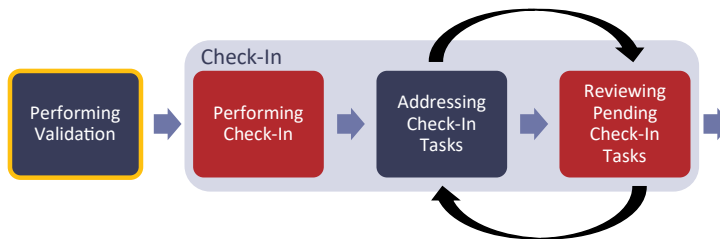# HITRUST®

HITRUST r2 Interim and Bridge Assessment Workflow

HITRUST Interim and Bridge assessments are available only for an r2 Certification, which is a 2-year certification. (Former name of the r2 is HITRUST CSF Validated Certification). Since the HITRUST i1 certification expires after 1 year, there is no i1 Interim assessment or Bridge assessment.
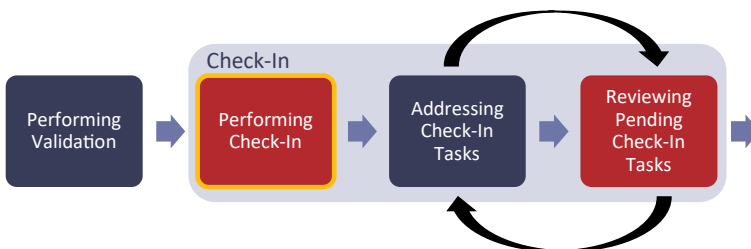
Performing Validation

HITRUST r2 Interim or Bridge assessments begin in the *Performing Validation* 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 been created and is in the *Performing Validation* phase.

The new *Performing Validation* workflow phase replaces the legacy *Undergoing Interim* and *Undergoing Bridge Assessment* states. This set of enhancements does not introduce any changes to the process of reviewing requirement statement scoring within the assessment. The External Assessor will review and "thumb up" or "thumb down" requirement statement scoring and link documentation as is currently done during the *Undergoing Interim* and *Undergoing Bridge Assessment* states.

When the External Assessor has completed validation of the requirement statement scoring, the External Assessor will submit the assessment to HITRUST® and it will enter the *Performing Check-In* phase.
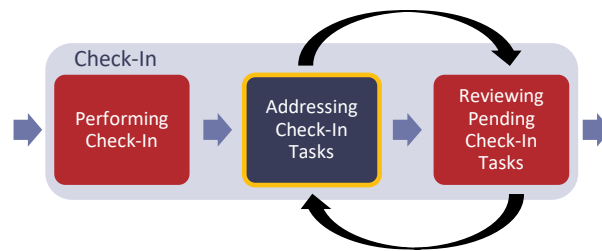
Performing Check-In

After the assessment is submitted to HITRUST, it enters the *Performing Check-In* phase. At this time, the Assessed Entity's Account Admins any Standard Users and External Assessors assigned to the assessment are notified via email and MyCSF homepage notification that the assessment has been submitted to HITRUST and is in the *Performing Check-In* phase.

In this phase HITRUST performs a high-level review of the assessment (referred to as the "check-in review") to determine if the assessment is ready for a QA Analyst to review. In the current workflow, this high-level review occurs during the *Assessment Submitted to HITRUST* state. With this set of enhancements, 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 *Interim Submitted* and *Bridge Assessment Submitted* states.

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 create **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 created by HITRUST, the assessment will enter the *Addressing Check-In Tasks* phase.
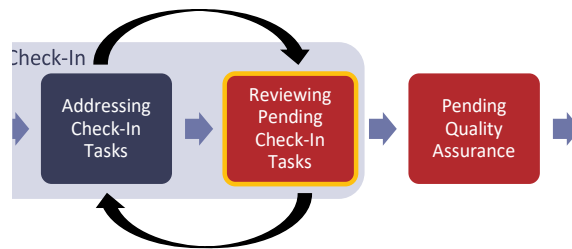
Addressing Check-In Tasks

The assessment enters the *Addressing Check-In Tasks* phase after check-in tasks have been created by HITRUST during the *Performing Check-In* phase. If HITRUST's check-in review determines that the assessment is ready for a QA Analyst to review, HITRUST will accept the assessment and the assessment will skip the *Addressing Check-In Tasks* and *Reviewing Pending Check-In Tasks* phases and will instead enter the *Pending Quality Assurance* 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. This email notification contains the number of tasks that have been assigned to each party.

In this phase the Assessed Entity and External Assessor address the tasks created by HITRUST during check-in. Throughout this phase, the External Assessor and Assessed Entity will receive periodic emails which summarize all new and open items that must be addressed during the *Addressing Check-In Tasks* phase. For more information regarding tasks and related notifications, refer to HITRUST Assurance Advisory: 2021-010 HITRUST® MyCSF Enhancements – Tasks & Notifications.

Reviewing Pending Check-In Tasks

When the External Assessor and Assessed Entity have sent all tasks back to HITRUST, the assessment automatically enters the *Reviewing Pending Check-In Tasks* 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 all assigned tasks have been addressed and the assessment has entered the *Reviewing Pending Check-In Tasks* phase.

During this phase, HITRUST will review the tasks addressed by the Assessed Entity and External Assessor and closes all tasks that have been resolved. Any tasks requiring additional attention are sent back to the External Assessor with additional comments or instructions.

If a task is assigned to the External Assessor or Assessed Entity during this phase, the assessment will automatically return to the *Addressing Check-In Tasks* phase.

After all tasks have been resolved by the Assessed Entity and External Assessor and closed by HITRUST, HITRUST will accept the assessment. This moves the assessment to the *Pending Quality Assurance* phase.

Pending Quality Assurance
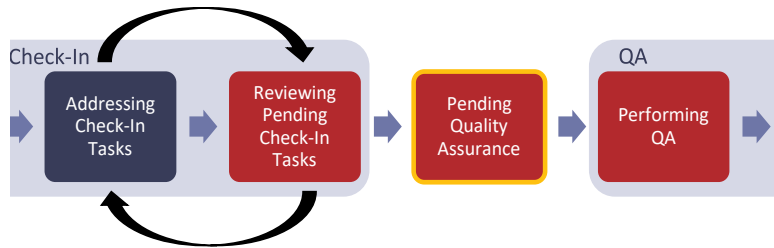
When HITRUST's check-in review indicates that the assessment is ready for QA review, HITRUST accepts the assessment and it enters the *Pending Quality Assurance* phase. At this time, the Assessed Entity's Account Admins and any Standard Users and External Assessors assigned to the assessment are notified via email and MyCSF homepage notification that the assessment has been accepted and is awaiting HITRUST's QA review.

The *Pending Quality Assurance* phase is included in the new Workflow to provide more transparency into the period between the assessment being accepted by HITRUST and the QA review being completed. In the legacy workflows, interim and bridge assessments remained in the Interim Submitted and Bridge Assessment Submitted states from the time that assessments were submitted to HITRUST until the QA Analyst completed the QA review of the assessment. The *Pending Quality Assurance* phase provides visibility into when the assessment is waiting for the QA Review to begin.

When the QA Analyst assigned to the assessment begins performing the QA review, the assessment enters the *Performing QA* phase.
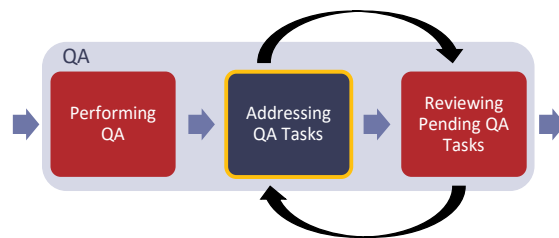
Performing QA
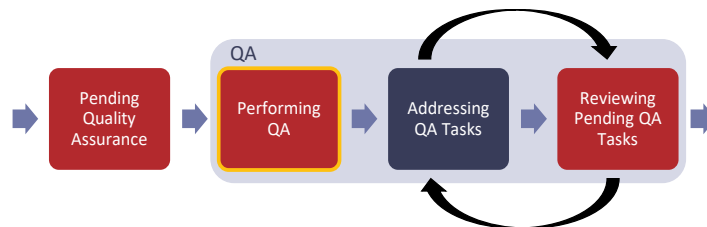
The assessment enters the *Performing QA* phase when the HITRUST QA Analyst begins the QA review of the assessment. At this time, the Assessed Entity's Account Admins and any Standard Users and External Assessors assigned to the assessment are notified via email and MyCSF homepage notification that the QA review has begun. This email notification contains the name and email address of the HITRUST QA Analyst assigned to the assessment.

The *Performing QA*, *Addressing QA Tasks*, and *Reviewing Pending QA tasks* phases are included in the new workflow to better represent the QA process for interim and bridge assessments. In the legacy workflows, interim and bridge assessments were returned to the Undergoing Interim and Undergoing Bridge Assessment states, respectively, when questions arose during HITRUST's QA review. The new workflow includes dedicated QA phases to add clarity to the QA review process.

As the QA Analyst reviews the assessment, they may create QA Tasks for the External Assessor and Assessed Entity to address. When the QA Analyst has completed entering all tasks, the assessment is moved to the *Addressing QA Tasks* phase. If the QA Analyst does not need to enter any tasks, the QA review concludes and the assessment moves to the *Preparing and Reviewing Deliverables* phase.

Addressing QA Tasks

The assessment enters the *Addressing QA Tasks* phase after all tasks have been created by HITRUST during the *Performing QA* phase. If no tasks are created by HITRUST during the *Performing QA* phase, the assessment skips the *Addressing QA Tasks* and *Reviewing Pending QA Tasks* phases and instead goes directly to the *Preparing and Reviewing Deliverables* phase.

When the assessment enters the *Addressing QA 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 QA Tasks* phase. The email received will contain the number of tasks that have been assigned to each party.

In this phase the Assessed Entity and External Assessor address the tasks created by HITRUST while performing the QA review. Throughout this phase, the External Assessor and Assessed Entity will receive periodic emails which summarize all new and open items that must be addressed during the *Addressing QA Tasks* phase. For more information regarding tasks and related notifications, refer to HAA 2021-010: HITRUST MyCSF Enhancements – Tasks & Notifications.
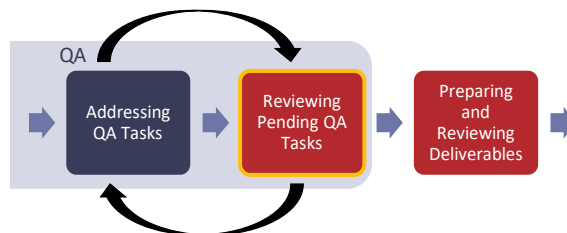
Reviewing Pending QA Tasks

When the External Assessor and Assessed Entity have sent all tasks back to HITRUST, the assessment automatically enters the *Reviewing Pending QA Tasks* 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 all items have been addressed and the assessment has entered the *Reviewing Pending QA Tasks* phase.

During this phase, HITRUST reviews the QA tasks addressed by the Assessed Entity and External Assessor and closes all that have been resolved. If any tasks require additional attention, HITRUST sends the tasks back to the External Assessor with additional comments or instructions.

If a task is assigned to the External Assessor or Assessed Entity during this phase, the assessment will automatically return to the *Addressing QA Tasks* phase.

After all *QA Tasks* have been resolved by the Assessed Entity and External Assessor and closed by HITRUST, QA is complete and the assessment moves to the *Preparing and Reviewing Deliverables* phase.

## Preparing and Reviewing Deliverables
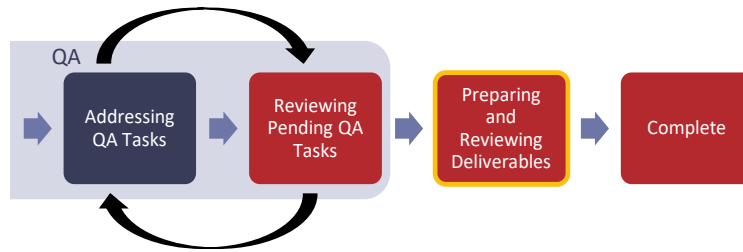
After all QA Tasks have been resolved and closed by the QA Analyst, the assessment enters the *Preparing and Reviewing Deliverables* phase. At this time, the Assessed Entity's Account Admins and any Standard Users and External Assessors assigned to the assessment are notified via email and MyCSF homepage notification that the assessment has entered the *Preparing and Reviewing Deliverables* phase.

During this phase, which replaces the legacy Interim Review Complete and Bridge Review Complete states, HITRUST prepares and reviews the Interim Letter or Bridge Certificate. If any questions arise during this phase, the QA Analyst creates additional tasks and the assessment returns to the *Addressing QA Tasks* phase and again progresses through the workflow.

After the Interim Letter or Bridge Certificate has gone through the internal HITRUST review, the QA Analyst uploads the letter or certificate to MyCSF and the assessment enters the *Complete* phase.

Complete
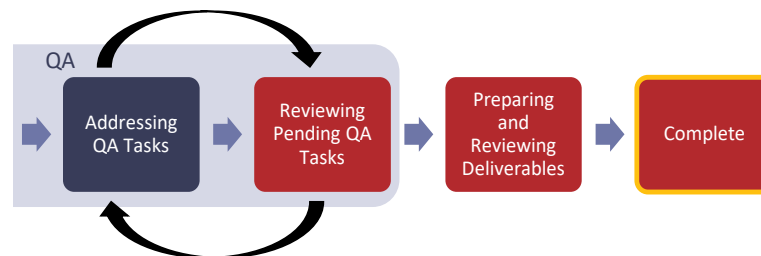
Once the Interim Letter or Bridge Certificate has been uploaded to MyCSF the assessment enters the *Complete* phase, which replaces the legacy Interim Report Posted and Bridge Certificate Posted states. At this time, the Assessed Entity's Account Admins and any Standard Users and External Assessors assigned to the assessment are notified via email and MyCSF homepage notification that the letter or certificate is available on MyCSF.