|  Review Name: |  |
| --- | --- |
| ToR Version Number: |  | ToR Date: |  |
| Reviewer Name: |  | Review Date: |   |
| # | Question | Y/N | Feedback |
| 1 | Are the objectives of the review clearly defined?*Consider the extent to which the objectives 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?*
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| 2 | Does the review 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.* |  |  |
| 3 | Are the approach and any methodologies for the review clearly described?  |  |  |
| 4 | Are key members of the review team identified? *Consider the particular skills and experience you want in a Lead Reviewer and/or review team and ensure that they have the requisite subject matter knowledge and expertise for the review. For example, do they have experience in any relevant methodologies?* |  |  |
| 5 | Are the deliverables of the review clearly defined? *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 identifying action owners and due dates?*
* *How will major findings and recommendations be summarised for key stakeholders e.g. Executive Summary?*
* *Who will receive copies of the final report?*
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| 6 | Are the key dates for the review clearly stated?*For example:** *Start/end dates for fieldwork*
* *Draft assurance report (e.g. within five business days of end of fieldwork)*
* *Management responses received (e.g. within ten business days of draft assurance report)*
* *Final report issued (e.g. within five business days of management responses).*
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| 7 | Are conflicts of interest identified and how they managed clearly described?*For example:* * *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 process or controls under review*
* *Fixing issues identified during the course of an assurance review.*
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| 8 | Have the terms of reference been approved at the appropriate level within the organisation?*The terms of reference should be approved by the appropriate senior person sponsoring the review e.g. Chief Information Officer, relevant Business Owner or Head of Internal Audit* |  |  |