

System Scoping Checklist

System Scoping Checklist



Streamlines information gathering on the client's systems, enhancing our readiness for discussions and decisions on the scoped systems. Serving as an early mutual understanding in the audit engagement to define the audit scope related to client services.

What Data needs to be secured?

Compliance standards are centred on your customers confidential data and documents

Where is that data stored?

1. The data centre(s) are in scope for physical access controls
2. The servers, operating systems, databases, and software used are in scope for system access controls
3. The components within (1) and (2) that are managed by third parties are “sub-service organisations”

Which software systems are in scope?

The primary software collecting and processing data, eg. Your software as a service system

A code repository manages the source code (eg. GitHub)

Continuous integration/continuous deployment software controls the production code (eg. CircleCI)

Authentication software provisions and controls access (eg. AzureAD)

Identity provider (eg. Google Workspace)



Example 1

AssuranceLab's scope for our Pillar software platform



Component	Description	Hosted by	Responsibility
Primary Software: Pillar	Pillar is the primary software as a service system	AWS	AssuranceLab
Databases: <ul style="list-style-type: none">• Amazon S3• MongoDB	Databases used to store production data and files AWS	AWS	AWS
Servers and Operating Software: AWS Containers	Elastic container service (ECS) by AWS	AWS	AWS
Networking: AWS	Networking and cloud infrastructure by AWS	AWS	AWS
Supporting Software: GitHub Google Workspace	Code repository Identity manager	GitHub Google	GitHub Google

Example 2

Market research provider, MR-56, with locally managed servers in NextDC datacentres



Component	Description	Hosted by	Responsibility
Primary Software: Airtable PowerBI	Used to collect and analyse research data	Airtable Microsoft	Airtable Microsoft
Databases: MongoDB	Databases used to store analytical data	NextDC	MR-56
Servers and Operating Software: VM Servers	Dell PE R510 x 2 IBM System x3650 M4 x 2	NextDC	MR-56
Networking: Cisco hardware	Firewalls - Cisco Meraki MX84 Switches - Cisco Meraki MS120 Wireless access points - Cisco Meraki MR33	NextDC	MR-56
Supporting Software: Microsoft365	Office applications and email	Microsoft	Microsoft

Your scope



Please populate the below table as best you can. This is really important for us to understand to ensure your scope and our audit are properly aligned. This avoids potentially significant rework or delays later!

Component

(Add title(s))

Description

(Add detail)

Hosted by

(Physical hosting)

Responsibility

(Who manages it)

Primary Software:

Database:

Servers and Operating Systems:

Networking:

Supporting Software
