e1 and i1 Combined Assessments FAQs

Reporting

1.   What are Insights Reports?

Insights Reports provide easy-to-understand and reliable over to the authoritative sources included in combined e1 and i1 assessments. These reports may be shared with internal and/or external stakeholders of the Assessed Entity to illustrate the organization's control maturity against the HITRUST requirements mapped to specific authoritative sources in a clear and concise format.

2.   Will there be any changes to the e1 or i1 reports?

No.

Report Credits

3.   Do I need to purchase Insights Report credits before booking my QA reservation for my combined assessment?

No, only the e1 or i1 Validated Report Credit is needed to book your QA reservation.

4.   If I already have an e1 or i1 Validated Report credit, but have not purchased Insights Report credits yet, can I still submit my combined assessment?

No, you must obtain all needed Insights Report credits before submitting the combined assessment to HITRUST.

5.   Do I need Insights Report credits for a rapid assessment?

Yes, each authoritative source added will require an Insights Report credit for a rapid assessment.

Domain Scoring, CAP and Gap Calculation

6.   Does the e1 or i1 certification calculation consider the HITRUST CSF requirement statements that were added to the assessment due to inclusion of a compliance factor (e.g., HIPAA security rule)?

No, only the e1 or i1 core requirements are considered in this calculation. The e1 and i1

certifications require average scores of the core e1 or i1 requirement statements in each domain to reach at least 83. Any requirement statements that are not part of the e1 or i1 core but were included in the assessment due to an added compliance factor are not considered in the calculation of the average domain score. The following example shows the calculation for the average domain score for one sample domain.

Requirement Statement	Core i1 Requirement Statement	Mapped to an Included Compliance Factor	Score included in Domain Average Score Calculation	Requirement Statement Scoring
Requirement Statement 1	Yes	No	Yes	75%
Requirement Statement 2	Yes	No	Yes	75%
Requirement Statement 3	Yes	No	Yes	100%
Requirement Statement 4	Yes	Yes	Yes	100%
Requirement Statement 5	No	Yes	No	25%
			Domain Average used for CSF Certification Determination	87.5%

7. In an e1 or i1 combined assessment, if a deficient requirement statement is a core e1 or i1 requirement statement and is also mapped to an added compliance factor, can it lead to a required CAP?

Yes. Deficient requirement statements that are core to e1 or i1 *and* mapped to a compliance factor can lead to required CAPs. Only requirement statements that are part of the e1 or i1 core are included in the CAP calculations.

Example:

Requirement Statement	Core i1 Requirement Statement	HIPAA Security Rule Requirement Statement	Score included in Control Reference Average for CAP Calculation	Requirement Statement Scoring
1203.09aa1System.2	Yes	Yes	Yes	50%
1239.09aa1System.4	Yes	Yes	Yes	100%
1202.09aa2System.5	No	Yes	No	100%
			Control Reference Average used for CAP Calculation	75%

In the above scoring example, the requirement statement 1203.09aa1System.2 will require a CAP in an i1 combined assessment because the requirement statement:

- scored less than fully compliant,
- is an i1 core requirement statement, and
- the average of the i1 core requirement statements in the 09.aa control reference is less than 80.

New Workflow

8. What are the newly introduced phases in the e1 or i1 combined assessment workflow?

The newly introduced phases in the e1 or i1 combined assessment workflow are:

- Assessment Results Review
- Addressing HITRUST CSF Reporting Tasks

- Reviewing Pending HITRUST CSF Reporting Tasks
- Preparing Additional Report Draft(s)
- Reviewing Additional Report Draft(s)
- Revising Additional Report Draft(s)
- Addressing Additional Reporting Tasks
- Reviewing Additional Reporting Tasks

9.   Can the Assessment.Results.Review page be added to my assessment without adopting the new workflow?

No.

10.   When will the new workflow be available?

August 27, 2024.

11.   If I am not adding an authoritative source to my e1 or i1 assessment, what changes will I see?

- As of August 27, 2024, any existing e1 or i1 assessment in a phase prior to *Inputting CAPs and Signing Rep Letter* has been updated to include the *Assessment Results Review* Phase and new reporting phases shown in *Figure 1.*

- As of August 27, 2024, any existing e1 or i1 assessments in a phase between *Inputting CAPs,* and *Reviewing Draft Deliverable* has been updated to include the new reporting phases shown in *Figure 1.*
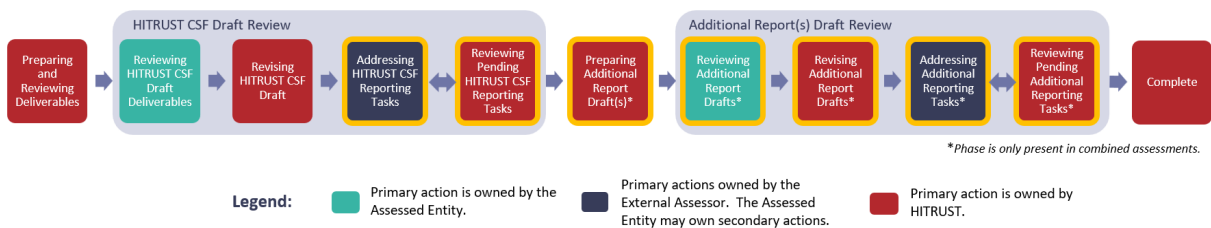

Figure.7

12.   My e1 or i1 validated assessment is in the Answering.Assessment.or Performing.Validation phase on August 27, 2024. What new phases will I see in MyCSF?

- Assessment Results Review
- Addressing HITRUST CSF Reporting Tasks
- Reviewing Pending HITRUST CSF Reporting Tasks
- Preparing Additional Report Draft(s)
- Reviewing Additional Report Draft(s)

- Revising Additional Report Draft(s)
- Addressing Additional Reporting Tasks
- Reviewing Additional Reporting Tasks

13. My e1 or i1 validated assessment is in a phase between Inputting.CAPs? and Reviewing.Draft.Deliverable on August 27, 2024. What new phases will I see?

- Addressing HITRUST CSF Reporting Tasks
- Reviewing Pending HITRUST CSF Reporting Tasks
- Preparing Additional Report Draft(s)
- Reviewing Additional Report Draft(s)
- Revising Additional Report Draft(s)
- Addressing Additional Reporting Tasks
- Reviewing Additional Reporting Tasks

14. My e1 or i1 validated assessment is in the Revising.Draft or Complete phase on August 27, 2024. What new phases will I see?

On August 27, 2024, if an assessment is in either Revising Draft or Complete phase, the assessment will not transition to the new workflow and will follow the existing workflow.

15. Will any of the changes made to the new e1 or i1 assessment workflow impact r2 assessments?

No.

Quality Assurance (QA)

16. Will HITRUST perform additional QA reviews and/or procedures on combined assessments?

Yes, in addition to the sample of core e1 or i1 requirement statements selected for QA, HITRUST will select a sample of requirement statements from each added authoritative source.

17. Can an Insights Report be provided if the associated e1 or i1 failed HITRUST QA?

No.

18. Will HITRUST issue e1 or i1 certification after satisfying QA review even when an Insights Report failed its own QA review?

HITRUST will evaluate the nature of the QA failure for the Insights Report and make a determination of whether it is possible to issue an e1 or i1 certification.

Rapid Assessment

19. **When will rapid assessments be available for e1 or i1 combined assessments?**

Rapid assessments for e1 or i1 combined assessments will be available in first half of 2025.

20. **My previous e1 or i1 assessment resulted in a validated-only report because the certification thresholds were not met. Can I perform a rapid assessment for the next year?**

No. Only currently certified e1 or i1 assessments that meet the eligibility criteria may perform a rapid assessment.

21. **If I choose to add a new authoritative source to my rapid assessment would I be eligible to sample that authoritative source the following year?**

No, all authoritative sources, including those added during the rapid assessment year, must be assessed in full during the non-rapid years.

22. **If a compliance factor maps to 80 requirement statements, 30 of which are also i1 core requirement statements, would the compliance factor be eligible to be sampled?**

Yes, a compliance factor must map to more than 60 requirement statements, including those that are already included in the core i1 requirement statements, to be eligible for sampling. In this example, the compliance factor maps to 80 requirement statements and therefore can be eligible for sampling during rapid assessment.

23. **Can I remove an authoritative source in the rapid assessment year?**

Yes.

24. **In a rapid assessment are the e1 core requirements sampled?**

No.

25. **If there are multiple authoritative sources in my e1 or i1 combined assessment, is it possible that some might not be rapid eligible?**

Yes.

26. If I do a rapid assessment will my report be different than if I did a full assessment?

No.

27. In a rapid assessment, what happens if scores are lowered during QA review?

During the performance of the e1 or i1 combined rapid assessment and HITRUST's QA review, MyCSF monitors the scoring of the sampled requirement statements in the rapid assessment and compares them to the parent e1 or i1 combined assessment to determine whether any scores have been lowered. For the i1 core or any authoritative source that has been sampled, if scores were lowered during HITRUST's QA review as a result of control degradation, the flowchart in Figure 7 of this advisory would be followed to determining next steps. For more details, please refer to Control Degradation section of the HITRUST advisory - HAA 2024-004 - e1 or i1 Combined Assessments.

28. In my rapid assessment, one of the requirement statements that appears in the core and maps to an authoritative source suffered from control degradation. How does this impact the counts for control degradation?

When a requirement statement is part of the core and maps to an authoritative source control degradation will be counted towards both core and authoritative source independently. The following example shows how control degradation will be calculated.

Requirement Statement	Core i1 Requirement Statement	HIPAA Security Rule Requirement Statement	Score in Parent Assessment	Score in Rapid Assessment	Counted towards Core i1 Control Degradation	Counted towards HIPAA Security Rule Control Degradation
1203.09aa1System.2	Yes	Yes	100%	50%	Yes	Yes
1239.09aa1System.4	Yes	Yes	75%	100%	No	No
1202.09aa2System.5	No	Yes	100%	75%	No	Yes
12101.09ab1System.2	Yes	No	100%	100%	No	No