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**Purpose of this document**

This document is used to capture information and decisions about an organisation’s services and systems during stages 1 and 2 of a GovAssure assessment. When completed, it provides an evidence-based justification for the scope of the assessment.

**Stage 1: Describe the organisation’s context and services**

[**Part A: Describe the organisation's context and mission**](#bookmark=id.30j0zll)

[**Part B: Identify and define the essential services**](#bookmark=id.1fob9te)

**Stage 2: Identify the in-scope systems and assign the Government CAF profile**

[**Part A: Identify and select the critical systems**](#bookmark=id.3znysh7)

[**Part B: Document the systems and assign CAF profiles**](#bookmark=id.2et92p0)

**Audience**

This document is primarily for use by the relevant government organisation and the organisation’s service and system owners, as well as Government Security Group (GSG) who will agree the scope of GovAssure. This document will be routinely referred to throughout the end-to-end GovAssure process. It will also be used as part of Stage 4: Independent Assurance Review of GovAssure (see stages of GovAssure on page 3) the following page

**How to use this document**

This document will be completed by an organisation and shared with GSG as part of scoping discussions. Once agreed, it will be shared with Independent Assurance Providers to support the Assurance Reviews. It will not be shared more widely unless agreed.

| **Key roles and responsibilities** | |
| --- | --- |
| GovAssure lead |  |
| GovAssure senior responsible officer (SRO) |  |



| **Stage 1 - Part A: Describe the organisation’s context and mission** | |
| --- | --- |
| *Provide the following details to help the appointed assessment reviewer understand the context of the organisation in Stage 4.* | |
| **Mission and context** | *What is the organisation’s mission, what are its objectives and priorities, and how does it support the delivery of government services?*  *The answer can be written as a 2-3 sentence elevator pitch about the organisation. Alternatively a list of bullets defining each of the following might work:*   * *Mission:* * *Objectives:* * *Priorities:* |
|
| **Organisation background** | *How does the organisation currently meet its objectives? For example, is it an organisation that delivers online services 24/7 x 365, or does it operate an offline non-transactional service?* |
|
| **Current threat landscape** | *Who are the likely attackers, and why are they targeting the organisation? If they are successful what would happen?*  *If there are many possible threats use bullet points to list them. Also reference any relevant threat assessments.* |
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| **Cyber risk appetite** | *Confirm whether the organisation has a cyber risk appetite. If so, note where is it defined and what the level of appetite is.* |
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| **Stage 1 – Part B: Identify and define the essential services** | | |
| --- | --- | --- |
| *List and describe the organisation’s services that are essential to its mission, and specify whether they are within scope for assessment under GovAssure. Insert more rows if necessary. If applicable, also describe the methodology used to identify the services.* | | |
| *Does the organisation have a defined methodology for mapping essential services? Y/N (delete as applicable)*  *If yes, describe the methodology at a high level:* | | |
| **Service name** | **Function** | **In scope?** |
| **Example:**  Essential service 1 |  | In scope |
|  |  | Unconfirmed |
|  |  | Unconfirmed |

| **Stage 2 - Part A: Identify and select the critical systems** | | | | |
| --- | --- | --- | --- | --- |
| *Identify the critical systems that support the essential services that have been identified above as in scoping for GovAssure. In the table, you should document whether these systems will be included in the forthcoming assessment.* | | | | |
| *Does the organisation have a defined methodology for mapping critical systems? Y/N (delete as applicable)*  *If yes, describe the methodology at a high level:* | | | | |
| **Critical system** | **Essential service / function supported (from Stage 1: Part B)** | **Core IT infrastructure underpinning the service (for example, the network or cloud provider)** | **Breakdown of back-end systems/applications (if applicable)** | **Included in the forthcoming assessment?** |
| **Example:**  Critical system 1 |  |  | App 01 | Yes / No |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

*Add copies of this table as required to document all the in-scope systems for this assessment.*

| **Stage 2 - Part B: Document the systems and assign the Government CAF profile** | |
| --- | --- |
| **In-scope [name of system]** | |
| **System names** | *Include the technical name and the common name(s) used for the system, where applicable.* |
| **Essential service and function it supports** | *A brief description of the essential service and/or function that relies on this system.* |
| **Description – what does the system do and why is it within scope for GovAssure** | *Describe the service that the system supports and why it is considered essential for the organisation’s mission and objectives.* |
| **Types of users** | *Provide a list of the categories of users of the system. This should cover users with different levels of privilege, such as normal users and administrators, and also those outside the organisation, such as representatives of ALBs, contractors for third parties, and members of the public.*  *You should also provide details on how different users access the system - remotely or from specified locations - and whether they need to log in to use some or all of the system’s features.* |
| **Breakdown of components (if appropriate)** | |
| *List the applications, infrastructure, and any other components that the service comprises; for example, Office 365, desktop infrastructure, a specific network or networks, and so on.* | |
| **Key dependencies** | |
| *List the things that the system (and therefore the service) depends on to enable delivery.* | |
| **System boundary** | |
| *List the other systems, suppliers, or organisations that the system has an interdependency with:*   | **System, supplier, or organisation** | **Description of interdependency** | | --- | --- | |  |  | |  |  | |  |  | | **Explain the interdependence between the system, supplier or organisation** | | |  | | | |
| **System diagrams** | |
| *Include diagrams of the system that show:*   * *the critical components and/or assets (grouped if needed)* * *the system boundary and what is in-scope for the assessment* * *other non-critical components within the system boundary and details of their connections (direct wired and wireless)* * *data access points* | |
| **Government CAF profile assigned** | |
| The system will be assessed using the **Baseline / Enhanced** *(delete as applicable)* profile  **Comments and justification**  *A brief summary describing why the profile was selected* | |