HITRUST MyCSF Module

Baseline Configuration Guide

Document Version: 2017.12.10 | December 2017

Contents

About Rsam Baseline Configuration Guides

Rsam Baseline Configuration Guides provide you with the information you need to understand the pre-defined configurations for each module. These guides should be referenced to gain a better understanding of how the module is configured and can be leveraged "out-of-the-box".

Baseline Configuration Overview

The baseline configuration for the HITRUST CSF module allows users to perform assessments and manage Corrective Action Plans (CAPs). The pre-configured activities help streamline your program by leveraging the HITRUST CSF Library of requirements to standardize your assessment with customized workflow and timely reporting in a more automated fashion.

The following is a list of activities that we have configured in the Rsam HITRUST CSF module:

- HITRUST CSF Structure
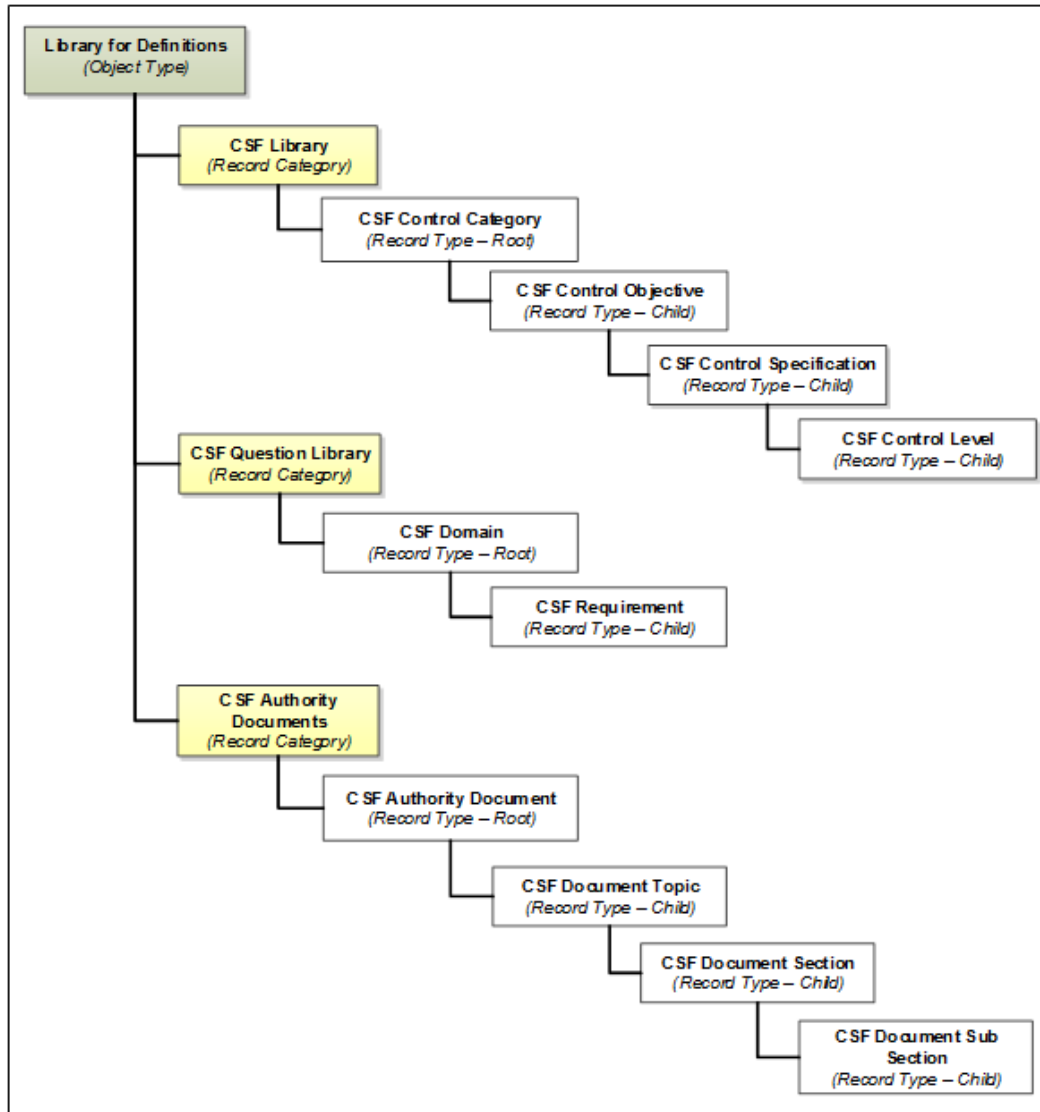
- Home Page Tabs

- HITRUST CSF Workflow

The information on the elements mentioned above will provide a baseline understanding before you leverage the *HITRUST Tutorial* or begin to tailor the module to meet your unique requirements.
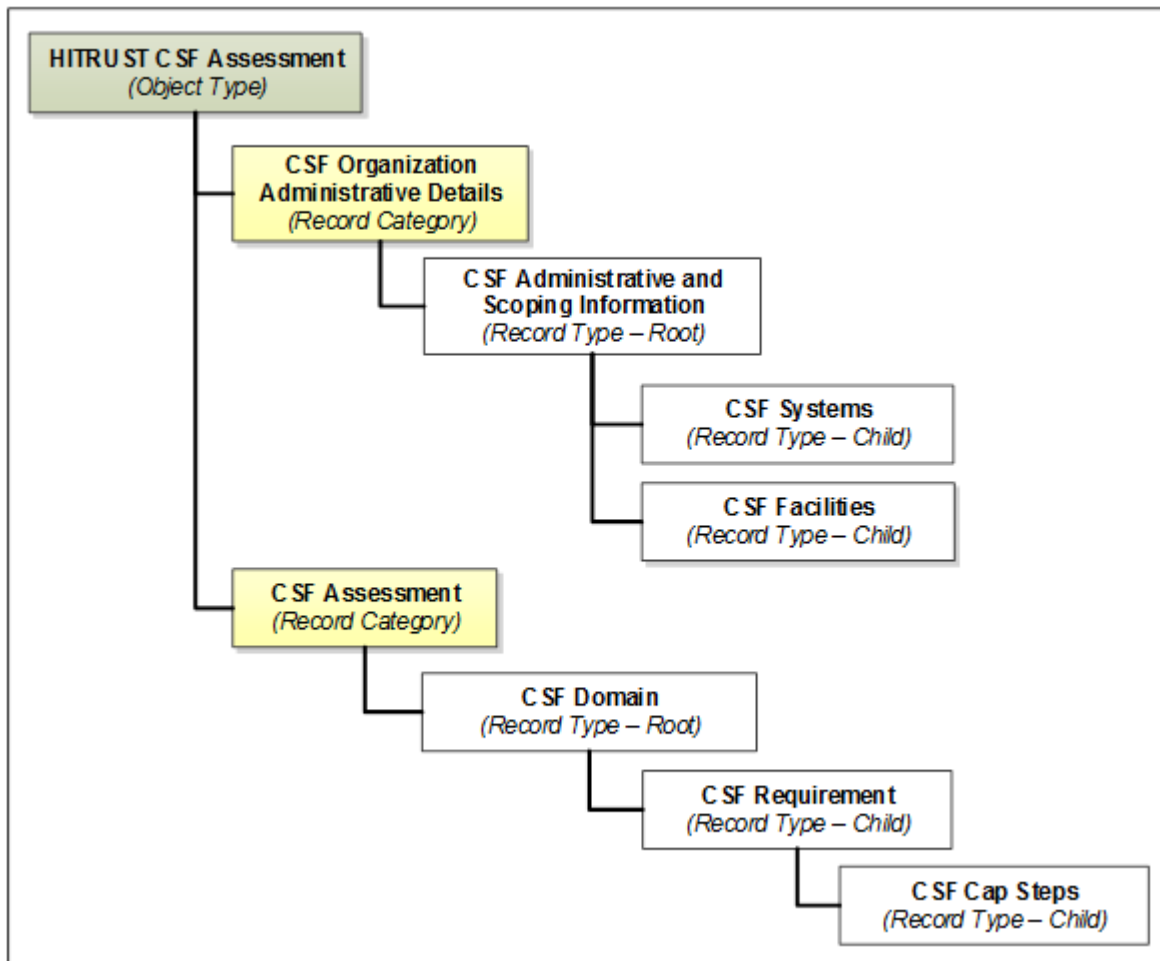
Important: While Rsam is highly configurable, Rsam strongly recommends not to modify the HITRUST MyCSF baseline configuration. As HITRUST's online CSF changes over time, Rsam also periodically issues product updates to its HITRUST MyCSF baseline configuration. If you modify your HITRUST MyCSF baseline configuration, these product updates may be subject to complications, such as failing to import, overwriting your configurations, and so on. In this case, it may be necessary to engage Rsam professional services to analyze your configurations and create custom-tailored update packages. To avoid update conflicts, it is safe to add new items to the HITRUST MyCSF configuration (e.g. new attributes, new record types, new searches, etc.) than modifying the existing elements of the HITRUST MyCSF baseline configuration.

HITRUST MyCSF Structure

All the HITRUST CSF module's library definitions are stored in a central library. All CSF Controls, Questions, and referenced Authority Documents are stored as records within the Library for Definitions library record object. In addition, the HITRUST CSF Assessments Object Type stores the CSF Assessment and the Organization Administrative Details in records.

The following diagram depicts the structures in the CSF module:

```
Library for Definitions
(Object Type)
    │
    ├── CSF Library
    │   (Record Category)
    │       │
    │       └── CSF Control Category
    │           (Record Type – Root)
    │               │
    │               └── CSF Control Objective
    │                   (Record Type – Child)
    │                       │
    │                       └── CSF Control Specification
    │                           (Record Type – Child)
    │                               │
    │                               └── CSF Control Level
    │                                   (Record Type – Child)
    │
    ├── CSF Question Library
    │   (Record Category)
    │       │
    │       └── CSF Domain
    │           (Record Type – Root)
    │               │
    │               └── CSF Requirement
    │                   (Record Type – Child)
    │
    └── CSF Authority Documents
        (Record Category)
            │
            └── CSF Authority Document
                (Record Type – Root)
                    │
                    └── CSF Document Topic
                        (Record Type – Child)
                            │
                            └── CSF Document Section
                                (Record Type – Child)
                                    │
                                    └── CSF Document Sub Section
                                        (Record Type – Child)
```

Object Types

The following is a list of object types that have been pre-configured in this module:

Object Type	Usage
Library for Definitions	A standard object that stores all the CSF Controls, Questions, and Referenced Authority Documents.
HTIRUST CSF Assessment	A standard object that stores all assessment details for each identified assessment target. A new assessment object is created whenever you wish to perform a new assessment.

Record Categories

The following is a list of record categories that have been pre-configured in this module:

Record Category	Usage
CSF Library	A category type that stores all CSF control libraries. This category includes the following record types: • CSF Control Category • CSF Control Objective • CSF Control Specification • CSF Control Level
CSF Question Library	A category type that stores all CSF question / requirement libraries This category includes the following record types: • CSF Domain • CSF Requirement
CSF Authority Documents	A category type that stores the authority documents, regulations, standards that are related to the CSF content. This category includes the following record types: • CSF Authority Document • CSF Document Topic • CSF Document Section • CSF Document Sub-Section
CSF Organization Administrative Details	This is a special category that is used to store administrative details around the organization / item being assessed. This information is stored in a record to match the online CSF approach and interface. This category includes the following record types: • CSF Administrative and Scoping Information • CSF Systems • CSF Facilities
CSF Assessment	A category type that stores all the actual assessment defaults for all targeted assessments. Data is copied from the question library into this assessment category in the beginning of the assessment process. This category includes the

Record Category	Usage
	following record types: • CSF Domain • CSF Requirement • CSF CAP Steps

Record Types

The following is a list of record types that have been pre-configured in this module:

Record Type	Usage
CSF Domain	CSF Domains group together a series of requirements within a CSF Assessment.
CSF Requirement	A record representing an individual requirement within a CSF Assessment.
CSF CAP Steps	A record representing an individual step in a corrective action plan (CAP) to address a control gap / issue.
CSF Control Category	Top level index of 17 groups of the CSF Library.
CSF Control Objective	2nd level grouping of the CSF Library with purpose and description.
CSF Control Specification	3rd level grouping of the CSF Library with reference and type.
CSF Control Level	4th level grouping of the CSF Library with level tiers (1, 2, 3, 21 CFR Part 11, CIS, CSP, CMS, De-ID Data Environment, EHNAC, Federal, FedRAMP, FFIEC IS, FTI, Group Plans, HIE, HIX, PCI, PRV, and Texas).
CSF Administrative and Scoping Information	Administrative and Scoping Information for the CSF Assessment (Contact Information, Organizational Profile, Environment, Assessment Options, Systems details, Facilities details, and Factors (Organizational, System, Regulatory, and Geographical)).
CSF Systems	System details is a component of the CSF Administrative and Scoping Information for the CSF Assessment
CSF Facilities	Facilities details is a component of the CSF Administrative and Scoping Information, for the CSF Assessment

Record Type	Usage
CSF Authority Document	Top level document name and reference of the CSF Library's Authority Documents
CSF Document Topic	2nd level topical reference of the CSF Library's Authority Documents.
CSF Document Section	3rd level section reference of the CSF Library's Authority Documents.
CSF Document Sub-Section	4th level sub-section reference of the CSF Library's Authority Documents.
CSF Assessor Document	A record for an assessor to document their findings for the CSF Assessment.

Home Page Tabs

The Baseline Configuration of the HITRUST CSF module contains several Home Page Tabs. These tabs can be configured for various roles and then can be assigned to your users to complete their tasks. The following Home Page Tabs are available in this module:

| Home Page Tab	Description
CSF Library (grouping)	Provides access to the CSF Library subtab.
CSF Library	This subtab organizes the CSF Library, including CSF Control Categories, Objectives, Specifications, and Levels.
Create New Hitrust CSF Assessment	A quick link that allows users to create a new CSF Assessment.
CSF Assessments (grouping)	This grouping tab provides access to the CSF Assessments and CSF Reports.
CSF Assessments	Provides access to all assessment objects and related records. By using tab, users can view assessments grouped by workflow state.
CSF Reports	Provides access to various controls and assessment reports.
CSF Dashboards (grouping)	Provides access to the CSF Dashboard, 100% Stacked Dashboards, and CSF Gaps and Risks subtabs.
CSF Dashboards	Displays dashboards for Domain Scores, Policy Scores, Implementation Scores, Managed Scores, Average Maturity, Process Scores, and Measured Scores.
100% Stacked Dashboards	Displays dashboards for Policy Compliance, Process Compliance, Implementation Compliance Status, Measured Compliance Status, and Managed Compliance Status.
Gaps and Risks	Displays dashboards for Control Level Compliance, Compliance Level, Gap, and Residual Risk Rating.

HITRUST MyCSF Workflow

In this section, we cover the following concepts of the out-of-the-box HITRUST CSF workflow:

- Workflow Diagram

- Workflow States

- Workflow Buttons

- Workflow Roles

Workflow Diagram

Below is the out-of-the-box workflow that is available in the HITRUST CSF module:
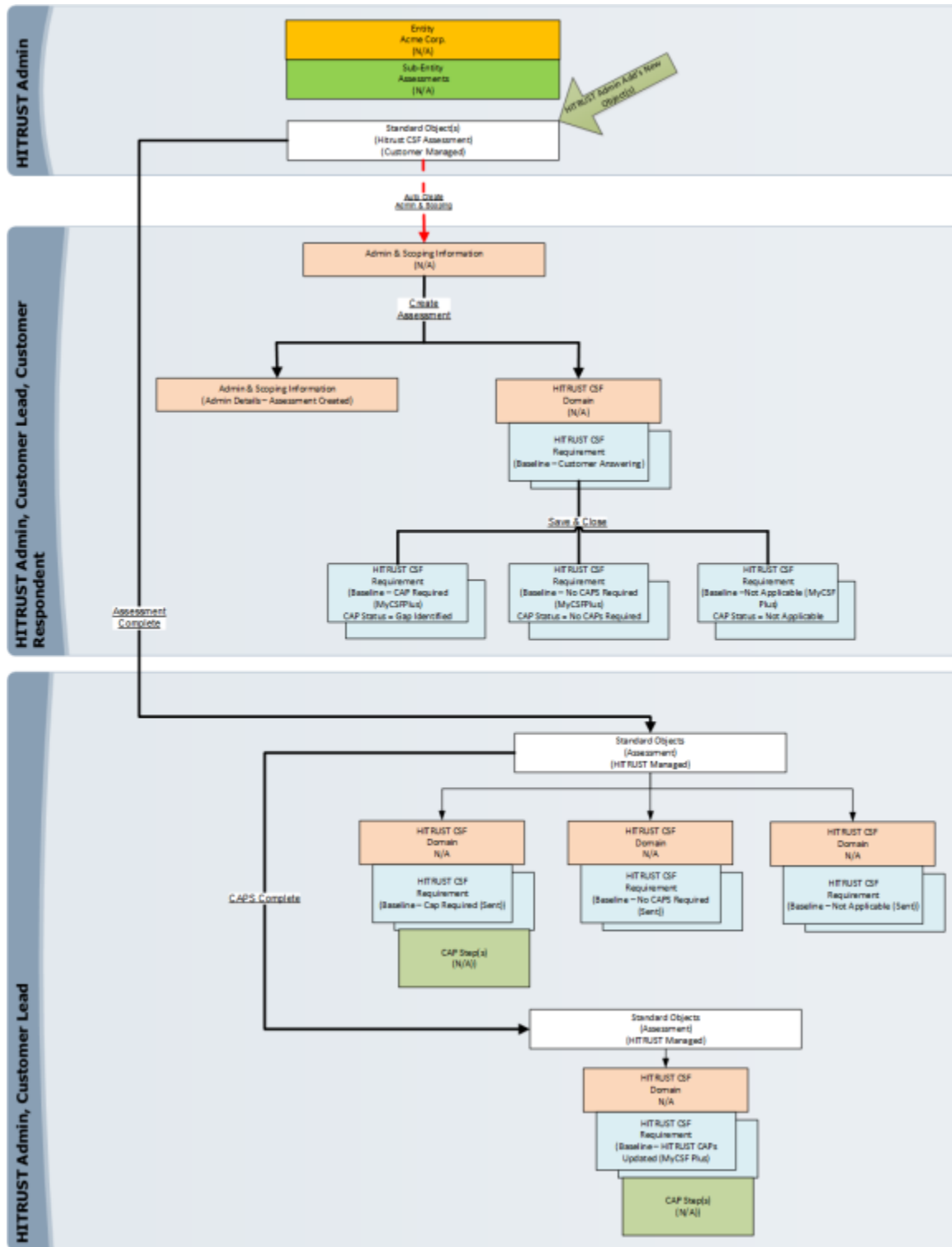
Workflow States

The following is a list of object states in the out-of-the-box HITRUST MyCSF workflow.

Workflow State	Description
Customer Managed	Workflow state where the assessment records are created and responses to the requirements are provided.
HITRUST Managed	Workflow state where the responses to the requirements are validated and any necessary Corrective Action Plans (CAPs) are created.

The following is a list of record states in the out-of-the-box HITRUST CSF workflow.

Workflow State	Description
N/A	Workflow state for initial record creation.
MyCSF: Admin Details – Assessment Created	Workflow state for the Administrative & Scoping record after the requirements have been created.
MyCSF: Baseline – Customer Answering	A HITRUST CSF requirement enters this state when the assessment has been assigned to the respondent. The assessment will stay in this state while the questions are being answered.
MyCSF: Baseline – CAP Required	A Requirement record enters this state when the cumulative score of the maturity answers is less than 71.
MyCSF: Baseline – No CAPs Required	A Requirement record enters this state when the cumulative score of the maturity answers is greater than 70.99
MyCSF: Baseline – Not Applicable	A Requirement record enters this state when the respondent has identified the requirement as not required.
MyCSF: Baseline – Cap Required (Sent)	A Requirement record enters this state after the respondent has changed the object workflow state to HITRUST Managed. This is the state where CAPs are created.
MyCSF: Baseline – No CAPS Required (Sent)	A Requirement record enters this state after the respondent has changed the object workflow state to HITRUST Managed. No further action is required for these records.
MyCSF: Baseline – Not Applicable (Sent)	A Requirement record enters this state after the respondent has changed the object workflow state to HITRUST Managed. No further action is required for these records.
MyCSF: Baseline – HITRUST CAPs Updated	A Requirement record enters this state after the CAPs complete button on the object is clicked. This is the final workflow state for the object and records.

Workflow Buttons

The following is a list of buttons that are available in the various states of the HITRUST CSF workflow.

Button	Available to	Description
MyCSF: Create Assessment	CSF Admin CSF Assessment Lead CSF Respondent	Available in the "N/A" state after completing the Administrative and Scoping Information survey to create the CSF Assessment.
MyCSF: Preview Profile	CSF Admin CSF Assessment Lead	Available in the "N/A" state to display the Preview Profile report.
MyCSF: Run Applicable Controls Report	CSF Admin CSF Assessment Lead	Available in the "N/A" state to display the Applicable Controls report.
MyCSF: Save & Close	CSF Admin CSF Assessment Lead CSF Respondent	Available in all the states except the Assessor Reviewing, Assessor Reverted, Assessor Revision Requested, and Assessor Updated states to save and close the assessment.
MyCSF: Save Progress (Baseline)	CSF Admin CSF Assessment Lead CSF Respondent	Available in all the states except the "N/A," "Assessor Reverted," and "Assessor Updated" states to save the progress.
MyCSF: Set Not Started Response Status	U: Object Administrator	Available in the "Customer Answering" state to set the Assessment Response Status attribute to "Not Started."
MyCSF: Recalculate Baseline	CSF Admin	Available in all the states except the "N/A" state to recalculate baseline responses, such as Maturity Score, Maturity Rating, Maturing Compliance, GAP Rating, Risk Score, and Impact Risk

Button	Available to	Description
Response		Rating.
MyCSF: Revert to Incomplete	CSF Admin	Clicking this button moves the workflow to the "Not Started" state.

Workflow Roles

The following is a list of workflow roles to perform tasks associated with the states in the out-of-the-box HITRUST CSF workflow.

| Role	Description
CSF Respondent	Workflow role that can: • answer & submit the Administrative Details & Factors questionnaire • complete & submit the CSF Assessment
CSF Assessment Lead	Workflow role that can: • answer & submit the Administrative Details & Factors questionnaire • complete & submit the CSF Assessment • run reports, including the Preview Profile
CSF Admin	Workflow role that can: • answer & submit the Administrative Details & Factors questionnaire • complete & submit the CSF Assessment • run reports, including the Preview Profile • perform administrative tasks such as recalculating responses, questionnaire review, requesting revision from respondent

Reporting

CSF Reports are available on the **CSF Assessments** > **CSF Reports Home Page** tab. To run a report, click the report link.

Several saved searches are available on the **CSF Library** > **CSF Library**, **CSF Assessments** > **CSF Assessments**, and **CSF Dashboards** > **CSF Dashboards Home Page** tabs to fulfil your reporting needs. The results in the navigator can be sorted and grouped dynamically. The navigator also allows you to export results to Excel.

Appendix 1: Offline Decision Making

Rsam email notifications are configurable including what notification should be sent, what users or roles will receive the notifications, and the content in the notifications. The follow image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Rsam's Offline Decision Making.

Offline Decision Making is one of Rsam's powerful and popular features. It provides the Rsam platform directly to the users to perform workflow actions without connecting to the Rsam module.
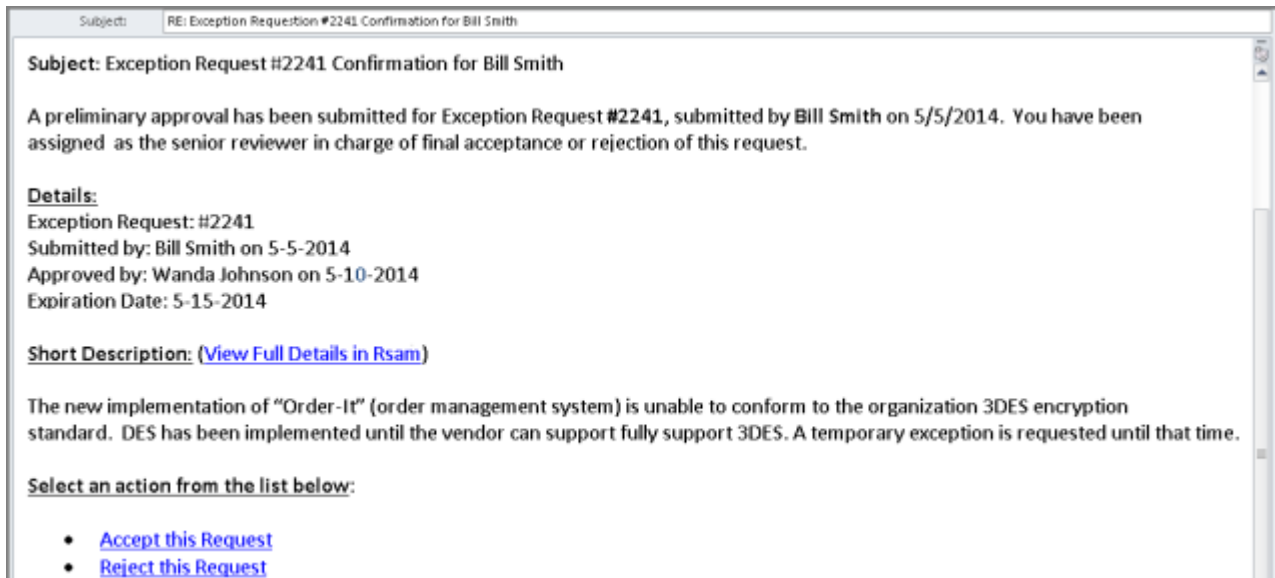
Appendix 2: User Assignment Options

Rsam allows organizations to customize configurations and workflows to their specific business practices. There are many methods by which users can be assigned roles (such as who is responsible for reviewing and approving exceptions). Our experience has shown these 2 assignment methods to be the more common:

1. Individual users are assigned to a group. The group is then assigned to the object under which the records are saved. When assigned to the object the group is also given a specific role. This accomplishes the following:

    a. All users in that group inherit the role assigned to the group in the context of the object and all the records under that object.

    b. All users in that group have the functionality allocated to that role in the context of the object and all of the records under that object.

2. Individual users are assigned a specific role directly in a record. This provides the same result as above – granting the user the functionality with the allocated role. However, it is only in the context of that specific record. No other permissions are granted to the parent object or any other record under that object.

The mechanism for implementing the assignment can also be flexible and customizable. The assignment can be manually made through an attribute, assigned when the records are created or imported, or automatically made at different points in the workflow.
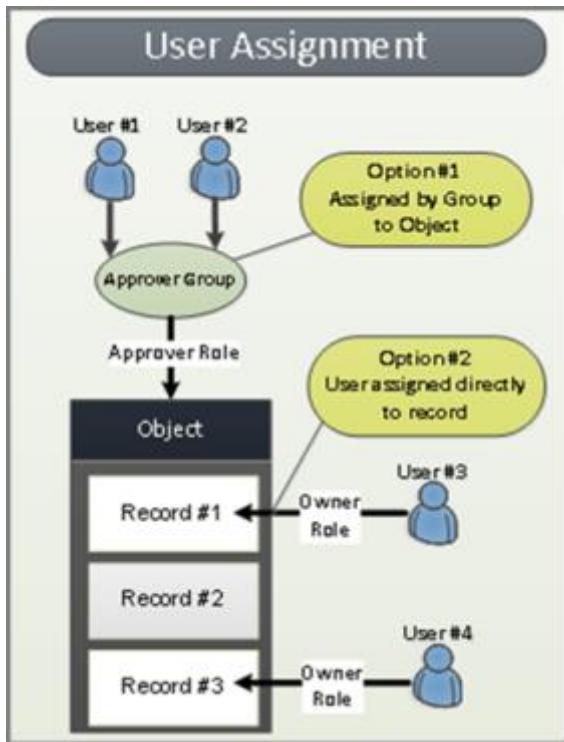
Appendix 3: Rsam Documentation

HITRUST MyCSF Module Tutorial

For a detailed walk-through of the HITRUST MyCSF Module user experience, please refer to the HITRUST MyCSF Module Tutorial. You should have received the HITRUST MyCSF Module Tutorial along with the HITRUST MyCSF Module instance. If not, contact your Rsam Representative to obtain an electronic copy of the HITRUST MyCSF Module Tutorial.

Inline Help

This document provides an overview of the HITRUST MyCSF Module configuration. To get familiar with the specific Rsam features used in this configuration, refer the Rsam Help, Rsam Administrator Help, or both. The Online help you can access depends on your user permissions.

Procedure:

1. Sign in to your Rsam instance. For example, sign in as Example Administrator user. Enter Username as r_admin and Password as password.

2. Mouse hover over **Help** and select an Online help in the menu that appears. Depending on your user permissions, you will be able to access the Rsam Help, Rsam Administrator Help, or both.

   The following image shows the Rsam Administrator Help, opened from the Example Administrator user account.