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For each document section

* Consider if this section applies to you. If it does not, remove it and/or replace it with your organization’s corresponding practices.
* Replace any highlighted text in angled brackets < > with your own language
* Rewrite the document language such that it reflects the practices of your organization

Document completion checklist

1. Use Find to make sure that all text in angled brackets is replaced
2. Proofread your document for spelling and grammar mistakes
3. Confirm that the document’s content reflects your organization’s practices
4. Add any company-specific letterhead, branding, and formatting
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More questions?

A good rule-of-thumb is to keep your language high enough level such that it stays representative for at least a year. If you have more questions about how to use this template, please reach out to your Customer Success Manager or your auditor for additional guidance.

Document Name: Scope of the ISMS

Document Number: 01-ISMS

|  |  |
| --- | --- |
| Company Name: | <Company Name> |
| Policy Owner(s): | <Policy owner(s)> |
| Effective Date: | <Effective date> |

1. Purpose

<Company Name> has established an Information Security Management System (“ISMS”) in accordance with ISO/IEC 27001 (“ISO 27001”) that governs the processes required to protect company and information assets. This document specifies the scope of the ISMS at <Company Name>.

1. Introduction

<Company Name> utilizes the ISO 27001 Information Security (“InfoSec”) frameworks in order to identify and maintain the assets, technologies, and processes needed to protect customer information and to help ensure the confidentiality, integrity, availability, and privacy of customer data and supporting services.

To enable this, <Company Name>:

1. Aligns its InfoSec policies and procedures to the global industry standard ISO 27001
2. Achieves a robust InfoSec framework for the efficient functioning of the organization

All locations identified including departments and assets are included in the scope of the ISMS as detailed in the following sections.

1. Scope of the ISMS

All <Company Name> owned and managed offices and facilities.

## General

The following statement defines the Scope of Services for <Company Name>:

*<Description of service(s) provided by your company>*

The scope of the ISMS includes the assets, technologies and processes employed by <Company Name> for processing, management, and delivery of services to its customers. Additionally, the scope is defined with consideration of the external and internal context of the organization (Appendix A), requirements of interested parties (Appendix B), such as customers and regulatory bodies, and boundaries with third parties (Appendix C).

## Assets

The assets of the ISMS are further categorized as information, application, database, cloud services, and personnel. The details of the assets can be found in Appendix D.

## Locations

The following locations are in scope for the ISMS:

| **Office Locations** | |
| --- | --- |
| <Address> | <Address> |
| <Address> | <Address> |

## Departments

The following departments are in-scope for the ISMS:

* Information Technology (“IT”)
* Software Development (“Dev”)
* Human Resources (“HR”)
* Information Security (“InfoSec”)
* Legal
* Finance

## Personnel

All personnel belonging to the above departments are in-scope for the ISMS.

### Scope Exclusions and Boundaries

* <Company Name> uses Amazon Web Services (“AWS”) for cloud computing and storage services. Amazon is responsible for managing logical access to the underlying network, system management, and storage devices for its cloud service hosting <Company Name> data.
* Amazon is responsible for the physical security and environmental controls at data center facilities hosting <Company Name> systems; therefore, physical security and environmental controls are out of scope for those facilities.
* Amazon is responsible for the secure deletion of data and disposal of equipment used to support <Company Name> customer operations.
* <Company Name> information, application, database, facility, and personnel assets that are not related to the identified in-scope components are out of scope for the ISMS.

# ****ISO 27001 Coverage****

ISO 27001 4.1; 4.2; 4.3

# Version History

| **Version** | **Date** | **Description** | **Author** | **Approved by** |
| --- | --- | --- | --- | --- |
| 1.0 | <Date of change> | Initial policy | <Author of changes> | <Approver of changes> |
|  |  |  |  |  |
|  |  |  |  |  |

# Appendix A - Context of the Organization

By establishing the organizational context, <Company Name> is able to articulate its objectives, define the external and internal parameters to be considered when setting scope and risk criteria and managing risks to the objectives of the ISMS.

# Internal Context

<Company Name> established the internal context by analyzing the internal components that support the ISMS as documented below:

| **Internal Factors** | **Description** |
| --- | --- |
| Governance | Decision making and power to define expectations and manage performance |
| Organizational structure | Establishment of internal hierarchy and lines of authority |
| Roles and accountabilities | Assignment of roles and responsibilities for the establishment, operation, maintenance, and continual improvement of the ISMS |
| Policies, objectives, and strategy | Processes, requirements and activities developed to achieve business objectives |
| Capabilities | Company resources and knowledge (e.g., intellectual property, capital, time, people, processes, systems and technologies) |
| Internal stakeholders | Management of perceptions, values and relationships with interested/invested parties |
| Organizational culture | Company values, mission statement, and employee perceptions |
| Information management | Information systems, information flows and decision-making processes (both formal and informal) |
| Contractual relationships | Requirements established with third parties |

# External Context

<Company Name> established the external context through consideration of the local, regional, national, and international factors below:

| **External Factors** | **Description** |
| --- | --- |
| Social | The communities and customs of the environment with which <Company Name> operates |
| Cultural | The shared beliefs and values of the environment with which <Company Name> operates |
| Political | The governmental system(s) and practices of the environment with which <Company Name> operates |
| Legal, regulatory, and compliance | Laws, regulations, and compliance standards that may impact <Company Name>’s objectives:   * 23 NYCRR 500 (NYCS) * Americans with Disabilities Act (ADA) * California Department of Insurance Code (CIC) * California SB 1121 Consumer Privacy Act of 2018 (CCPA) * California SB 1386 Security of Non-encrypted Customer Information of 2003 (State of California) and progeny * CAN-SPAM Act of 2003 Computer Fraud and Abuse Act (CFAA) of 1986 (FTC – Federal Trade Commission) * Electronic Signatures in Global and National Commerce Act (E-SIGN) (Public Law 106-229) * General Data Protection Regulation (GDPR) * Gramm-Leach-Bliley Financial Modernization Act of 1999 (GLBA) * Health Insurance Portability and Accountability Act (HIPAA) * ISO/IEC 27001 and 27701 Frameworks * New York State Information Security Breach and Notification Act of 2005 * PCI Data Security Standard * The Californian Online Privacy Protection Act of 2004 (CalOPPA) * Uniform Electronic Transactions Act (UETA) |
| Financial | Allocation, management, acquisition and investment of resources in <Company Name> |
| Technological | Changes in the mechanisms, processes, communications and systems used in the environment with which <Company Name> operates |
| Economic | The conditions of the production, distribution, and consumption of goods of the environment with which <Company Name> operates |
| Natural | The physical environment and landscape of the environment with which <Company Name> operates |
| Competitive | The impact made by other companies that perform similar services |
| Key drivers and trends | Changes in the market that have an impact on <Company Name>’s objectives |
| External stakeholders | Perceptions, values relationships with key external interested parties |
| Contractual relationships | Requirements established with third parties |

# Appendix B – Interested Parties and Their Requirements

<Company Name> defines the ISMS key interested parties and their requirements as:

| **Interested Party** | **Type** | **Requirements** |
| --- | --- | --- |
| Customers | External | Protection of customer information (confidentiality, integrity, availability, and privacy) and compliance with contractual agreements |
| Regulators | External | Compliance with regulations and other applicable privacy laws |
| Business Partners and Stakeholders | Internal | Protection of <Company Name>’s reputation, meeting customer expectations, and continuous generation of revenue |
| Employees | Internal | Information security training and awareness that can help employees align their daily operations with <Company Name>’s information security goals and objectives. |
| Auditors | Internal & External | Compliance with certification framework requirements |
| Management & Board of Directors | Internal | Protection of customer information (confidentiality, integrity, availability, and privacy) and compliance with contractual agreements and external regulations.  Integrity of financial reporting. |

# Appendix C – Interfaces and Dependencies

The interfaces and dependencies between activities performed by <Company Name> and other organizations are listed below and are considered while determining the scope of ISMS. The organizations listed below are critical to <Company Name>’s operations. However, since the company does not have direct control over these organizations, inherent risks are reduced via a signed contractual agreement which complies with <Company Name> standards.

| **Other Organizations** | **Description of the Interfaces and Dependencies** |
| --- | --- |
| Salesforce (“SFDC”) | Responsible for Availability of hosting platform required for managing customer relationships, sales opportunities, market access, financial accounting, reporting, business processes, and policy and benefits administration. Physical and Environmental Security, Secure Data Deletion and Device Disposal are the responsibility of Applied. |
| Google Suite (“G Suite”) | Availability of email, office tools, and identity and authentication platform. Physical and Environmental Security, Secure Data Deletion and Device Disposal are the responsibility of Microsoft. |
| Zoom | Cloud-based communications |
| ZeroTier | Network management and monitoring |
| Sophos | Centralized endpoint threat detection and monitoring, and managed threat response, for malware |
| Customers | Responsible for securing their own email and account credentials |

# Appendix D – Assets

Below is a detailed description of the all assets in-scope for the ISMS:

| **Asset Category** | **Asset Name** | **Description** | **Location(s)** |
| --- | --- | --- | --- |
| Information assets | System infrastructure | System infrastructure / Data Centers / Cloud Infrastructure | <SITE NAME> |
| Information assets | Customer data | Data stored by <Company Name> customers | <SITE NAME> |
| Information assets | User and organization information | User information of <Company Name> employees asnd customers | <SITE NAME> |
| Information assets | Intellectual property | Source code and company intellectual property | <SITE NAME> |
| Information assets | Operational / support procedures / system documentation | Documents that detail the operations of the ISMS | <SITE NAME> |
| Information assets | Task management system (Clubhouse) | Task management system utilized to centrally track, maintain, and manage internal requests (e.g., access requests) and change management activities | <SITE NAME> |
| Information assets | Microsoft VPN | Access to Microsoft services | <SITE NAME> |
| Application assets | Application website | Website used for customers to access <Company Name>’s service | <SITE NAME> |
| Database assets | Epic Database | <E.g., Contains PII> | <SITE NAME> |
| Database assets | SQL Databases | <E.g., Contains public information> |  |
| Cloud service assets | AWS | Cloud infrastructure |  |
| Personnel assets | InfoSec & IT | Personnel that are responsible for system and network infrastructure. Personnel that are responsible for cloud infrastructure. Personnel that are responsible for overseeing the security of laptops, interface with and respond to internal staff and interested third parties regarding security questions, and manages compliance. | <SITE NAME> |
| Personnel assets | Development | Personnel that are responsible for application development, bug fixes, and code management. Personnel that are responsible for overseeing the certification of code changes. Personnel that are responsible for implementing code and infrastructure changes sand manage parts of the production application stack. | <SITE NAME> |
| Personnel assets | Human Resources | Personnel that are responsible for HR policies, practices, and processes with a focus on key HR department delivery areas (e.g., talent acquisition, employee retention, compensation, employee benefits, performance management, employee relations, and training and development. | <SITE NAME> |
| Personnel assets | Legal |  | <SITE NAME> |
| Personnel assets | Finance |  | <SITE NAME> |