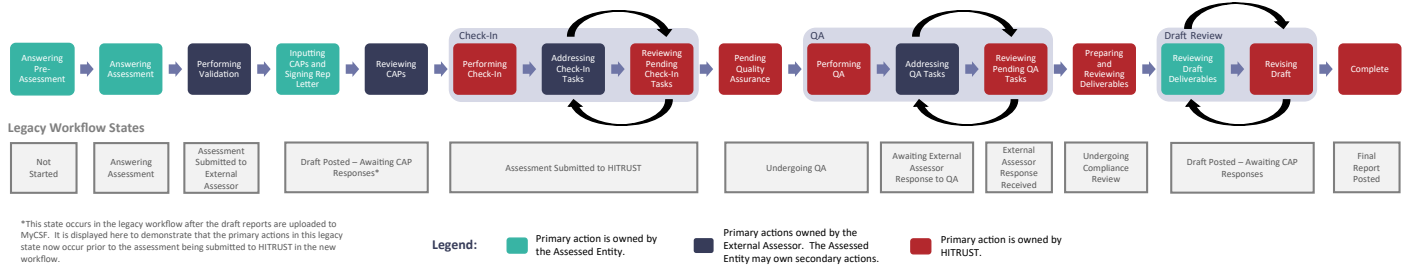


New Workflow Changes Overview

What changed?

See the workflow diagram below. The legacy workflow is outlined below the new workflow.

New HITRUST CSF Validated Assessment Workflow Phases



Why is HITRUST making this change?

HITRUST New Assessment Workflows for HITRUST CSF Validated, Interim, Bridge, and Readiness Assessments are designed to:

- Clarify the steps required to complete assessments and obtain final reports, interim letters, and bridge certificates.
- Clearly define ownership of each phase of an Assessment.
- Reduce back-and-forth during the workflow through the re-sequencing of phases.
- Standardize the phase names across HITRUST CSF Validated, Readiness, Interim, and Bridge assessment workflows.

How do I know if my assessment is utilizing the new workflow?

To determine whether your assessment is utilizing the new workflow, access the Assessment Detail View by clicking on the Assessment Name within the left navigation bar of the assessment. The Assessment Detail View contains a timeline of either the legacy assessment workflow states or the new assessment workflow phases, depending on the workflow that the assessment is utilizing.

What criteria will you use to convert assessments to the new workflow?

Assessments will be converted to the new workflow according to the criteria outlined below.

HITRUST CSF Validated Assessments

This suite of enhancements to MyCSF will be implemented automatically for all Validated Assessments created on or after February 15, 2022, as well as all existing Validated Assessments meeting all the following criteria on February 15, 2022:

- The assessment has not previously been submitted to HITRUST
- The assessment is in the *Not Started* or *Answering Assessment* state
- No assessment domains have been submitted to the External Assessor for review

HITRUST CSF Interim and Bridge Assessments

This suite of enhancements to MyCSF will be implemented automatically for all Interim and Bridge Assessments created on or after February 15, 2022. Interim and Bridge Assessments created prior to February 15, 2022 will not be affected.

HITRUST CSF Readiness Assessments

This suite of enhancements to MyCSF will be implemented automatically for all Readiness Assessments created on or after February 15, 2022, as well as all existing Readiness Assessments meeting all the following criteria on February 15, 2022:

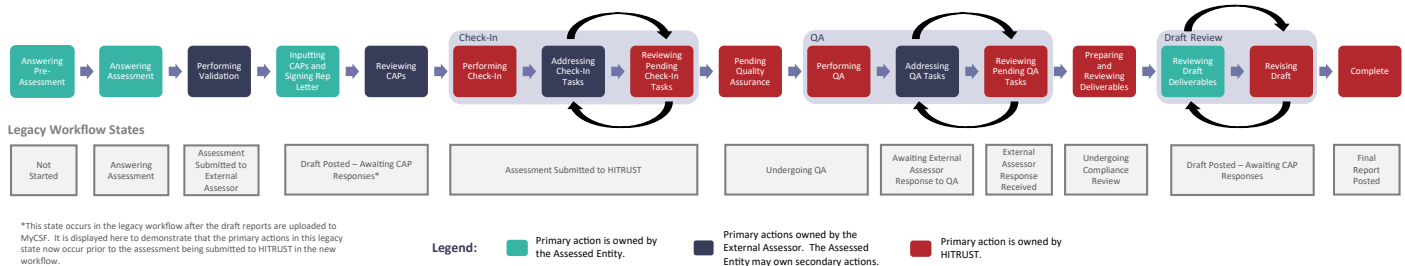
- Assessment has never been submitted to HITRUST
- Assessment is in the *Not Started or Answering Assessment* state

Will i1 assessments follow the new workflow?

Information related to i1 assessments will be provided in a later advisory.

New HITRUST CSF Validated Assessment Workflow

New HITRUST CSF Validated Assessment Workflow Phases



The new workflow has 16 phases for a Validated Assessment. Did HITRUST add more steps to the assessment process?

No, as shown in the diagram above, each phase maps to a legacy workflow state. However, the phases are more granularly defined to increase the transparency regarding assessment status and remaining items needed to reach the next phase. The phases do not add additional steps to the process to complete the assessment, but rather clarify the steps that should be performed by each party as part of the assessment process. Each phase is described in detail in the following sections of this document.

HITRUST has not signed the Validated Report Agreement. Can I submit without HITRUST countersigning?

No, the assessment cannot be submitted to HITRUST until the Validated Report Agreement has been countersigned by HITRUST.

How long will it take HITRUST to countersign the Validated Report Agreement?

Please allow up to one business day for HITRUST to countersign the Validated Report Agreement.

I have questions about the Validated Report Agreement. Who should I contact?

Contact your Customer Success Manager or sales@hitrustalliance.net.

As an External Assessor, why am I now required to ‘thumb up’ or ‘thumb down’ the pre-assessment webforms and sections?

To ensure that:

- The organization and scoping information entered by the Assessed Entity is ready to be included in the final report and accurately represents the in-scope environment.
- The scope entered by the Assessed Entity aligns with the planned scope of procedures the External Assessor will perform.
- The factor responses appropriately represent the scoped environment.

As an External Assessor, what are the implications of a ‘thumbs down’ on the pre-assessment?

The ‘Thumbs Down’ returns the item to the Assessed Entity for revision based upon the comment provided by the External Assessor.

As an External Assessor, if I ‘thumbs down’ a portion of the pre-assessment, is the assessment automatically sent back to the Assessed Entity?

No. If any pre-assessment section is not approved, the External Assessor will see a link on the Assessment Homepage to Reject the Validated Assessment and send it back to the Subscriber. The External Assessor should click this link to send the assessment back to the Assessed Entity for the necessary updates to be made. The assessment will return to the *Answering Assessment* phase when rejected. For detailed instructions, see [Pre-Assessment Webforms](#).

As an External Assessor, can the offline assessment workbook be downloaded prior to all sections of the pre-assessment being approved?

No. The External Assessor must ‘thumbs up’ all sections of the pre-assessment prior to downloading the offline assessment workbook. This is because changes to the pre-assessment due to External Assessor review may impact requirement statements included in the assessment as well as the platforms and facilities in scope.

As an External Assessor, I thumbed up the pre-assessment sections and completed webforms, but during validation it came to my attention that portions of the pre-assessment should be updated. What should I do?

The External Assessor should click on the ‘Thumbs Down’ button to return the item to the Assessed Entity for revision.

As an External Assessor, I see an assessment I am assigned is in *Performing Validation* phase, however I do not see the ‘thumbs up’ and ‘thumbs down’ buttons on the requirement statements. What could be wrong?

This indicates that you have not yet approved all sections of the pre-assessment. When the assessment enters the *Performing Validation* phase, the External Assessor is now required to review and approve the contents of each pre-assessment section prior to beginning to perform validation procedures. Until all pre-assessment pages are approved by the External Assessor, the External Assessor is prevented from linking documentation or agreeing with requirement statement scoring.

The *Performing Validation* phase is listed as a phase where the primary action is owned by the External Assessor.

What are some examples of secondary actions that could be owned by the Assessed Entity?

During the *Performing Validation* phase, the Assessed Entity may need to update a requirement statement score or comment after the External Assessor has entered a 'thumbs down' for a requirement statement. The Assessed Entity should also fill out the Validated Report Agreement Webform during the *Performing Validation* phase if it has not already been completed.

As an External Assessor, I am preparing to generate CAPs for a Validated Assessment, but my Engagement Executive or QA Reviewer cannot be populated on the External Assessor Time Sheet. What could be wrong?

Prior to completing the External Assessor Time Sheet, the Engagement Executive and QA Reviewer must be assigned on the assessment's Name & Security page by an External Assessor using a drop-down menu. Each drop-down will contain a list of all External Assessor users with access to the assessment. The user who is setting the assignments must select an individual holding a CCSFP certification for the Engagement Executive and an individual holding a CHQP certification for the QA Reviewer.

Why are CAPs required prior to submission?

The CAP input has been moved to a phase that occurs prior to submission to HITRUST to allow the Assessed Entity to enter the required CAPs closer to when the deficiencies were identified. This change has several advantages for Assessed Entities in that it allows them to:

- Formulate CAPs as key personnel work to finalize the assessment for submission to HITRUST, helping to ensure the continued engagement of control owners.
- Review CAPs with the External Assessor to ensure the CAPs address the identified deficiencies and will allow the Assessed Entity to show demonstrable progress during the interim assessment.
- Review the draft reports with the CAPs included, which reduces the amount of time between issuance of the draft and final reports.

What if an Assessed Entity does not have any CAPs? Are they still required to enter the *Inputting CAPs and Signing Rep Letter* and *Review CAPs* phases?

If an Assessed Entity does not have any CAPs and has signed the Representation Letter, the assessment is not required to enter the *Inputting CAPs* and *Signing Rep Letter and Reviewing CAPs* phases.

Does the time an Assessed Entity spends inputting CAPs count against the 90-day fieldwork period?

No, the External Assessor performs validation procedures during the 90-day fieldwork period. The fieldwork period ends when the External Assessor completes their validation procedures. Following the completion of the External Assessor's fieldwork period, the Assessed Entity and External Assessor are allowed as much time as needed to input and review required CAPs prior to submitting the assessment to HITRUST.

The Assessed Entity is not able to finish inputting their CAPs prior to the submission date in the reservation. What should they do?

If the Assessed Entity is not able to finish inputting their CAPs prior to the submission date in the reservation, they should modify their reservation to select a new submission date. After selecting a new submission date, the Assessed Entity may also need to select a new QA Block if their existing QA block does not accommodate the new submission date selected.

Why must an External Assessor review a CAP?

The External Assessor must review and thumb the CAPs to confirm that each CAP is written clearly with proper spelling and grammar; is specific to the requirement statement deficiency it is meant to address; and the Assessed Entity is able to demonstrate progress against each CAP.

What happens if an External Assessor “thumbs down” a CAP?

When the External Assessor “thumbs down” a CAP, the requirement statement status changes from *Awaiting CAP Review* to *CAP Required* to allow the Assessed Entity to update the CAP. The assessment remains in the *Reviewing CAPs* phase.

Do all CAPs need to be approved prior to submission?

Yes.

Where can I find more information on what steps to perform in which order prior to submission?

For an overview of the required steps prior to submission to HITRUST, see the HITRUST CSF Validated Assessments [Pre-Submission Timeline](#).

An assessment has a QA reservation with a specific submission date. What phase must the assessment be in by the submission date?

The assessment must be submitted to HITRUST on or before the submission date. The assessment enters the *Performing Check-In* phase when it is submitted to HITRUST.

An assessment is in the *Performing Check-in* phase. What action does the Assessed Entity or External Assessor need to take?

The Assessed Entity and External Assessor do not need to take any actions while the assessment is in the *Performing Check-In* phase. During the *Performing Check-In* phase, HITRUST performs the Check-In review of the assessment. Depending on the results of HITRUST’s check-in review, there are three possible outcomes:

1. When the results of the check-in review determine that the assessment is ready for a QA Analyst to review, HITRUST accepts the assessment and the assessment enters the *Pending Quality Assurance* phase.
2. When the check-in review identifies a small number of potential issues, typically related to the required documents and webforms (Organization Information, Scope of the Assessment, Factors, VRA, Management Representation Letter, Test Plans, External Assessor Time Sheet, QA Checklist, and Audits and Assessments Utilized), HITRUST opens check-in tasks within the assessment for the External Assessor and Assessed Entity to address. After the necessary check-in tasks are opened by HITRUST, the assessment enters the *Addressing Check-In Tasks* phase.
3. When the check-in review identifies a larger number of potential issues, typically present throughout various areas of the assessment, HITRUST reverts the assessment back to the *Performing Validation* phase and supplies the External Assessor and Assessed Entity with a set of pre-QA quality recommendations to address the potential issues identified. See [HAA 2021-007: HITRUST MyCSF Enhancements-New Assessment Workflows](#).

How long should I expect a validated assessment to be in the *Performing Check-in* phase?

Up to 5 business days.

Is the Check-in process new?

No. The Check-in review (consisting of the automated QA checks and high-level review of the assessment and accompanying required documents and webforms) currently occurs during the *Assessment Submitted to HITRUST* state in the legacy workflow. The new workflow phases of *Performing Check-In*, *Addressing Check-in Tasks*, and *Reviewing Pending Check-In Tasks* are introduced to provide transparency into the check-in process that previously occurred within the *Assessment Submitted to HITRUST* state.

Do all check-in tasks need to be resolved prior to the start of the QA Block?

Yes.

How much time do I have to resolve check-in tasks?

All check-in tasks must be addressed and initially sent back to HITRUST by the Wednesday prior to the reserved QA block. The check-in tasks must be fully resolved by the beginning of the reserved QA block.

I submitted all check-in tasks back to HITRUST by the Wednesday before my QA Block, however a check-in task was returned to me. Will my reservation be canceled?

Yes. If the check-in task can be resolved prior to the start of your QA block, the reservation may not be canceled, but if the task is not resolved prior to the beginning of your QA block, the reservation will be canceled with penalty.

I assigned a check-in task to the Assessed Entity. It is now the Wednesday before the QA Block start date and the task is outstanding. What will happen?

The QA reservation will be canceled. Contact HITRUST support or Check-In Analyst to reschedule.

What happens if I have check-in tasks that are outstanding when my QA Block begins?

Your reservation will be canceled and you will be required to make a new QA reservation.

I am a report-only customer and our access expired upon submission. How can we respond to check-in tasks?

As a report-only customer, if your access is set to expire after your assessment has been submitted to HITRUST, it automatically will be re-enabled and will remain enabled for 45 days after the draft report(s) have been uploaded to MyCSF.

How do I know if check-in tasks have been created?

The assessment enters the *Addressing Check-In Tasks* phase after check-in tasks have been opened by HITRUST during the *Performing Check-In* phase. When the assessment enters the *Addressing Check-In Tasks* phase, the Assessed Entity's Account Admins, and any Standard Users and External Assessors assigned to the assessment, are notified via email and MyCSF homepage notification that the assessment has entered the *Addressing Check-In Tasks* phase. The email contains the number of tasks that have been assigned to each party.

How can I tell which tasks remain outstanding?

To see which tasks remain outstanding, go to the Task Management page within the assessment. There is a pie chart on the Task Management page that displays the number of open tasks assigned to the Assessed Entity, External Assessor, and HITRUST. Below the pie chart is a table showing all open tasks assigned to your group which can be toggled to show all tasks within the assessment assigned to other groups.

My assessment is in the *Pending Quality Assurance* phase and I do not see a QA analyst assigned. When will a QA analyst be assigned?

A QA Analyst will be assigned prior to the assessment entering the *Performing QA* phase. When the assessment enters the *Performing QA* phase, you will receive an email to notify you of the assigned QA Analyst.

My assessment is in the *Pending Quality Assurance* phase. When can I expect QA to begin?

You can expect QA to begin during the assessment's reserved QA block. When QA begins, the assessment will enter the *Performing QA* phase.

My assessment is in the *Performing QA* phase. When can I expect to hear from HITRUST?

You can expect to hear from HITRUST 7 to 10 business days after the assessment has entered the *Performing QA* phase.

How will I know that the QA analyst has completed their entry of all tasks?

The assessment enters the *Addressing QA Tasks* phase after the QA analyst has entered all tasks during the *Performing QA* phase. At this time the Assessed Entity's Account Admins, and any Standard Users and External Assessors assigned to the assessment, are notified via email and MyCSF homepage notification that the assessment has entered the *Addressing QA Tasks* phase. The email notification contains the number of tasks assigned to each party.

Should I expect to receive QA feedback outside of tasks?

Over the normal course of QA, the QA Analyst will send all QA feedback through tasks. However, if the QA review identifies more significant QA concerns than normal, rather than opening tasks, HITRUST will provide the External Assessor with a workbook outlining the QA concerns; communicate via email to the External Assessor and Assessed Entity; and will meet with the External Assessor to review those concerns in order to bring them to resolution.

My assessment is in the *Addressing QA Tasks* phase, but all QA tasks are assigned to the Assessed Entity to action. Is that normal?

When the HITRUST QA Analyst creates QA tasks, they will initially assign all QA tasks to the External Assessor for review. The External Assessor may then assign tasks to the Assessed Entity, so there may be a point during the *Addressing QA Tasks* phase in which all QA tasks are assigned to the Assessed Entity.

Some QA tasks have been addressed and sent back to HITRUST, but the assessment remains in the *Addressing QA Tasks* phase. Is that normal?

Yes. The assessment will remain in the *Addressing QA Tasks* phase until all of the following are true:

- All QA tasks have been addressed and sent back to HITRUST
- All requirement statements and CAPs requiring attention have been addressed. This means that all requirement statements are in the following statuses:
 - Submitted
 - External Assessor Review Complete
 - CAP Review Complete

HITRUST returned some tasks to me and the assessment moved back to the *Addressing QA Tasks* phase. Is this normal?

Yes. Whenever there is at least one task, requirement statement, or CAP that requires action from the Assessed Entity or External Assessor, the assessment will be in the *Addressing QA Tasks* phase.

How long do I have to respond to QA tasks?

External Assessors and Assessed Entities should take the time needed to review and respond to tasks. However, a leading practice would be to respond to all tasks within 5 to 7 business days. Please keep in mind that the draft report, interim letter, or bridge certificate cannot be issued until all tasks have been closed by HITRUST.

How can I tell which tasks remain outstanding?

To see which tasks remain outstanding, go to the Task Management page within the assessment. There is a pie chart on the Task Management page that displays the number of open tasks assigned to the Assessed Entity, External Assessor, and HITRUST. Below the pie chart is a table showing all open tasks assigned to your group that can be toggled to show all tasks within the assessment assigned to other groups.

The assessment has been moved into the *Reviewing Pending QA Tasks* phase. How long will it take HITRUST to review the tasks?

Up to 5 business days.

The assessment moved into the *Preparing and Reviewing Deliverables* phase. Does this mean that QA has been completed?

Yes. However, if any questions arise during this phase, the QA Analyst will open additional tasks and the assessment will return to the *Addressing QA Tasks* phase. From there, the assessment will progress through the *Addressing QA Tasks* phase, *Reviewing Pending QA Tasks* phase, and *Preparing and Reviewing Deliverables* phase as described in [HAA 2021-007-HITRUST MyCSF Enhancements –New Assessment Workflow Notifications](#).

How long will it take HITRUST to post the draft report once an assessment is in the *Preparing and Reviewing Deliverables* phase?

Up to 5 business days.

How long does the Assessed Entity have to review the draft report once posted in the *Reviewing Draft Deliverables* phase?

The Assessed Entity has 30 days to review the draft report once posted in the *Reviewing Draft Deliverables* phase. If the draft report has not been approved after 30 days, MyCSF will automatically approve the draft reports and HITRUST will upload the final reports.

Can the External Assessor approve the draft report or request revisions in the *Reviewing Draft Deliverable* phase?

No. Only the Assessed Entity may approve the draft reports or request revisions in the *Reviewing Draft Deliverable* phase.

I am a report-only customer and our access expired upon submission. How can we request draft report revisions?

As a report-only customer, if your access is set to expire after your assessment has been submitted to HITRUST, it will be automatically re-enabled and will remain enabled for 45 days after the draft report(s) has been uploaded to MyCSF.

The Assessed Entity did not request revisions to the draft report. Will the assessment enter the *Revising Draft* phase?

Yes. When the Assessed Entity approves the draft reports, the assessment enters the *Revising Draft* phase, and the QA Analyst builds the final reports and uploads them to MyCSF. When the final reports are uploaded, the assessment enters the *Complete* phase.

The Assessed Entity requested revisions to the draft report. How long will it take HITRUST to process the revisions?

Up to 5 business days.

The Assessed Entity requested revisions to the draft report. How will they know whether HITRUST accepted a particular revision request?

The Assessed Entity will receive a notification when HITRUST has completed processing the revision requests. To determine whether HITRUST has accepted a particular revision request, the Assessed Entity should access the revision requests on the CSF Reports page within the assessment and review the Status and Rationale columns. A status of "Completed" indicates that HITRUST has made the revision and uploaded a new draft report. The Rationale column will direct you to the new draft report where the revision has been made. A status of "Not Accepted" indicates that HITRUST is unable to make the requested revision. When HITRUST has not accepted a revision request, the Rationale column will explain the reason for not accepting the request.

If revision requests are accepted, will HITRUST post a revised draft report?

Yes. If there were accepted revision requests, a new draft report will be provided.

The Assessed Entity accidentally clicked the Approve button but has revision requests. What should they do?

Notify the assigned HITRUST QA Analyst or HITRUST Support and request time to finish your review before the final report can be issued.

How do I know that HITRUST has posted the final report?

After the draft reports are approved by the Assessed Entity and the final reports are uploaded by HITRUST to MyCSF, the assessment enters the **Complete** phase. At this time the Assessed Entity's Account Admins, and any Standard Users and External Assessors assigned to the assessment, are notified via email and MyCSF homepage notification that the final reports are available on MyCSF.

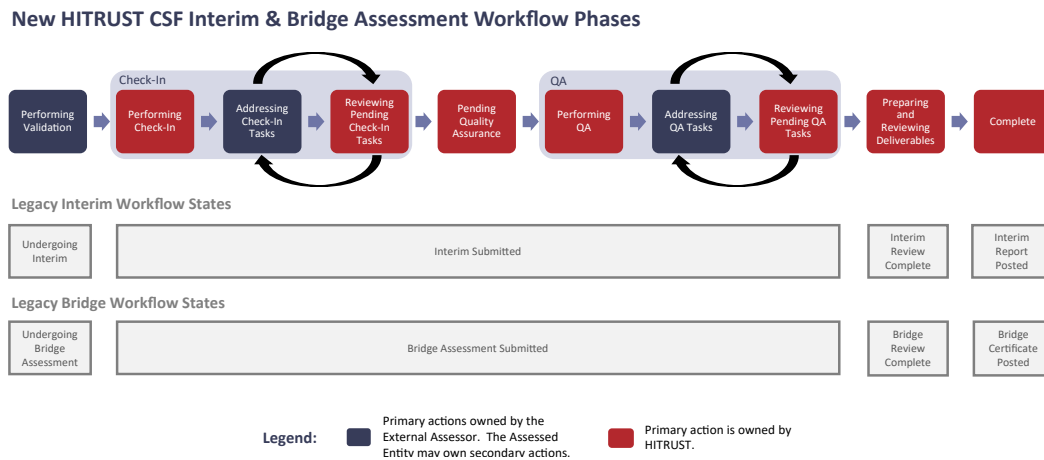
Are External Assessors able to download the final report?

Yes. External Assessors may access the CSF Reports page within an assessment to download the final reports.

I am a report-only customer and our access expired upon submission. How long do we have to download the final report?

As a report-only customer, if your access expires after your assessment has been submitted to HITRUST, it will be automatically re-enabled when your assessment enters QA and will remain active for 45 days after the draft report(s) have been uploaded to MyCSF.

New HITRUST CSF Interim and Bridge Assessment Workflow



What are the differences in workflow for Validated Assessments when compared to Bridges or Interims?

The new assessment workflow for HITRUST CSF Interim and Bridge Assessments features a subset of the phases present in the workflow observed on HITRUST CSF Validated Assessments. The diagram below displays the new workflow for Interim and Bridge assessments. Phases of the Validated Assessment workflow and not the Interim and Bridge Assessment workflow are:

- **Answering Pre-Assessment** and **Answering Assessment** (Interim and Bridge Assessments are generated from existing, completed Validated Assessments and do not require the Assessed Entity to complete the pre-assessment or score the requirement statements within the assessment.)
- **Inputting CAPs** and **Signing Rep Letter** and **Reviewing CAPs** (There are no required CAPs to be entered or reviewed for Interim and Bridge Assessments.)
- **Reviewing Draft Deliverables** and **Revising Draft** (Interim Letters and Bridge Certificates are issued only as final versions, not drafts.)

Do Bridge and Interim Assessments go through the check-in process?

Yes. HITRUST performs a high-level review of all assessments when submitted to HITRUST.

Do all Bridge and Interim Assessments potentially get check-in tasks?

Yes. If any questions arise during the check-in review, tasks will be opened.

Do Bridge and Interim Assessments get QA tasks?

Yes. As the QA Analyst reviews the assessment, they may open QA Tasks for the External Assessor and Assessed Entity to address.

An assessment is in the *Performing Check-in* phase. What action does the Assessed Entity or External Assessor need to take?

The Assessed Entity and External Assessor do not need to take any actions while the assessment is in the *Performing Check-In* phase. During the *Performing Check-In* phase, HITRUST performs the Check-In review of the assessment. Depending on the results of HITRUST's check-in review, there are two possible outcomes:

1. If it is determined that the assessment is ready for a QA Analyst to review, HITRUST will accept the assessment and the assessment will enter the *Pending Quality Assurance* phase.
2. If questions arise during the check-in review, HITRUST will open Check-In Tasks within the assessment for the External Assessor and/or Assessed Entity to address prior to the assessment being accepted by HITRUST. After the necessary Check-In Tasks have been opened by HITRUST, the assessment will enter the *Addressing Check-In Tasks* phase.

How long should I expect interim and bridge assessments to be in the *Performing Check-in* phase?

3 to 5 business days.

How do I know if check-in tasks have been created?

The assessment enters the *Addressing Check-In Tasks* phase after check-in tasks have been opened by HITRUST during the *Performing Check-In* phase. When the assessment enters the *Addressing Check-In Tasks* phase the Assessed Entity's Account Admins, and any Standard Users and External Assessors assigned to the assessment, are notified via email and MyCSF homepage notification that the assessment has entered the *Addressing Check-In Tasks* phase. The email received contains the number of tasks that have been assigned to each party.

How can I tell which tasks remain outstanding?

To see which tasks remain outstanding, go to the Task Management page within the assessment. There is a pie chart on the Task Management page that displays the number of open tasks assigned to the Assessed Entity, External Assessor, and HITRUST. Below the pie chart is a table showing all open tasks assigned to your group which can be toggled to show all tasks within the assessment assigned to other groups.

My assessment is in the *Pending Quality Assurance* phase. When can I expect QA to begin?

You can expect QA to begin during the assessment's reserved QA block. When QA begins, the assessment will enter the *Performing QA* phase.

My assessment is in the *Performing QA* phase. When can I expect to hear from HITRUST?

You can expect to hear from HITRUST 7 to 10 business days after the assessment has entered the *Performing QA* phase.

How will I know that the QA analyst has completed their entry of all tasks?

The assessment enters the *Addressing QA Tasks* phase after the QA analyst has entered all tasks during the *Performing QA* phase. At this time the Assessed Entity's Account Admins, and any Standard Users and External Assessors assigned to the assessment, are notified via email and MyCSF homepage notification that the assessment has entered the *Addressing QA Tasks* phase. The email notification contains the number of tasks assigned to each party.

Some QA tasks have been addressed and sent back to HITRUST, but the assessment remains in the *Addressing QA Tasks* phase. Is that normal?

Yes. The assessment will remain in the *Addressing QA Tasks* phase until all of the following are true:

- All QA tasks have been addressed and sent back to HITRUST
- All requirement statements and CAPs requiring attention have been addressed. This means that all requirement statements are in the following statuses:
 - Submitted
 - External Assessor Review Complete
 - CAP Review Complete

HITRUST returned some tasks to me and the assessment moved back to the *Addressing QA Tasks* phase. Is this normal?

Yes. Whenever there is at least one task, requirement statement, or CAP that needs action from the Assessed Entity or External Assessor, the assessment will be in the *Addressing QA Tasks* phase.

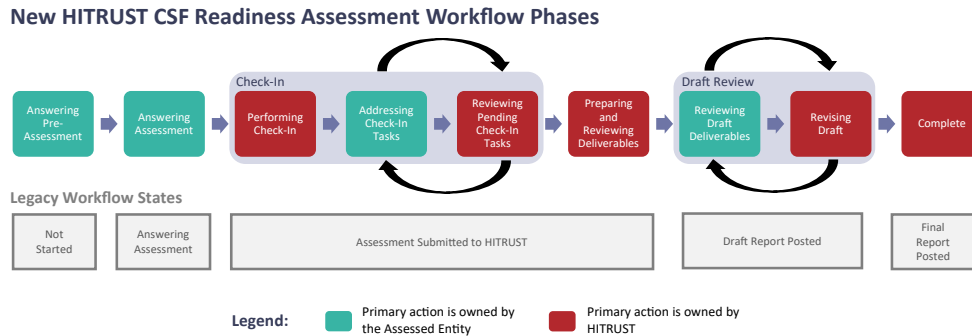
How do I know that HITRUST has posted the Interim Letter or Bridge Certificate?

When HITRUST has uploaded the Interim Letter or Bridge Certificate to MyCSF, the assessment enters the *Complete* phase. At this time the Assessed Entity's Account Admins, and any Standard Users and External Assessors assigned to the assessment, are notified via email and MyCSF homepage notification that the Interim Letter or Bridge Certificate is available on MyCSF.

I have a Bridge or Interim assessment that did not have a draft posted. How can I request revisions?

Interim Letters and Bridge Certificates are issued only as final versions. No revisions are necessary because they follow a standard format.

New Readiness Assessment Workflow



Are there any workflow differences between Validated Assessments and Readiness Assessments?

Yes. The assessment workflow for Readiness Assessments submitted for reporting features a subset of the phases present in the workflow observed on Validated Assessments. The diagram above displays the new workflow for Readiness assessments. The phases that are part of the Validated Assessment workflow and not the Readiness Assessment workflow are:

- **Performing Validation** (There is no External Assessor Validation for Readiness Assessments.)
- **Inputting CAPs and Signing Rep Letter** and **Reviewing CAPs** (There are no required CAPs for Readiness Assessments. The Readiness Assessment Rep Letter is signed during the **Answering Assessment** phase.)
- **Pending Quality Assurance, Performing QA, Addressing QA Tasks, and Reviewing Pending QA Tasks** (HITRUST does not perform a QA Review for Readiness Assessments.)

When an assessment is in the Performing Check-in phase, what action does the Assessed Entity need to take?

The Assessed Entity and External Assessor do not need to take any actions while the assessment is in the **Performing Check-In** phase. During the **Performing Check-In** phase, HITRUST performs the Check-In review of the assessment. Depending on the results of HITRUST's check-in review of the management representation letter, there are two possible outcomes:

1. If the results of the check-in review determine that the management representation letter has been completed properly, the assessment is accepted by HITRUST and enters the **Preparing and Reviewing Deliverables** phase.
2. If the check-in review identifies an error with the management representation letter, HITRUST opens a check-in task for the management representation letter to be corrected and the assessment returns to the **Addressing Check-In Tasks** phase.

Do Readiness Assessments go through the check-in process?

Yes. During the check-in process for Readiness Assessments, HITRUST reviews the management representation letter.

Do Readiness Assessments potentially get check-in tasks?

Yes. If the check-in review identifies an error with the management representation letter, HITRUST opens a check-in task for the management representation letter to be corrected and the assessment returns to the **Addressing Check-In Tasks** phase.

How long should I expect an assessment to be in the Performing Check-in phase?

Up to 3 to 5 business days.

Do Readiness Assessments get QA tasks?

No. HITRUST does not perform a QA review of Readiness Assessments.

The Assessed Entity did not request revisions to the draft report. Will the assessment enter the *Revising Draft* phase?

Yes. When the Assessed Entity approves the draft reports, the assessment enters the *Revising Draft* phase, and the QA Analyst builds the final reports and uploads them to MyCSF. When the final reports are uploaded, the assessment enters the *Complete* phase.

The Assessed Entity requested revisions to the draft report. How long will it take HITRUST to process the revisions?

Up to 5 business days.

The Assessed Entity requested revisions to the draft report. How will they know whether HITRUST accepted a particular revision request?

The Assessed Entity will receive a notification when HITRUST has completed processing the revision requests. To determine whether HITRUST has accepted a particular revision request, the Assessed Entity should access the revision requests on the CSF Reports page within the assessment and review the Status and Rationale columns. A status of "Completed" indicates that HITRUST made the revision and uploaded a new draft report. The Rationale column will direct you to the new draft report where the revision has been made. A status of "Not Accepted" indicates that HITRUST is unable to make the requested revision. When HITRUST has not accepted a revision request, the Rationale column will explain the reason for not accepting the request.

If revision requests are accepted, will HITRUST post a revised draft report?

Yes. If there are accepted revision requests, a new draft report will be provided.

The Assessed Entity accidentally clicked the Approve button but has revision requests. What should they do?

Notify the assigned HITRUST QA Analyst or HITRUST Support and request time to finish your review before the final report can be issued.

How do I know that HITRUST has posted the final report?

After the draft reports have been approved by the Assessed Entity and HITRUST has uploaded the final reports to MyCSF, the assessment enters the *Complete* phase. At this time the Assessed Entity's Account Admins, and any Standard Users and External Assessors assigned to the assessment, are notified via email and MyCSF homepage notification that the final reports are available on MyCSF.