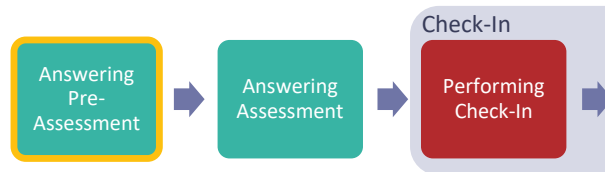# New HITRUST CSF® Readiness Assessment Workflow
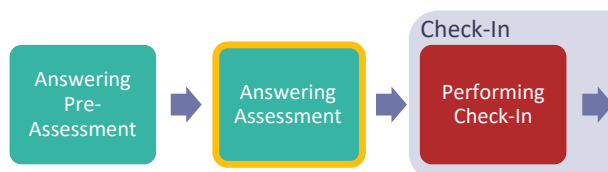
Answering Pre-Assessment

HITRUST CSF Readiness Assessments begin in the *Answering Pre-Assessment* phase. The new *Answering Pre-Assessment* workflow phase replaces the legacy *Not Started* Assessment state. During this phase, the Assessed Entity is responsible for completing each pre-assessment section outlined below:

- **Name & Security** – Unchanged by this set of enhancements.
- **Organization Information** – The Organization Information section has been redesigned to serve as the primary location for capturing background information about the Assessed Entity and their security organization, as well as their contact information and mailing address. Refer to HAA 2021-009: HITRUST MyCSF Enhancements – Webforms for more details and instructions for completing the Organization Information webform.
- **Assessment Options** – Unchanged by this set of enhancements.
- **Scope of the Assessment** – This section has been streamlined into a single webform. This updated page also includes a new section for identifying outsourced service providers in tabular format. Refer to HAA 2021-009: HITRUST MyCSF Enhancements – Webforms for more details and instructions for completing the Scope of the Assessment webform.
- **Default Scoring Profile** – Unchanged by this set of enhancements.
- **Factors** – Unchanged by this set of enhancements.

The *Answering Pre-Assessment* phase concludes when the Assessed Entity completes each pre-Assessment page and clicks the "Create Assessment" button at the bottom of the Factors page.

Answering Assessment

Once the Assessed Entity completes the pre-assessment and clicks the "Create Assessment" button at the bottom of the Factors page, the assessment enters the *Answering Assessment* phase. At this time, the Assessed Entity's Account Admins and any Standard Users assigned to the assessment are notified via email and MyCSF homepage notification that the assessment has entered the *Answering Assessment* phase.

In this phase the Assessed Entity scores the assessment and addresses any triggered potential quality issues (PQIs). This set of enhancements does not change the process of scoring requirement statements or addressing or overriding PQIs.

During the *Answering Assessment* phase, the Assessed Entity is also required to sign the management representation letter. The management representation letter that has previously been signed offline by the Assessed Entity and manually uploaded to MyCSF will now be completed through MyCSF using an electronic signature workflow. For more information, refer to HAA 2021-009: HITRUST MyCSF Enhancements – Webforms.

The *Answering Assessment* phase concludes when the Assessed Entity submits the assessment to HITRUST.
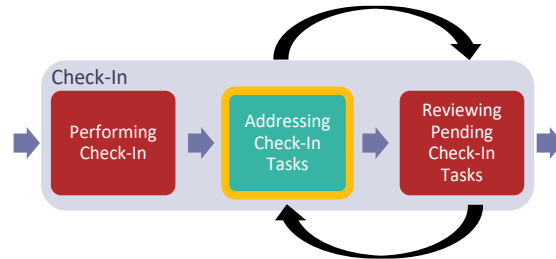
Performing Check-in
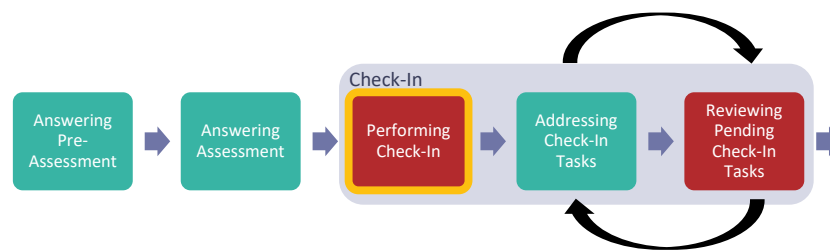
When the assessment is submitted to HITRUST, it enters the *Performing Check-In* phase. At this time, the Assessed Entity's Account Admins and any Standard Users assigned to the assessment are notified via email and MyCSF homepage notification that the assessment has been submitted to HITRUST and has entered the *Performing Check-In* phase.

In this phase HITRUST reviews the management representation letter.

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 creates a check-in task for the management representation letter to be corrected and the assessment enters the *Addressing Check-In Tasks* phase.
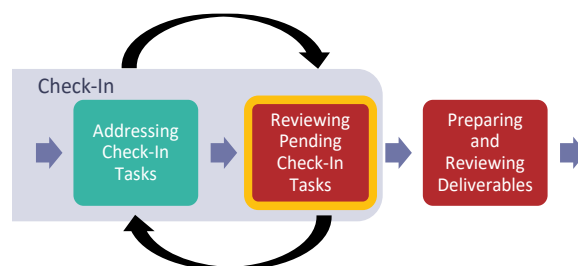
Addressing Check-In Tasks

The assessment enters the *Addressing Check-In Tasks* phase after a check-in task is created by HITRUST during the *Performing Check-In* phase. If there are no tasks created by HITRUST during the *Performing Check-In* phase, the assessment instead enters the *Preparing and Reviewing Deliverables* phase.

When the assessment enters the *Addressing Check-In Tasks* phase, the Assessed Entity's Account Admins, and any Standard Users assigned to the assessment, are notified via email and MyCSF homepage notification that the assessment has entered the *Addressing Check-In Tasks* phase.

In this phase the Assessed Entity addresses the check-in task created by HITRUST. For more information related to tasks, refer to HAA 2021-010: HITRUST MyCSF Enhancements – Tasks and Notifications. When the task has been addressed and sent to HITRUST, the assessment automatically enters the *Reviewing Pending Check-In Tasks* phase.
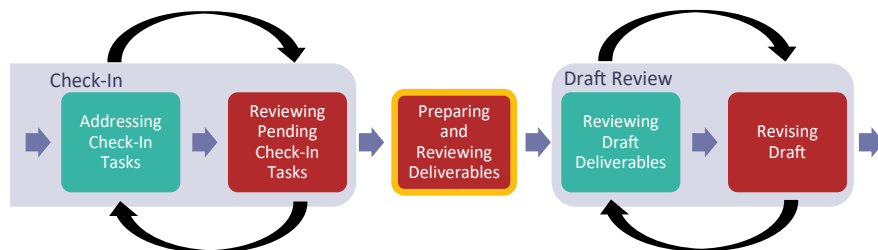
Reviewing Pending Check-in Tasks

When the Assessed Entity sends the check-in task 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 assigned to the assessment are notified via email and MyCSF homepage notification that all tasks have been addressed and the assessment has entered the *Reviewing Pending Check-In Tasks* phase.

During this phase, HITRUST reviews the task addressed by the Assessed Entity and closes the task if it has been resolved. If the task requires additional attention, HITRUST sends the task back to the Assessed Entity with additional comments or instructions and the assessment returns to the *Addressing Pending Check-In Tasks* phase.

After all tasks have been resolved by the Assessed Entity and closed by HITRUST, HITRUST accepts the assessment. This moves the assessment to the *Preparing and Reviewing Deliverables* phase.

Preparing and Reviewing Deliverables

After all check-in 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 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, HITRUST prepares and reviews the draft report. Once the draft report completes HITRUST's internal review, the QA Analyst uploads it into MyCSF and the assessment enters the *Reviewing Draft Deliverables* phase.

Reviewing Draft Deliverables
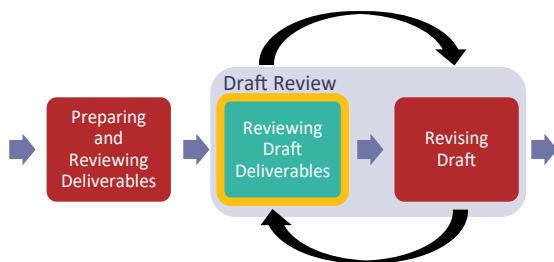
When the QA Analyst uploads the draft reports to MyCSF, the assessment enters the *Reviewing Draft Deliverables* phase. At this time, the Assessed Entity's Account Admins and any Standard Users assigned to the assessment are notified via email and MyCSF homepage notification that the draft report has been uploaded for the Assessed Entity's review.

During this phase, which replaces the legacy *Draft Report Posted* state, the Assessed Entity reviews the draft report. HAA 2021-011: HITRUST MyCSF Enhancements – HITRUST CSF Report Format Changes discusses the updates to the HITRUST CSF readiness report format that are introduced as part of this suite of enhancements.

After the Assessed Entity has reviewed the draft report, they may either:

1. **Approve the Draft Reports:** If no revisions to the report are requested, the Assessed Entity approves the draft report by clicking the "Approve HITRUST CSF Draft Report" button within the HITRUST CSF Reports section of the assessment. When the draft report is approved, the assessment enters the *Revising Draft* phase.
2. **Request Revisions:** If the Assessed Entity would like to request revisions to the draft reports, they may do so by clicking the "Request Revision" button within the HITRUST CSF Reports section of the assessment. This loads a new webform which allows the Assessed Entity to clearly identify each revision request individually. For more information about the new Revision Request webform, refer to HAA 2021-009: HITRUST MyCSF Enhancements – Webforms. After the Assessed Entity submits their revision requests to HITRUST, the assessment enters the *Revising Draft* phase.

Revising Draft
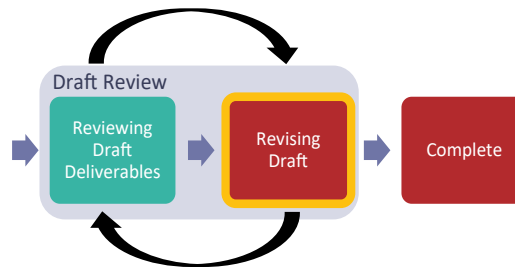
The assessment enters the *Revising Draft* phase when the Assessed Entity has either approved the draft report or requested revisions to the draft report. At this time, the Assessed Entity's Account Admins and any Standard Users assigned to the assessment are notified via email and MyCSF homepage notification that the assessment has entered the *Revising Draft* phase. The email and notification received will specify whether the assessment entered this phase due to the draft reports being approved or revisions being requested.

The *Revising Draft* phase is included in the new Workflow to provide more transparency into the draft review process. In the legacy workflow, an assessment remained in the *Draft Posted* state between upload of draft report into MyCSF and upload of the final report into MyCSF. The new workflow divides the *Draft Posted* state into two distinct phases, *Reviewing Draft Deliverables and Revising Draft*, to clarify ownership during the draft review process and better distinguish between the Assessed Entity reviewing the draft report and HITRUST processing revision requests or finalizing the report.

When the assessment enters the *Revising Draft* phase after the Assessed Entity has requested one or more draft revisions, the QA Analyst reviews the requested revisions. As the QA Analyst reviews each revision request, the status of each request is identified as Not Started, Completed, or Not Accepted by HITRUST. For any requests Not Accepted by HITRUST, the QA Analyst provides an explanation within the "Rationale" section of the webform. Once all the revision requests have been addressed by HITRUST, the assessment returns to the *Reviewing Draft Deliverables* phase to provide the Assessed Entity the opportunity to either approve the draft reports or request additional revisions.

When the assessment enters the *Revising Draft* phase due to the Assessed Entity approving the draft report, the QA Analyst builds the final report and uploads it to MyCSF. When the final report is uploaded, the assessment enters the *Complete* phase.

Complete
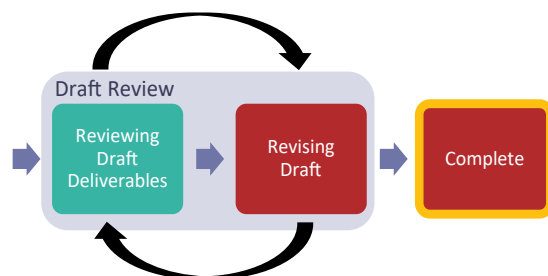
After the draft report is approved by the Assessed Entity and HITRUST has uploaded the final report to MyCSF, the assessment enters the *Complete* phase which replaces the legacy *Final Report Posted* state. At this time, the Assessed Entity's Account Admins and any Standard Users assigned to the assessment are notified via email and MyCSF homepage notification that the final report is available on MyCSF.