<Agency name>:

ICT Operations Assurance

Terms of reference

<Review name>

Version number

Date

Document control

Revision history

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

Distribution list

<Include all reviewers of the terms of reference.>

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

Document approval

I have reviewed the terms of reference and confirm that is fit-for-purpose based on my understanding of the objectives of the review.

|  |  |  |  |
| --- | --- | --- | --- |
| <Signature> | <insert name of the senior person sponsoring the review e.g. Chief Information Officer, relevant Business Owner or Head of Internal Audit> | Date |  |

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# Background

<Provide any relevant background information, including:

* Any specific risks or issues that have prompted the review
* Any specific areas of concern identified by the sponsor or other key stakeholders
* Any key decisions supported by the review.>

# Objectives

<Clearly state the objectives of the review. Ensure that they are focused, unambiguous and pertinent to the review. For example:

* Are the objectives framed around specific risks or issues and how will the review assess their impact on business outcomes?
* What areas of concern have been raised by the sponsor and other key stakeholders and how will these be answered by the review?
* What level of confidence is required to support key decisions and how will the review assess this?>

# Scope

<Clearly state what areas are within the scope of the review and what areas are deemed to be out of scope. Any areas out of scope should be caveated by a statement that allows the Lead Reviewer to identify any areas during the course of the review that may impact on the specific objectives of the review.>

#  Approach

<Describe the approach to the review, including any relevant methodologies that will be used, a list of people expected to be interviewed as well as any documents expected to be made available to the review team.>

# Review team

<Describe the skills and experience of the Lead Reviewer and/or review team relevant to the review. For example, what is their background and practical experience in any relevant methodologies?

Describe any expectation of specific roles and responsibilities to be owned by the agency to enable the review team to carry out their work and provide the agreed deliverables.>

# Deliverables

<Clearly state the deliverables from the review. For example:

* Is the factual accuracy checking process clearly described?
* What is the expected output from the review e.g. risk assessment, capability assessment, assessment based on design and/or operating effectiveness of controls?
* How will recommendations be prioritised, including assigning owners and due dates?
* How will key findings and recommendations be summarised for key stakeholders e.g. executive summary?
* Who will receive copies of the final report?>

# Timetable

<State the key dates for the review, including:

* Start/end dates date for fieldwork
* Draft assurance report issued (e.g. within five business days of fieldwork being completed)
* Management responses (e.g. within ten business days of the agency receiving the draft assurance report)
* Final assurance report issued (e.g. within five business days of management responses being received from the agency.>

# Estimated charges

<Provide a breakdown of the estimated charges, including the planned number of hours for each review team member. As a minimum, this must include the Lead Reviewer and any other named resources. Any assumptions used in arriving at the estimated charges must be clearly stated.>

# Conflicts of interest

<Any conflicts of interest and how they are to be managed should be clearly stated.

All parties need to be aware of potential conflicts of interest both real and perceived. Independence and objectivity are critical to the delivery of assurance services to provide robust challenge. Examples of conflicts of interest include:

* Personal relationships between agency and provider personnel
* Performing an assurance review where the provider has or is currently providing design or implementation services for the processes or controls under review
* Fixing issues identified during the course of an assurance review.>