**Independent Assessor Review Report (IARR) checklist**

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| **Purpose of this document** :  This checklist is a guide that has been developed to enable organisations that have received their IARR to comprehensively review and question the findings, before signing off the document. This document can be used in the place of an existing quality assurance report. It is not mandatory to use this checklist, it is provided to support organisations undertaking GovAssure. If your organisation already has a preferred quality assurance approach then that can be used as the primary process.  **Who this document is for :**  This document is for organisations undertaking Independent Assurance Reviews as part of the GovAssure process, once they have received their IARR.  **How to use this document :**  ● Consider each of the items under ‘Actions’  ● Populate the 'Complete’ column once the section has been completed comprehensively.  ● Use the ‘Comments/Issues’ column if there is feedback for GSG.  **Prerequisite actions:**  ● Contact your Independent Assessor either during or after the IARR has been written, to understand how the report has been framed and where there may be any obvious divergences of opinion. | | |
| **Actions** | **Complete** | **Comments/ Issues** |
| **Initial actions** | | |
| 1. Inform the GSG Cyber Advisors that you have received the draft IARR, via the GSG GovAssure mailbox (cybergovassure@cabinetoffice.gov.uk) |  |  |
| 2. Review the IARR before it is shared with stakeholders and address with the Independent Assessor any immediate issues or changes that need to be made. |  |  |
| 3. Identify the stakeholders that you need to review the IARR. |  |  |
| 4. Devise appropriate timescale of when you would like the stakeholders to return their comments to you. |  |  |
| 5. Decide whether the IARR can be shared in full with the same service owners, or does it need to be divided into systems and/or cleaned first? |  |  |

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| 6. Consider whether you want to prioritise the findings before sharing them with stakeholders? |  |  |
| **Considerations when reviewing the IARR** | | |
| **Part A: Background and scope** |  |  |
| 1. Are the systems highlighted in the Introduction correct? And do they have the correct profiles (Baseline or Enhanced) mentioned? |  |  |
| **Part B: Executive Summary** |  |  |
| 1. Does the Executive Summary provide a high-level overview of the key issues? Will this be able to be reused easily for other reports? |  |  |
| 2. Is the ‘CAF Objective and Principle View’ dashboard dial view accurate? Are there any surprises, given your discussions with the Independent Assessor? |  |  |
| 3. Divide the ‘Summary of Recommendations’ table by System/Objective/Principle/Theme and provide to the appropriate stakeholder for review and comment |  |  |
| a. Do the summarised recommendations take into account any previously identified and flagged programmes of work planned or in progress? |  |  |
| b. Are there any summarised recommendations that are too vague? If so, flag with the Independent Assessor to address. |  |  |
| c. Is there any duplication in findings? If so, flag with the Independent Assessor to address. |  |  |
| d. Do any of the summarised recommendations incorrectly identify issues? If so, flag with the Independent Assessor to address. |  |  |
| 4. Is the ‘Summary of Contributing Outcomes and Target Government CAF Profile Achievement’ accurate? Are any of the outcomes a surprise? |  |  |
| 5. If applicable: Have the Contributing Outcomes outside scope been appropriately flagged? |  |  |
| **Part C: Detailed System Findings** |  |  |
| 1. Does the ‘Introduction’ in the system summary accurately describe the system assessed? |  |  |
| 2. Is the ‘Target Government CAF Profile’ correct? If not, flag with the Independent Assessor to address. |  |  |
| 3. Are the ‘Summary of Themes’ reflective of the associated dial? If not, flag with the Independent Assessor to address. |  |  |
| 4. Review the detailed system findings for each of the CAF Objectives |  |  |
| a. Does the radargram reflect what has been commented on already in the IARR? If not, flag with the Independent Assessor to address. |  |  |
| b. Does the summary for each of the Contributing Outcomes, take into account any previously identified and flagged programmes of work planned or in progress? If not, flag with the Independent Assessor to address. |  |  |
| c. Is the summary for each of the Contributing Outcomes fair and does it reflect what has already been commented on in the IARR? If not, flag with the Independent Assessor to address. |  |  |
| d. Review the Contributing Outcome achievement status |  |  |
| i. Is the ‘Self-assessment’ status correct? If not, flag with the Independent Assessor to address. |  |  |
| ii. Have the correct ‘Non-compliance IGPs’ been recorded? If not, flag with the Independent Assessor to address. |  |  |
| iii. Is the ‘Profile met’ status correct? If not, flag with the Independent Assessor to address. |  |  |
| 5. Divide the ‘Detailed observations and recommendations' table by  Objective/Principle/Theme and provide to the appropriate stakeholder for review and comment |  |  |
| a. Are the detailed observations reflective of your self-assessment commentary, evidence and any additional context provided to the Independent Assessor? |  |  |
| b. Are the risks assigned appropriate? If not, flag with the Independent Assessor to address. |  |  |
| c. Do the detailed observations and recommendations take into account any previously identified and flagged programmes of work planned or in progress? If not, flag with the Independent Assessor to address. |  |  |
| d. Are there any recommendations that are too vague? If so, flag with the Independent Assessor to address. |  |  |
| e. Is there any duplication in the recommendations? If so, flag with the Independent Assessor to address. |  |  |
| f. Do any of the recommendations incorrectly identify issues? If so, flag with the Independent Assessor to address. |  |  |
| g. Do the recommendations provide value? |  |  |
| **Part D: Appendices** |  |  |
| 1. Does Appendix A accurately reflect how you completed the self-assessment? If not, flag with the Independent Assessor to address. |  |  |
| 2. Does Appendix B accurately reflect the scope of work undertaken? If not, flag with the Independent Assessor to address. |  |  |
| a. Has the ‘Essential System’ been recorded accurately? If not, flag with the Independent Assessor to address. |  |  |
| b. Has the ‘Core IT Infrastructure underpinning the service’ been recorded accurately? If not, flag with the Independent Assessor to address. |  |  |
| c. Has the ‘Breakdown of backend systems/ applications’ been recorded accurately? If not, flag with the Independent Assessor to address. |  |  |
| d. Has the ‘In scope’ column been recorded accurately? If not, flag with the Independent Assessor to address. |  |  |
| 3. Does Appendix C accurately reflect which staff were interviewed and the evidence that has been reviewed? If not, flag with the Independent Assessor to address. |  |  |
| **Sign off actions** |  |  |
| 1. Identify your clearance path for approval, or escalation path for resolving issues if necessary. |  |  |
| 2. Engage the appropriate stakeholder(s) and give them a timeline for final review and sign off. |  |  |
| 3. Inform the GSG Cyber Advisors that the IARR has been signed-off and send them a copy via the GSG GovAssure mailbox (cybergovassure@cabinetoffice.gov.uk) |  |  |