

CAP REVIEW

Instructions for External Assessor's CAP Review



v.HT-2109-01

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CAP REVIEW

Summary: CAP Review

After the Assessed Entity has entered all required CAPs and sent them to the External Assessor to review, the assessment will enter the *Reviewing CAPs* phase.

During the *Reviewing CAPs* phase, the External Assessor will review each required CAP for:

- Specificity
- Clarity
- Spelling
- Grammar
- Ability of the Assessed Entity to demonstrate progress against the CAP





HOW TO REVIEW THE ASSESSED ENTITY'S CAPS

н. To revie by the A Assesso steps:

by the Assessed Entity, the Assessor must take the fol steps:	AP entered e External lowing	 The organization takes specific steps to ensure the confidentiality and integrity of electronic commerce is maintained. ID: 0938.09x1Organizational.1 Type: Organizational Level: 1 	y N/A?	Policy 100% mal ree: <mark>1 P</mark>	Procedure 100%	Implemented 0%	Measured 0%	Managed 0%
		Evaluative Elements: 0	CORR	ECTIVE A	CTION PL	ANS	CAP Review	v 🗉 🕜
Step 1 – The External Assessor should open the CAP details by clicking the CAP Name within a requirement statement.		MORE INFO - SAVE	Name		Status			
		LINKED DOCUMENTS (1) SINHERITANCE DIARY ENTRIES (0)	Electron	nic Commerce		N	ot Started	
		F CAP (1)				Res	oonse Status: Av	vaiting CAP Review
CORRECTIVE ACTION FLAN							Compliance St	atus: CAP Required
Name *	Electronic Commerce							
Corrective Action *	The assessed entity will revise the po	olicy						
Status*	Not Started	~						
Accept Risk	Accept Risk is not allo	owed for statements with scores below 62.						
PLANNING								
Point of Contact / Owner *	Jonathan Livingston Seagull							
Scheduled Completion Date *	8/31/2021 💌							



- **Step 2** The External Assessor should ensure that all required fields of the CAP have been completed:
- Name
- Corrective Action
- Status
- Point of Contact/Owner
- Scheduled Completion Date

The External Assessor should then review the CAP for:

- Specificity
- Clarity
- Spelling
- Grammar
- Ability of the Assessed Entity to demonstrate progress against the CAP

N/A?	Policy 100% mal ree:	Procedure 100%	Implemented	The External Assessor Organization has reviewed the CAP responses provided by the Assessed Entity for specificity, clarity, spelling, grammar, and the ability of the Assessed Entity to demonstrate progress against the CAP.
CORR	ECTIVE A	CTION PL	ANS	CAP Review 🔟 🔥 🖓
Name			St	atus
Electror	nic Commerce		N	ot Started
			Resp	oonse Status: Awaiting CAP Review Compliance Status: CAP Required



Step 3 – Based on the review outlined in Step 2, the External Assessor will click the $\frac{1}{2}$ button to approve the CAP or the $\frac{1}{2}$ button to disagree with the CAP.

CORRECTIVE ACTION PLANS	CAP Review 🗊 🖒 🖓
Name	Status
Electronic Commerce	Not Started

Note: *Steps 4 – 6* detail the instructions for disagreeing. You may skip to *Step 7* for details to approve CAPs.

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Step 4 – When the External Assessor clicks the \mathcal{P} button to disagree with the CAP, they will be required to enter a rationale for disagreement.

Step 5 – After entering the rationale, the External Assessor will click *save*, then *OK* to revert the requirement statement back to the Assessed Entity for the CAP to be updated.

When the requirement statement has been reverted to the Assessed Entity, the status will change from Awaiting CAP Review to CAP Required.





Step 6 – After making the necessary updates to the CAPs that the External Assessor reverts, the Assessed Entity should click the *send the statements back to your External Assessor* link.





Step 7 – When the External Assessor has reviewed and approves of a CAP, the status changes to CAP Review Completed.

MORE INFO - SAVE	CORRECTIVE ACTION PLANS	CAP Review 🔟 🖓
LINKED DOCUMENTS (1)	Name	Status
S INHERITANCE DIARY E LES (0) CAP (1)	Electronic Commerce	Not Started
		Response Status: Awaiting CAP Review Compliance Status: CAP Required
CORRECTIVE ACTION PLANS		
Name Status		
Electronic Commerce Not Started		
Response Status: CAP Revi Compliance Status:	ew Completed CAP Required	



After all required CAPs have been reviewed and approved, the External Assessor will be presented a link to submit the Assessment to HITRUST.



