



<b>Subject:</b> NATE-QE Eligibility Criteria for: NATE Blue Button for Consumers (NBB4C)			<b>Policy #:</b> 3.c.3
<b>Status:</b> Approved		<b>Approved/Authorized By:</b>	
<b>Date Approved:</b> 1/23/2015	<b>Effective Date:</b> 1/23/2015	<b>Version:</b> 7.0	<b>Pages:</b> 3

**I. Purpose**

The National Association for Trusted Exchange (NATE) has responsibility for establishing uniform processes by which approved Evaluation Authorities verify that candidate NATE Qualified Entities (NATE-QEs) satisfy the eligibility criteria to be approved for inclusion in a NATE Trust Bundle. NATE provides mechanisms by which NATE-QEs may be added to NATE’s Trust Communities thus enabling trusted exchange across states where relying parties accept the criteria and agree to rely on the evaluations performed by the approved Evaluation Authority. The purpose of this NATE-Policy is to define the process by which candidates are vetted and upon approval promoted into the NATE Blue Button for Consumer Trust Bundle (NBB4C).

**II. Applicability of Policies**

This profile applies to the following:

- The Evaluation Authority responsible for promoting personal health records (PHRs) (and similar applications) that are consumer facing and employ the Direct mode of exchange.
- The NATE Trust Bundle Coordinator and others involved in related functions.

**III. Policy**

The Evaluation Authority for this bundle shall be operated at the direction of the NATE CEO.

NATE-QE (NBB4C) eligibility criteria are grouped into two sets:

- a. The first set is derived from *NATE Policy #3.c: Policy for Trust Profiles using Direct*; and
- b. The second, detailed below, describes the Eligibility Criteria applicable to a NATE-QE seeking inclusion in the NBB4C Trust Bundle.

The Evaluation Authority shall confirm that candidate NATE-QEs satisfy each and all Eligibility Criteria of both eligibility criteria sets prior to causing the NATE-QE (NBB4C) to be added to the NATE Trust Bundle following Procedure 3.d.1.

Eligibility Criteria of a NATE—QE (NBB4C)

- a. NATE-Required Direct Project Security and Trust components
  - i. All NATE-QE (NBB4C) candidates must demonstrate adherence to the baseline requirements of NATE.

*Rationale* – see NATE Policy #3.c.1

*Method of Verification* – see NATE Policy #3.c.1

- b. NATE-Required Application and Evaluation Authority approval of submitted evidence as sufficient to satisfy validation requirements.

*Rationale* – see NATE’s NBB4C Onboarding Form

*Method of Verification* – see NATE’s NBB4C Onboarding Form

Eligible NATE-QE’s acknowledge NATE’s authority to remove NATE Trust Certificates from the Trust Bundle at NATE’s sole discretion. NATE shall allow for an appeal to NATE’s Board of Directors in the event that the Evaluation Authority’s decision to remove a NATE-QE from the NATE Trust Bundle is contested by the NATE-QE. The decision of NATE’s Board of Directors regarding the appeal shall be final.

**IV. Related Procedures**

Policies for Trust Profiles using Direct (3.c)

Procedure for Onboarding to a Trust Profile (3.d.1)

**V. Version History**

	<b>Date</b>	<b>Author</b>	<b>Comment</b>
1	9/23/2013	Stephanie Rizk	--
2	10/4/2013	Stephanie Rizk	Compiles comments received from Paul Cartland (AK), Mindy Montgomery (Krysora), Sharon Wentz (OR), and Glen Campbell/Melissa Sands (VA).
3	10/5/2013	Aaron Seib	Updates to reflect work of P&P WG#3 to date, refine labels used (eg. EHR with P2P4Tx), add assertions regarding pilot nature of this profile and footnotes to aid Pilot participants in their review and commenting.
4	10/08/2013	Aaron Seib	Revisions as in formed by current pilot work and discussion of the P&P Committee WG#3 on 10/7. Updates include stretch goals and what we expect to learn from operating the pilot.
5	10/02/2014	Aaron Seib	Phase 2 Scoping Work Group revisions. Draft prepared for public comment.

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6	12/23/2014	Meryt McGindley	Phase 2 Scoping Work Group revisions. Draft revised to include appeal process.
7	01/05/2015	Aaron Seib	Updated language related to appeals process.
8	01/13/2015	Aaron Seib	Updates to correct typos and bad references.