To: NHIN Coordinating Committee

Rev. Date: March 11, 2010

Re: Proposed Work Plan for the NHIN Coordinating Committee in 2010

Status: Approved by NHIN Coordinating Committee 3/18/10

The NHIN Coordinating Committee (CC) will be responsible for a number of activities in 2010. To help the CC best manage these activities, we have prepared this memorandum which (i) provides a narrative discussion of the 2010 activities and organizes them into categories, and (ii) drafted a proposed Work Plan to help the CC determine how to complete these activities effectively and efficiently.

NHIN CC Activities

The activities for the CC are based on issues that were discussed during DURSA negotiations and CC meetings, and put on a roadmap for future discussions, as well as the operational activities that the CC will need to undertake to support the current and future NHIN Participants. The CC activities are described below.

1. **NHIN Operational Activities**

    a. Review and make determinations regarding Applications for Participation and Definitive Plans

    b. Exercise processes related to (i) processing applications; (ii) receiving and responding to Breach notifications; and (iii) exercising suspension and termination rights

    c. Engage in a "self-assessment" to gather lessons learned from the formation and operation of the CC and determine how the CC will continue "self-assessments" in the future

    d. Respond to other operational needs as they arise

2. **CC and NTC Strategic Issues**

    a. Determine how the composition of the CC should be restructured, if at all, to accommodate the number of new Participants and Definitive Plan CC members expected to join the NHIN and the CC in the near future

    b. Further define the term "actively engaged in the exchange of Message content" as that term is used in the DURSA to describe those Participants that have a representative on the CC

    c. Examine the interaction and relationship between the CC and the NHIN Technical Committee (NTC)

    d. Receive, prioritize, consider and make determinations related to other strategic issues related to the NHIN as they arise

3. **Maintenance of the Tools of Trust**

    a. Engage in a "self-assessment" to gather lessons learned from the development of the tools of trust

    b. *DURSA as the Trust Agreement*: There were various issues on which members of the DURSA Team sought more discussion but which were deferred until a future date. Further, as more Participants have executed the DURSA and operational policies and procedures have been developed, additional areas for potential amendment have been brought to light. Areas of potential amendment include:

        i. Modification of the types of Participants described in the beginning paragraphs of the DURSA;

        ii. Liability language in Section 20.01;

        iii. Definition of Digital Credentials to incorporate both the Certificate Authority and UDDI;

        iv. Definition of "Definitive Plan" and 12/31/10 deadline;

        v. Incorporation of "service level interruption" into the voluntary suspension provision;

        vi. Addressing the potential "loophole" in the DURSA with respect to the minimum expectation that all Participants that seek Message Content for Treatment will exchange Message Content for Treatment Language;[1]

        vii. Revisiting the amendment provisions to make sure that they continue to make sense with an increased number of Participants; and

        viii. Amending language and definitions to ensure consistency with the strategic approach of the NHIN, as necessary.

    c. *Operating Policies and Procedures*: There were various issues on which members of the DURSA Team sought more discussion but which were best addressed through policies and procedures. Areas for further policy and procedure development include:

        i. Service level expectations (e.g. response time, up time, etc.); and

        ii. High-level enterprise security expectations for Participants.

    d. *Technical Specifications*: There were various issues on which members of the DURSA Team sought more discussion but which were best addressed through

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[1] There is a potential "loophole" in the DURSA with respect to the minimum expectation that all Participants that seek Message Content for Treatment will exchange Message Content for Treatment. Section 13.01(b) contains this minimum requirement and requires that if a Participant wants to stop exchanging Message Content with another Participant based on the other Participant's acts or omissions, the Participant can do so but must notify the CC. Section 7 of the DURSA allows each Participant to apply its own System Access Policies to decide how to respond to requests. The CC does not need to be notified of the content of a Participant's System Access Policies. Arguably, instead of ceasing exchange with another Participant under Section 13.01(b), a Participant could modify its System Access Policies such that application of the policy would prevent an exchange with this other Participant. The CC may want to revisit this issue to close the arguable "loophole."

future technical specifications. Areas for further technical specification development include:

i. The type of roles that are included in the assertions that accompany a Message;

ii. A set of standardized responses to a Message; and

iii. Authentication of requests for Message Content.

Work Plan

The CC will be directly responsible for acting on the activities captured in Section 1 - the NHIN Operational Activities. For all of the other activities in Sections 2 and 3, the CC will have the ultimate decision-making authority, but will establish task groups to delve into these issues and present recommendations to the CC. The task groups would be the following:

- the CC and NTC Strategic Issues Task Group,
- the DURSA Task Group,
- the Policies and Procedures Task Group, and
- the Policy and Technical Task Group (in coordination with the NTC).

The task groups will be composed of knowledgeable stakeholders appointed by the CC who have both the expertise to address the issues assigned to the task group and the time to meet on a fairly frequent basis to address their respective issues. The task groups will be asked to develop recommendations to address their respective issues and present these recommendations to the CC for approval. To help inform the task groups' recommendations, each task group will solicit input from those who will be participating in the NHIN in the near future including those who are under contract with ONC, SSA contractors, state-level HIEs, and the Beacon communities. The task groups will be encouraged to solicit input twice - at the beginning of their work and near the end of their work. NeHC will help organize and solicit this feedback. Each task group will be responsible for establishing its own work plan, which includes input periods and meets the high-level timelines set by the CC in its Work Plan.

Assuming that the CC chooses to establish these task groups, the CC may adopt the following Work Plan. The Work Plan presents those issues that the CC will address at each of its monthly meetings in addition to other operational issues that may arise.

April	• Review task group work plans and receive brief progress reports from each task group • Review and approve Lessons Learned approach using a survey and directed interviews • Review any applicable Application materials
May	• Receive progress reports from each task group and provide feedback on task group activities • Receive from the CC and NTC Strategic Issues Task Group its preliminary thoughts on the composition of the CC given the projected increase in participation over the next 12-18 months and preliminary recommendations on the relationship between the NTC and the CC; provide feedback to the Task Group • Review results of breach notification exercise • Review any applicable Application materials
June	• Receive progress reports from each task group and provide feedback on task group activities • Receive and provide feedback on the Policy and Technical Task Group's draft set of specifications to address the issues identified in Section 3(d) of the NHIN Activities list • Review any applicable Application materials
July	• Receive progress reports from each task group and provide feedback on task group activities • Receive and act upon the CC and NTC Strategic Issues Task Group's recommendations on the revised composition of the CC and NTC • Receive and provide feedback on the OP&P Task Group's draft set of OP&Ps to address the issues identified in Section 3(c) of the NHIN Activities list • Review results of the exercise on suspension/termination that will be conducted between the June and July CC meetings • Review any applicable Application materials
August	• Receive progress reports from each task group and provide feedback on task group activities • Receive and act upon the CC and NTC Strategic Issues Task Group's plan for implementing changes, if any, required to operationalize the revised composition of the CC and NTC • Receive and provide feedback on the DURSA Task Group's proposed amendments to the DURSA • Receive and act upon the Policy and Technical Task Group's refinements to the new set of specifications • Review any applicable Application materials

September	• Receive progress reports from each task group and provide feedback on task group activities
	• Receive and act upon the OP&P Task Group's refinements to the new set OP&Ps
	• Review any applicable Application materials
October	• Receive progress reports from each task group and provide feedback on task group activities
	• Receive and act upon the DURSA Task Group's revised amendments to the DURSA so that they can be submitted for Federal clearance
	• Receive the final report from the CC and NTC Strategic Issues Task Group on how its implementation plan has been completed
	• Review any applicable Application materials