<Agency name>:

ICT Operations Assurance plan

Year

Version number

Date

Document control

Revision history

| Version | Date | Author | Description of changes |
| --- | --- | --- | --- |
| 1.0 |  |  |  |

Reviewer list

<Include all reviewers of the assurance plan.>

| Name | Title | Business group |
| --- | --- | --- |
|  |  |  |

Document approval

The assurance plan is endorsed by:

|  |  |  |  |
| --- | --- | --- | --- |
| <Signature> | <insert Chief Information Officer name> | Date |  |
| <Signature> | <insert Head of Internal Audit name> | Date |  |
| <Signature> | <insert appropriate ICT governance body name> | Date |  |

Chief Executive

I have reviewed the assurance plan and confirm that it is fit-for-purpose based on my understanding of ICT risks and their potential impacts on business outcomes.

|  |  |  |  |
| --- | --- | --- | --- |
| <Signature> | <insert Chief Executive name> | Date |  |

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# Context

## Objectives and outcomes

<Outline the key objectives, outcomes, benefits and success criteria of the assurance plan e.g. how will the plan provide confidence to your Chief Executive that ICT risks are effectively managed in order to achieve business outcomes.>

## Key risks

<Describe the top ICT risks for your agency. Alternatively, provide a copy of your ICT risk register as an appendix to the assurance plan.>

|  |  |  |  |
| --- | --- | --- | --- |
| Risk ID | Risk description/potential impact | Inherent risk rating | Risk mitigation plan |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Referenced documents

|  |  |
| --- | --- |
| Document | Version |
| <Include all reference documents which should be read in conjunction with the assurance plan> |  |
|  |  |

# Assurance plan overview

## Scope and approach

<Describe the scope and approach to developing the assurance plan, including consultation with key stakeholders.

It is expected that the assurance plan will cover assurance activities for the next financial year and will be updated on annual basis before the start of each financial year. Note the date the assurance plan will be next reviewed and updated.>

## Lessons learned

<Outline any specific lessons learned that have been incorporated into the assurance approach e.g. from prior year activities, other assurance activities or system level lessons learned applicable to your agency and its ICT environment.>

## Decisions and assumptions

<Describe any decisions, assumptions and trade-offs made in developing the assurance plan. This may include acceptance of a lower level of assurance due to resourcing constraints, other factors, etc. If there are any gaps in assurance, provide details of how these will be closed, including a timetable.>

## Budget

<Include the estimated cost of carrying out the planned assurance activities and how this will be funded.>

# Detailed assurance plan

## Independent assurance

<Include internal audit reviews; third party assurance reviews; and annual external audit>

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| # | Activity | Key risk | Audience | Timing | Provider | Owner |
| 1 | <Insert assurance activity/purpose> | <Insert the key risk addressed by the assurance activity> | <Insert intended audience of the assurance activity> | <Insert indicative due date or frequency of the assurance activity> | <Insert name of assurance provider> | <Insert who will be accountable for the assurance activity> |
| 2 |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |

## Governance and oversight

< Include regular governance and oversight activities e.g. ICT governance meetings, executive reporting, Audit and Risk Committee oversight; regular reporting to ICT Leadership team; and risk reviews performed by an internal Security and Risk function

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| # | Activity | Key risk | Audience | Timing | Provider | Owner |
| 1 | <Insert assurance activity/purpose> | <Insert the key risk addressed by the assurance activity> | <Insert intended audience of the assurance activity> | <Insert indicative due date or frequency of the assurance activity> | <Insert name of assurance provider> | <Insert who will be accountable for the assurance activity> |
| 2 |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |

# Assurance roles and responsibilities

## Governance structure

<Include a diagram of the governance structure for overseeing the overall direction of ICT and ensuring that ICT risks are effectively managed.>

## Assurance roles and responsibilities

<Describe assurance roles and responsibilities. For example:

* Who will be responsible for ensuring that ICT risks are managed and owned at the right level within the agency?
* Who will be responsible for monitoring and reporting top ICT risks?
* Who will review and approve the assurance plan and other key assurance artefacts (e.g. terms of reference and reports for independent assurance reviews)?
* How will progress against the assurance plan be monitored?
* How will the status of issues raised in assurance reports be tracked and reported at the governance level?>

|  |  |
| --- | --- |
| Role | Assurance responsibilities |
| <Chief Executive> |  |
| <ICT governance body> |  |
| <ICT Leadership team> |  |
|  |  |