference. All capitalized terms used in this SOP have the respective meanings assigned to such term in the TEFCA Glossary.

Delegate: a First Tier Delegate or Downstream Delegate.

Delegated Request: a TEFCA Exchange Request initiated by a Delegate working, directly or indirectly, for a Principal.

Directory Entry(ies): listing of each Node controlled by a QHIN, Participant, or Subparticipant, which includes the endpoint resource for such Node(s) and any other organizational or technical information required by the QTF or an applicable SOP.

Downstream Delegate: a QHIN, Participant, or Subparticipant that (i) is not acting as a Principal when initiating or Responding to a transaction via TEFCA Exchange and (ii) has a direct written agreement with a First Tier Delegate or another Downstream Delegate authorizing the respective Downstream Delegate to initiate or Respond to transactions via TEFCA Exchange for or on behalf of a Principal.

First Tier Delegate: a QHIN, Participant, or Subparticipant that (i) is not acting as a Principal when initiating or Responding to a transaction via TEFCA Exchange and (ii) has a direct written agreement with a Principal authorizing the First Tier Delegate to initiate or Respond to transactions via TEFCA Exchange for or on behalf of the Principal. For purposes of this definition, a “written agreement” shall be deemed to include a documented grant of authority from a government agency.

Initiating Node: a Node through which a QHIN, Participant, or Subparticipant initiates transactions for TEFCA Exchange.

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Initiating Node Only Attestation: an attestation provided by a Participant or Subparticipant to its QHIN attesting that data obtained or created by the Participant's or Subparticipant's Initiating Node that becomes part of a Designated Record Set of a Principal is shared with another Responding Node that is identified in such attestation. For purposes of the Initiating Node Only Attestation, Designated Record Set has the meaning assigned to that term in 45 CFR § 164.501 but applies to a Principal regardless of whether the Principal is a Covered Entity.

Logical Entity: a Participant or Subparticipant that is represented by one or more Nodes in the RCE Directory Service, all of which share a TEFCAID.

Node: a technical system that is controlled directly or indirectly by a QHIN, Participant, or Subparticipant and that is listed in the RCE Directory Service.

Principal: a QHIN, Participant or Subparticipant that is acting as a Covered Entity, Government Health Care Entity, NHE Health Care Provider, a Public Health Authority, a government agency that makes a Government Benefits Determination, or an IAS Provider (as authorized by an Individual) when engaging in TEFCA Exchange.

RCE Directory Service: a technical service provided by the RCE that enables QHINs to identify their Nodes to enable TEFCA Exchange. The requirements for use of, inclusion in, and maintenance of the RCE Directory Service are set forth in the Framework Agreements, QTF, and applicable SOPs.

Required Information: the Electronic Health Information, as defined in 45 CFR § 171.102, that is (i) maintained in a Responding Node by any QHIN, Participant, or Subparticipant prior to or during the term of the applicable Framework Agreement and (ii) relevant for a required XP Code, as set forth in the QTF or an applicable SOP(s).

Responding Node: a Node through which the QHIN, Participant, or Subparticipant Responds to a received transaction for TEFCA Exchange.

Transaction Type(s): any one of a Patient Discovery, Document Query, Document Retrieval, Message Delivery, and/or FHIR.

3 Purpose

This SOP describes RCE Directory Services (Directory) policy requirements that QHINs must follow when maintaining Directory Entries, in addition to the specifications set forth in the Framework Agreements, QTF, RCE Directory Service Implementation Guide, and applicable SOPs.

Field Code Changed

4 Procedure

4.1 Requirements

1. The Primary Purpose of the Directory is to Represent Technical Relationships.

- a) The Directory represents exchange Nodes. It might not show all Participants and Subparticipants through which a Framework Agreement flows.
- b) The Directory **MUST** represent the technical path of connectivity, including all Passthrough Nodes.
- c) The Directory also associates multiple Nodes of a Logical Entity across QHINs, Participants, and Subparticipants sharing a TEFCAID, per Section 4.1(14), below.

2. All Nodes **MUST be controlled by a QHIN, Participant, or Subparticipant and listed in the Directory.**

- a) Any Node that handles or transmits data during transport as part of TEFCA Exchange **MUST** be controlled by a QHIN, Participant, or Subparticipant and subject to a Framework Agreement.
- b) All such Nodes **MUST** be published in the Directory, representative of each Node's technical path of connectivity.

3. Directory includes range of Exchange Purposes (XPs) for a QHIN.

- a) A QHIN **MUST** publish, at the Organization¹ resource level, all XP Codes that will be initiated from its Designated Network.
- b) A QHIN **MUST** publish, at the Endpoint² resource level, all XP Codes that will be Responded to by the QHIN, Participant, or Subparticipant within its Designated Network.

4. Directory includes types of Transactions and XPs for each Node.

- a) Every Initiating Node in the Directory **MUST** indicate both which Transaction Type(s) and for which XP(s) Codes it will initiate. The XPs published for a Node **MUST** be the set or a subset of the XPs Codes of each Directory Entry above it in the hierarchy, as exemplified by the diagram in Section 4.2 of this SOP.
- b) Every Responding Node in the Directory **MUST** indicate both which Transaction Type(s) and for which XP Codes it will respond. The XPs published for a Node **MUST** be the set or subset of the XP Codes listed at the endpoints of the Responding Node's QHIN.

¹ HL7® FHIR® Release 4 available at <https://hl7.org/fhir/R4/>.

² HL7® FHIR® Release 4 available at <https://hl7.org/fhir/R4/>.

5. Participants and Subparticipants MAY participate in multiple QHINs if they have multiple Nodes with separate HomeCommunityIDs or FHIR Endpoints.

- a) If multiple Nodes share a HomeCommunityID or FHIR Endpoint, they MUST be represented entirely under the same QHIN.
- b) An organization with multiple Nodes that each have a separate HomeCommunityID or FHIR Endpoint may be a Participant or Subparticipant under multiple QHINs; however, each Responding Node MUST be entirely represented for all Exchange Modalities handled by that Responding Node under one QHIN and that Responding Node MUST NOT be duplicated across multiple QHINs where separate, additional Nodes may be listed.
- c) A Responding Node's source database MUST only be represented by one HomeCommunityID or FHIR Endpoint.

6. No duplicative Responding Node Directory Entries.

- a) Before listing any Responding Node in the RCE Directory Service, a QHIN MUST confirm that a Responding Node with the same organization or endpoint identifier for the same capability, including the same HomeCommunityID, does not already exist in the RCE Directory Service under another QHIN.
- b) QHINs MUST NOT list in the RCE Directory Service any such duplicative entry as a Responding Node of a Participant or Subparticipant of such QHIN.

7. No limit on Initiating Node Directory Entries.

- a) There is no limit on the number of Initiating Nodes a QHIN may list in the RCE Directory Service for a Participant or Subparticipant.
- b) Each QHIN must ensure that each Initiating Node it enters into the RCE Directory Service meets the requirements set forth in this SOP.
- c) Each Responding Node may be listed by the QHIN that listed the respective Initiating Node or another QHIN. If the Node is an Initiating Node only, then the QHIN must ensure that it is hierarchically below a Responding Node for Document Retrieval or that the Responding Node identified in the Initiating Node Only Attestation is listed in the RCE Directory Service.

8. A Responding Node MAY be separated by individual Transaction Type.

- a) A Responding Node may be separated by individual Transaction Type within each Exchange Modality so long as the Responding Node has exactly one Directory Entry per Transaction Type at all times. For example, a QHIN that maintains an Enterprise Master Patient Index (eMPI) for all its Participants and Subparticipants may be the Responding Node for Patient Discovery transactions for its entire network, while its Participants and/or Subparticipants, as appropriate, are listed individually as the Responding Nodes for Document Retrieval.

9. Each Transaction Type MUST be listed no more than once.

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- a) Within a hierarchical chain of Directory Entries, each Transaction Type MUST be listed no more than once (see diagram in Section 4.2 below). For example, a Participant that Responds to Document Retrieval transactions MUST Respond inclusive of all its Subparticipants for which a Response is Required. Any Subparticipants below that Participant's Responding Node cannot also be listed as Responding Nodes for Document Retrieval.

10. Initiating Node of a Principal MUST also be or have an associated Responding Node.

- a) A Node that is an Initiating Node of a Principal MUST meet one of the following two requirements unless another exception applies:
 - i. Be a Responding Node; or
 - ii. Be hierarchically below a Responding Node for Document Retrieval where such Responding Node is sharing all Required Information from a downstream Participant or Subparticipant that would otherwise be provided by the Participant or Subparticipant's Initiating Node, if the Initiating Node were a Responding Node.
- b) Notwithstanding the foregoing, if a QHIN, Participant, or Subparticipant's Responding Node is exempted from required Responses pursuant to the XPs SOP, such QHIN, Participant, or Subparticipant's Initiating Node is not required to be or have an associated Responding Node.

11. Initiating Node of a Delegate Must Also Be or Have an Associated Responding Node.

- a) A Node that is an Initiating Node of a Delegate MUST meet one of the following three requirements unless another exception applies:
 - i. Be a Responding Node;
 - ii. Be hierarchically below a Responding Node for Document Retrieval where such Responding Node is sharing all Required Information from a downstream Participant or Subparticipant that would otherwise be provided by the Participant or Subparticipant's Initiating Node, if the Initiating Node were a Responding Node; or
 - iii. Provide an Initiating Node Only Attestation to the QHIN, which is in the Initiating Node Only Attestation form set forth below.

- b) Initiating Node Only Attestation Form:

Participant or Subparticipant Name (the "Attesting Entity"):

The Attesting Entity is a Participant or Subparticipant of [QHIN].

The Attesting Entity is a Delegate of [_____].

Field Code Changed

For purposes of this Initiating Node Only Attestation, Designated Record Set has the meaning assigned to that term in 45 CFR §164.501 but applies to a Principal regardless of whether the Principal is a Covered Entity.

The Attesting Entity hereby attests that data obtained or created by the Initiating Node following the Initiating Node's use of TEFCA's Connectivity Services that becomes part of a Designated Record Set of [Principal Name] is shared with and maintained in [Name of Principal's Responding Node], which is a Responding Node.

The Attesting Entity **MUST** notify [QHIN] immediately in the event this Attestation is no longer accurate or complete.

c) Examples:

- i. Southeast Health System has two EHR systems, one of which is connected to TEFCA through QHIN B as both an Initiating Node and a Responding Node ("EHR 1 Node") and one of which is not connected to TEFCA ("EHR 2"). Southeast Health System uses a Delegate that provides a care management system to create care plan for specific diabetic patients (the "Delegate Care Manager"). All data obtained by the Delegate Care Manager and the resulting care plans are maintained in the Delegate Care Manager's system. In addition, the data and resulting care plans are sent back to the respective EHRs in which the Individual's data resides (e.g., either EHR 1 or EHR 2). Because EHR 1 Node is a Responding Node, the Delegate Care Manager can sign an Initiating Node Only Attestation and be an Initiating Node only with respect to Individuals whose records reside in EHR 1. Because EHR 2 is not connected to TEFCA and is not a Responding Node, an Initiating Node Only Attestation is not available for the Delegate Care Manager with respect to Individuals whose records reside solely in EHR 2. As a result, to initiate Queries through TEFCA for Individuals whose records reside in EHR 2, the Delegate Care Manager must be an Initiating Node and Responding Node.

12. All Delegates **MUST be represented in the Directory in accordance with the Delegation of Authority SOP and **MUST** list their Principal for whom the Query is being initiated in the Query itself.**

- a) If the Delegate's Node is listed as an Initiating Node and the Delegate is initiating Queries as authorized by one or more Principals, then each Delegate must be represented in the RCE Directory Service, as detailed in the Delegation of Authority SOP.

Field Code Changed

- b) Each Query made by a Delegate MUST identify in the transaction the Principal that is providing the underlying authority for such Query, as detailed in an applicable SOP and in the Delegation of Authority SOP.

13. An Initiating Node MUST publish relevant required identifiers for XPs it initiates, as identified in the QTF, the XPs SOP, or the relevant XP Implementation SOP (e.g., NPI for Treatment).

13.1 FEIN Required for Directory Entries

Each QHIN must ensure that all of their Directory Entries (i.e., Participant, Subparticipant, and Child) in the RCE Directory Service has an Internal Revenue Service-issued federal Employer Identification Number (FEIN) associated with it.

a) For each Participant Node, Subparticipant Node, or Child entry, the QHIN must determine the appropriate FEIN as follows:

- i. If the Directory entry represents a legal or tax-reporting entity with its own FEIN, the QHIN must associate the entry with that FEIN.
 - 1. No FEIN Required for Tribal or Government Agencies. If the Directory entry represents a tribal or government agency, a FEIN is not required.
- ii. If the Directory entry does not have its own FEIN because it represents a facility, location, department, subdivision, operating unit, product instance, or other component that is not a separate legal or tax-reporting entity, the QHIN must associate the entry with the FEIN of the closest legal or tax-reporting entity at or above the level of the Directory entry that has operational responsibility for that entry. That legal or tax-reporting entity does not need to be separately listed in the Directory.
 - 1. If more than one FEIN could reasonably be associated with the Directory entry, the QHIN must use the FEIN of the legal or tax-reporting entity responsible for the Directory entry as a whole, at the level represented in the Directory.
 - 2. The QHIN must not select a FEIN that is attributable only to a narrower component, subunit, department, service line, billing arrangement, payer enrollment, cost center, or other portion of the Directory entry, unless that narrower component or portion is itself the Directory entry.
 - 3. If the person or entity responsible for the Directory entry does not have a FEIN, the QHIN must require that person or entity to obtain a FEIN before the entry may be submitted to, populated in, or maintained in the Directory.
- iii. The same FEIN may be associated with multiple Participant Nodes, Subparticipant Nodes, or Child entries where those entries are legally, operationally, or tax-reporting attributable to the same entity.

Field Code Changed

b) *Prohibition on SSNs and ITINs.* Social Security Numbers (SSNs), Individual Taxpayer Identification Numbers (ITINs), and other individual taxpayer identifiers must not be populated, published, displayed, exchanged, or otherwise exposed through the Directory.

c) *Implementation Timeline*

- i. *Once the Directory supports submission of FEINs for a given entry type, each QHIN must include the required FEIN when submitting any new Participant Node, Subparticipant Node, or Child entry of that type to the Directory.*
- ii. *For Participant Nodes and Subparticipant Nodes that existed in the Directory before the Directory supported submission of FEINs for those entries, each QHIN must populate the required FEIN within three months after the Directory supports submission of FEINs for Participant Nodes and Subparticipant Nodes.*
- iii. *For Child entries that existed in the Directory before the Directory supported submission of FEINs for Child entries, each QHIN must populate the required FEIN within six months after the Directory supports submission of EINS for Child entries.*

14. A Logical Entity with multiple Nodes MUST have the same TEFCALD shared across each of its Nodes.

- a) QHINs MUST work with their Participants and Subparticipants during onboarding to determine whether any new Directory Entry is affiliated with an existing Logical Entity that has been assigned a TEFCALD.
 - i. When a new Directory Entry is affiliated with an existing TEFCALD, the publishing QHIN MUST submit its new Directory Entry with that TEFCALD listed. The RCE Directory Service will:
 1. Validate the TEFCALD submitted to ensure the TEFCALD already exists.
 2. Where it does not exist, an RCE Directory Service validation error will be returned, allowing the QHIN to make a correction.
 - ii. When a new Directory Entry is not affiliated with an existing TEFCALD, the publishing QHIN MUST NOT submit any value for TEFCALD. The RCE Directory Service will:
 1. Assign and populate a new unique TEFCALD.

Field Code Changed

4.2 Example Diagram

1. QHIN A is fully federated, passing all transactions to its Participants.

- Participant 1 maintains an eMPI/Record Locator Service (RLS) over its Subparticipants but returns individual patient IDs per Subparticipant (Sub) and passes down subsequent Queries for documents.
 - Subs Z and Y only see Document Query and Document Retrieval Queries and Respond independently, since Participant 1 only maintains their patient demographics.
- Participant 2 maintains a complete clinical data repository and Responds for all transactions for its Subs.
 - Sub X never sees or Responds directly to TECCA transactions.

2. QHIN B maintains an eMPI/RLS, returns a consolidated patient ID, followed by an aggregated document list. It passes down subsequent Queries for documents.

- Participant 3 is a fully federated Passthrough Node, passing all transactions to its Subs.
 - Sub W is a fully federated Passthrough Node, passing all transactions to its Subs.
 - Sub U sees only Document Retrieval Queries and Responds independently, since QHIN B maintains its patient demographics and document list.
 - Sub V only sees Document Retrieval Queries and Responds independently, since QHIN B maintains its patient demographics and document list.

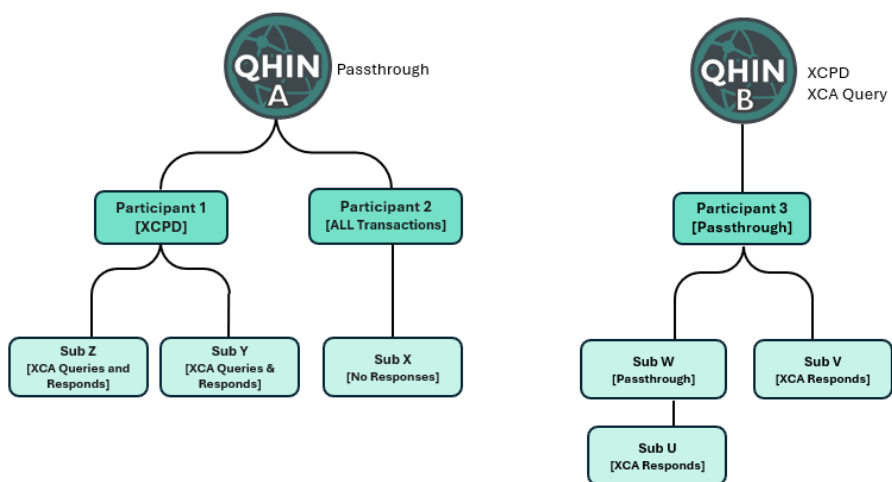
3. Initiating Nodes: Without leveraging exceptions listed in 4.1(10) of this SOP, only the following may be Initiating Nodes, due to Responding with documents: Sub Z, Y, Participant 2, Sub U, V.

4. Participant 3 is a federated gateway, passing through the transactions, and so must be in the Directory. If it were simply flowing down Framework Agreement terms, but not handling transactions, Subs W & V could be directly below QHIN B.

Field Code Changed

KEY

- **XCPD:** Cross Community Patient Discovery
- **XCA:** Cross Community Access



5 Version History

Version	Publication Date	Section #(s) of Update
Draft Version 1.0	January 19, 2024	N/A
Version 1.0	July 1, 2024	All sections
<u>Version 1.2</u>		<u>Section 4.1 (13.1)</u>

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