Attachment

Scope Definition & Guidance

The definition and communication of what was assessed and reported on has continued to be a challenge for assessed entities and those that rely on their reports. This guidance is designed to document and communicate the scope of what was assessed to readers of a report. There are two components to documenting the scope of an assessment. They are the Scope Overview and the Scope Description.

Scope Overview

The Scope Overview is designed to communicate in summary form what system(s) and process(es) were assessed as well as the components they are made of and the market-facing products and/or service lines they support. It will also communicate if the environment was assessed as a whole, or if partially assessed what exclusions, if any, were not assessed. Exclusions are only acceptable when there is a clear delineation. An example might be a portal that allows organizations to present content. The portal might be included but the content could be excluded.

Example:

The following table lists the system(s) that are in scope for this report with the service offering(s), if applicable, that it supports. A verbose description of the scope can be found in section X, Scope Description, of this report.

System Name	Components	Service Offering	Full	Partial	With Exclusions	Description of Exclusions
Chinstrap Portal	UNIX Oracle DB v8.1 Java .Net VMWare v 7.9	Penguin Nest		🟡	🔴	Content & the underlying applications that provide it for delivery through Penguin Nest by customers were not assessed as part of this report.
		Penguin Analytics	🟢			
		South Pole Benefit Eligibility	🟢			

Scope Description

The scope description is a verbose description of the system(s) and process(es) that were assessed for the report. It should be written with as much detail about the system(s) and process(es) as possible and include descriptions of the service offering(s) and/or product(s) that they support. Items to include in the scope description would include component parts, internal vs. external development, connectivity, interfaces, and high-level network or architecture diagram.

Example:

Systems

The system that was assessed for this report is Chinstrap Portal ("Portal"). The Portal is a platform that allows numerous applications and service offerings to be accessed via a single web-based interface via a browser. It does this for numerous customers and allows their customers to obtain information in a single location. The Portal is developed by Chinstrap Penguin personnel. It is built in Java and .Net, runs on a HP-UX platform, and is supported by an Oracle database. The solution leverages VMWare for scalability. The applications/service offerings that make up the Portal are Penguin Nest, Penguin Analytics, and South Pole Benefit Eligibility.

Penguin Nest is an application that delivers content and applications from customer systems via the Portal. This assessment only includes the Portal code that comprises Penguin Nest interface. Applications and content delivered by customers via Penguin Nest were not assessed as they are owned and managed by customers. This exclusion includes the mechanisms for connectivity.

Penguin Analytics is an application that delivers reporting and analytics capability to customers. It allows them to develop dashboards and reports and track KPIs with their information that is stored within the Portal.

South Pole Benefits Eligibility allows our customers to provide benefit eligibility information so that users of the system have a single place to go to get the eligibility information from multiple customers.

Facilities

The Portal is hosted in both the South Pole and North Pole data centers. Both of these locations are in scope for this report as well as the corporate headquarters located in Antarctica. Branch location personnel are not involved in development or maintenance of the Portal, so this report excludes all branch offices.

Scope Diagram

In Scope

Chinstrap Portal

Penguin Analytics

South Pole Benefits

Penguin Nest

Exclusions

Customer App 1

Customer App 2

Customer App 3