

The SAQ has three steps:

1. Initiation
  - a. The system assigns the assessment to the Respondent's primary point of contact as well as any delegates
  - b. The Respondent's primary point of contact will receive an email invitation to their SAQ.
  - c. The Respondent's primary point of contact will log in to the SAQ Portal to access their SAQ.
  - d. The Respondent's primary point of contact is responsible for delegating questions to the SAQ to secondary users.
2. Response
  - a. Accessing the SAQ
    - i. After clicking on the link, a landing page for the SAQ will appear, the user will need to submit their credentials.
    - ii. Double-click on the Questionnaire Title **OR**
    - iii. Hover over the Questionnaire Title, a drop-down arrow will appear to the right.
    - iv. Click the arrow and select 'View Questions' from the drop-down menu to see the SAQ.
    - v. All users have the ability to save their progress and exit at any time by clicking on '**Save & Exit**'
  - b. Question Delegation to Secondary Users
    - i. Above the question, the Respondent primary point of contact will see a grey arrow pointing to the right.
    - ii. Click the arrow to open the Delegate Question screen.
    - iii. Select the required user from the drop-down list and click '**Delegate**'
  - c. Assessment Objectives
    - i. It is important to understand the assessment objective for each question asked. These have been provided in the Respondent SAQ Workbook.
  - d. Responding to the SAQ
    - i. Each response will include a short summary directly below indicating what evidence is required.
    - ii. A response of '**Satisfied**' indicates that the Respondent has successfully achieved all the assessment objectives and the control in question is implemented and operating effectively. The evidence provided by the Respondent should substantiate the response.
    - iii. A response of '**Partially satisfied**' indicates that the Respondent has successfully achieved some of the assessment objectives, but some issues/deficiencies were found. Both the required evidence and comments provided by the Respondent should substantiate the response clearly showing what assessment objectives have been successfully achieved.
    - iv. A response of '**Not satisfied**' indicates that the Respondent has not successfully achieved any of the assessment objectives. Both the required evidence and comments provided by the Respondent should substantiate the response indicating any future plans to satisfy the control in question.

- v. A response of **'Not applicable'** indicates that the Respondent will not implement any of the assessment objectives. The required comments provided by the Respondent should substantiate the response indicating the reasoning behind their response.
  - vi. A response of **'Won't implement based on risk-based decision'** indicates that the Respondent will not implement any of the assessment objectives. The required comments provided by the Respondent should substantiate the response indicating the reasoning behind their response.
- e. SAQ Response Evidence
- i. Below the question response options the Respondent will see a grey bar with the words **'Comments'**, **'Attachments'** and **'Assets'**.
  - ii. Comments
    1. The system will require the Respondent to add comments to support their response.
    2. Click on the **'Comments'** tab below the question and type a response
    3. Click **'Post'** so that the comment will be saved.
  - iii. Attachments
    1. The system will require the Respondent to upload attachments to support their responses.
    2. When uploaded, the attachment is added to the Respondent's evidence index.
    3. When responding to questions, the Respondent will have the option to select any previously uploaded evidence.
    4. If the evidence is a large document, please provide the page number that supports the question being answered in a question comment.
  - iv. Assets
    1. Assets are not applicable to this assessment.
3. Response Submission and Review
- a. Once **ALL** questions responses have been selected and all required evidence has been provided, the primary point of contact will submit the SAQ for review.
  - b. At the top right of the screen, in the blue area, the Respondent will click **'Submit'**
  - c. The SCO ISO will review the responses.
  - d. The SCO ISO may reject the Respondents response. In that scenario, the SCO ISO will provide a comment to the Respondent explaining why the response was rejected.
  - e. The Respondent will be given an opportunity to provide additional comments and/or attachments to support their response and re-submit the SAQ for review.
  - f. The SCO ISO will review the re-submitted responses.
    - i. If the newly supplied evidence supports the Respondents response, the SCO ISO will accept the response as originally supplied by the Respondent.
    - ii. If the newly supplied evidence does not support the Respondents response, the SCO ISO will re-categorize the response to **'Partially Satisfied'** or

'Not Satisfied' and provide an additional comment the justification supporting the change.

- g. The SCO ISO will submit the SAQ for secondary review and approval.
- h. The Respondent SAQ is considered complete when approved by the SCO ISO.
- i. The Respondent will receive an email from the system that their SAQ has been closed.