

# Digital & ICT Investment Assurance Plan

## Guidance on this template (V2.3)

Before completing an Assurance Plan in this template, agencies are required to first confirm the tier rating of their investment with the DTA during Stage 3 (Contestability) of the Digital and ICT Investment Oversight Framework ([Investment Oversight Framework](#)). To confirm the investment tier, or to request the latest copy of this template, email [investment@dta.gov.au](mailto:investment@dta.gov.au).

This is version 2.3 of the Digital Transformation Agency (the DTA) Assurance Plan template. This template is specific to tier 2 digital/ICT investments, as determined by the DTA. Agencies with a tier 2 investment need to complete an Assurance Plan in this template and submit to the DTA for review and agreement prior to the proposed investment going forward for Australian Government consideration. This Assurance Plan template supports agencies in adhering to the [Assurance Framework](#) and its requirements. As required, the DTA can provide a sample Assurance Plan to assist with the completion of this template.

Once completed, please ensure the document security marking is updated to reflect the contents of this plan (the template is marked as OFFICIAL).

For information on the stages of the Investment Oversight Framework and the requirements of the Assurance Framework please visit [www.dta.gov.au](http://www.dta.gov.au) and click on **Digital and ICT Investments**.

## Assurance Plan review frequency

Under the Assurance Framework, Assurance Plans for tier 2 investments must be reviewed and updated at least every **12 months**. Updated Assurance Plans must be endorsed by the DTA and the primary governance committee for the relevant digital investment. Ensure the '*Next scheduled review date*' reflects this requirement.

### A review of the Assurance Plan should generally be undertaken earlier if any of the following conditions are met:

- The Senior Responsible Officer (SRO) declares a drop in the delivery confidence of the initiative to Medium or lower
- The emergence of a new key risk or issue is, in the view of the SRO, sufficiently significant to trigger the need to revisit whether the current assurance arrangements remain fit-for-purpose
- There is a change in the scheduling and focus of assurance sources outside the direct control of the investment SRO and board (for example, internal audit work program released, ANAO confirms intention to audit the investment, etc.)
- The timing of key decision points is adjusted (for example, go-live decision) triggering the need to re-sequence assurance to ensure relevant and timely assurance information continues to be made available at the right moments.

### Please return completed Assurance Plan to:

[investment@dta.gov.au](mailto:investment@dta.gov.au) for Assurance Plans for new investment proposals (new Cabinet submissions)  
[portfolio.assurance@dta.gov.au](mailto:portfolio.assurance@dta.gov.au) for updated Assurance Plans of in-flight projects/programs.

Assurance Plan details			
Project/Investment name		National Firearms Register	
Budget measure name			
Lead agency name		ACIC on behalf of Attorney-General's Department	
Primary Governance committee		NFR Partner Implementation Program Board	
Key contact details			
Agency coordinator name and title		s 22	
Agency coordinator phone number		s 22	
Agency coordinator email address		s 22 @acic.gov.au	
Alternate contact email address (ideally a general inbox)			
Senior Responsible Officer (SRO) name		Jeremy Johnson	
SRO classification level and position title		Executive Director Business and Partnerships	
SRO phone number		+61 2 6268 7264	
SRO email		Jeremy.johnson@acic.gov.au	
Acknowledgement of Information Sharing			
<p>The DTA is building a repository of Assurance Plans to support agencies in planning for good assurance. Completed Assurance Plans will be available to be shared with other Australian Government Agencies once the investment is agreed.</p> <p>If your agency needs to opt out of this information sharing process, please send an email request through to <a href="mailto:portfolio.assurance@dtg.gov.au">portfolio.assurance@dtg.gov.au</a> with a brief explanation.</p>			
Assurance Plan approval			
Approved by SRO	SRO name	Jeremy Johnson	
	Date		
Governance committee endorsement date		Requires NFR Partner Implementation Program Board approval at next meeting.	
Next scheduled review date		12 months after initial NFR Program Implementation Board approval.	
Revision history			
Version	Date	Author	Description
v.0.1	28/03/2024	s 22, NFR Project Manager.	Initial exposure draft
v.0.2	14/06/2024	s 22, NFR Project Manager.	Update with feedback
v.0.3	06/08/2024	s 22, NFR Project Manager.	Update after program 'go-live'

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# 1. Investment overview

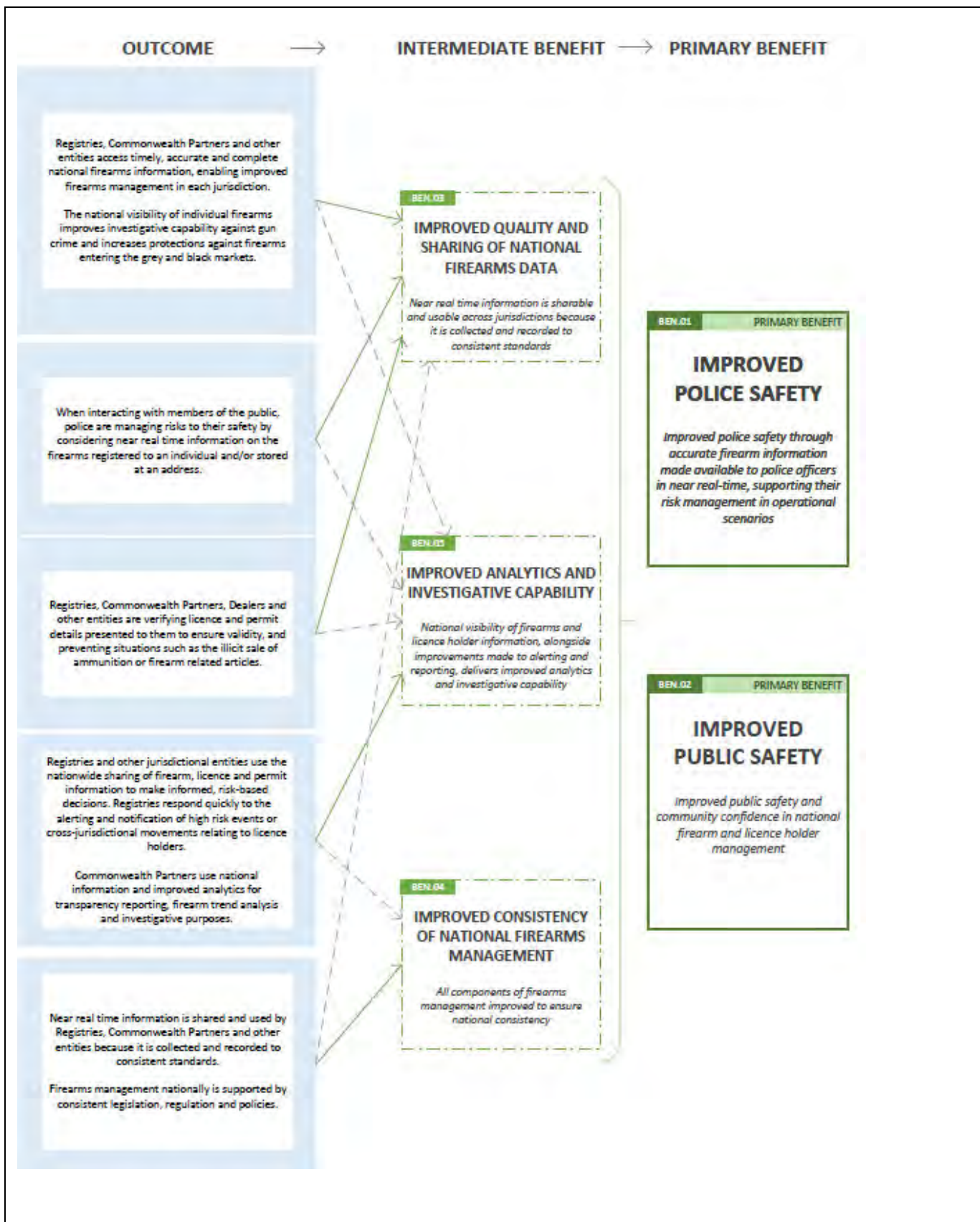
## 1.1 High level overview

<p><b>Overview</b> <i>Please provide a brief overview of the proposed investment</i></p>	<p>This proposal seeks s 47C [REDACTED] to fund the implementation of the National Firearms Register (the Register), as agreed by National Cabinet on 6 December 2023. The Register will be a federated system that aggregates and shares information from existing Commonwealth and state and territory firearm registries and systems to improve police and community safety. The Register and associated reform will:</p> <ul style="list-style-type: none"> <li>allow law enforcement to know, in near real time, where firearms are, who owns them and what other risks to the community and police may exist</li> <li>reduce illicit diversion and manufacturing</li> <li>improve compliance and enforcement functions, and</li> <li>connect this information with other relevant police intelligence and information systems.</li> </ul> <p>s 47C [REDACTED]</p> <p>[REDACTED] Commonwealth contribution to states and territories will support data remediation, changes to business practices, legislation and regulations, and integration with the central NFR.</p> <p>This will be the most significant improvement to Australia's firearms management since 1996. Currently, we do not have an accurate picture of firearms, firearms owners and associated risks across Australia. This vulnerability was highlighted by the tragic shooting in Wieambilla in December 2022. The NFR will address key vulnerabilities by delivering accurate, near-real time information sharing to support community and police safety.</p>	
<p><b>At the time of preparing the first assurance plan, was this</b> <i>Please tick one option and provide details if required</i></p>	<p><input checked="" type="checkbox"/> <b>A new investment</b></p> <p><input type="checkbox"/> <b>A new phase or tranche of an existing project/program</b> Please provide details: <i>e.g., this is phase 2 of the purple laptop project.</i></p> <p><input type="checkbox"/> <b>Other</b> Please provide details:</p>	
<p><b>Has this investment been known by any other name?</b></p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please provide details: <i>e.g., this project was previously known as the blue laptop project</i></p>	
	<p><b>Original</b> <i>Record the original budget or date in this column</i></p>	<p><b>Current</b> <i>When updating the plan, enter the latest budget or date here</i></p>
<p><b>Total budget</b> <i>Enter total estimated or confirmed total budget here</i></p>	<p>s 47C [REDACTED]</p>	
<p><b>Digital/ICT component of budget</b> <i>(if available)</i></p>	<p>The proposal includes specific requested funding of digital and ICT-related costs s 47C [REDACTED]</p> <p>The proposal also includes the Commonwealth contribution s 47C [REDACTED]</p>	

	<div>s 47C</div> <div>towards the total estimated cost</div> <div>of state and territory reform o</div> <div>s 47C</div> <div>s 47C</div> <div>to be delivered through the</div> <div>Federation Funding Agreement (FFA)</div> <div>Framework to fund the reform and uplift</div> <div>of their firearm registries (inc dealer</div> <div>portals), data holdings, legislation and</div> <div>business practices.</div>	
Expected commencement date	07/2024	
Expected end date	06/2028	

## 1.2 Expected outcomes and benefits from investment

In the box below, set out the primary outcomes and top-level benefits this investment is expected to realise. Top-level benefits are the highest priority benefits that capture the intent of the investment and will provide the clearest evidence that the investment has achieved its expected outcomes.





### 1.3 Governance arrangements

Governance arrangements provide a framework of authority and accountability within a project. Good governance can help to reduce ambiguity between advisory functions, decision-making functions and stakeholder functions.

In Table 1 below, please document the governance bodies responsible for the delivery of this investment focusing on how these governance arrangements will ensure agreed assurance is being applied and resulting recommendations are actively monitored, reported on, and escalated if agreed timeframes are not met. Please ensure each governance body is represented in a new row to ensure their individual roles and responsibilities are accurately captured.

Assurance plans for tier 2 investments must also identify the governance committee which the DTA representative will attend, if requested.

Table 1: Governance arrangements

Name	Role	Frequency
<b>NFR Steering Committee</b>	<p>The NFR Steering Committee is the main driving force behind the overall stewardship of the program, safeguarding the investment made in the initiative, aligning the program with the agreed policy outcomes, and providing top-level endorsement of the rationale and objectives of the program.</p> <p>Responsibilities</p> <ul style="list-style-type: none"> <li>• Overarching authority over the program, which is delegated to the SRO (including: appointing; advising and supporting the SRO)</li> <li>• Providing clear leadership on the assessment of strategic and operational direction</li> <li>• Championing the program to ensure that expected benefits are realised</li> <li>• Championing clear and ongoing appropriate engagement with key stakeholders</li> <li>• Ensuring the ongoing overall alignment of the program and partner projects with the Government's policy outcomes and expectations</li> <li>• Authorising continuation of the program at each key decision point</li> <li>• Establishing and overseeing the assurance framework for the program and monitoring key strategic risks</li> <li>• Reporting program progress and performance through the Senior Officers Group to the Police Ministers Council</li> <li>• Securing funding and authorising/releasing funding of project milestones</li> <li>• Ensuring successful delivery of outcomes and benefits</li> </ul>	<p>The NFR Steering Committee will meet at least quarterly. Membership will include representatives from each of the State, Territory and Commonwealth partner agencies.</p>

Name	Role	Frequency
	<ul style="list-style-type: none"> <li>Setting the priorities for the Project Board</li> </ul>	
<b>NFR Partner Implementation Program Board (PIPB)</b>	<p>The PIPB is the Program Board for the NFR Implementation Program. In this capacity, the PIPB is responsible for aligning partner agencies with the objectives of NFR as a national capability. The Board oversees and orchestrates the alignment and delivery of Commonwealth and police partner agency projects to achieve national outcomes and benefits as described by the approved NFR Investment Logic Map. The PIPB provides a forum for partners to share their perspectives on the collaboration, coordination and support required for the delivery of NFR outputs, outcomes and benefits.</p> <p>Responsibilities</p> <ul style="list-style-type: none"> <li>a) providing strategic direction to the Program Manager and the program team.</li> <li>b) monitoring the progress of the Program ensuring the delivery of benefits.</li> <li>c) overseeing partner implementation projects, including monitoring of progress against schedule and scope, resolving issues and risks, and adjusting approach as required within their own agency.</li> <li>d) endorsing/approving key deliverables, including recognising NFR Implementation Program and partner program's/project's milestone achievement.</li> <li>e) ensuring partners adopt a nationally consistent approach to product delivery and business adoption, which achieves the objectives and benefits of the NFR.</li> <li>f) overseeing partner agency conformance with the agreed standards, dependencies and obligations under the NFR Implementation Program.</li> <li>g) prioritising resources and commitment within partner agencies to resolve issues and to successfully implement NFR in support of the NFR ISC who is accountable for the successful delivery of the NFR Implementation Program.</li> <li>h) identifying and monitoring risks, coordinating and resolving issues related to individual partner projects and/or dependencies across multiple partner projects.</li> <li>i) acting on the directions and recommendations of the NFR ISC.</li> <li>j) where necessary, escalating decisions for issue and risk resolution to the NFR ISC.</li> <li>k) commissioning independent assurance and compliance of the NFR Implementation Program, and the</li> </ul>	<p>The PIPB will meet as required and at least every two months and as necessary. The membership of the PIPB will be determined in conjunction with the SRO and Deputy SRO.</p>



Name	Role	Frequency
	<p>partner projects within, and responding to any recommendations.</p> <p>Important Note: While individual partner program/project financial performance reporting may be included within PIPB reporting, Federation Funding Agreement reporting and discussions will be reserved for the NFR ISC.</p>	
<p><b>NFR Portfolio Coordination Committee</b></p>	<p>The PCC will facilitate ongoing alignment between the policy lead agency (AGD) and the delivery lead agency (ACIC) with the national implementation of the NFR; and that issues and risks that may affect the delivery of the NFR are being managed and escalated appropriately.</p> <p>To do this the PCC will do the following:</p> <p><b>Monitoring</b></p> <p>The PCC is responsible for monitoring:</p> <ul style="list-style-type: none"> <li>• delivery and performance against agreed schedule and scope;</li> <li>• key risks and issues that will impede delivery or sustainment services of NFR and the effectiveness of their treatment or resolution;</li> <li>• resourcing levels and any shortfalls effecting the Streams; and</li> <li>• alignment of the program deliverables to the outcomes agreed by National Cabinet and their functionality and usability.</li> </ul> <p><b>Executive Reporting</b></p> <p>The PCC will inform the NFR ISC and PIPB on:</p> <ul style="list-style-type: none"> <li>• progress and performance of the Streams;</li> <li>• any risks and issues requiring escalation to the NFR ISC or PIPB; and</li> <li>• any anticipated changes to delivery.</li> </ul> <p><b>Collaboration</b></p> <p>The PCC will provide a platform for discussion topics to be raised, discussed and resolved between the ACIC and AGD.</p>	<p>The PCC shall meet on a monthly basis.</p>
<p><b>Commonwealth, State and Territory NFR programs/projects</b></p>	<p>Each Commonwealth, State and Territory Program/Project will be responsible for their own governance and assurance activities through their respective Program/Project Boards; accountable through their respective governance structures within their organisations in accordance with P3M and to the NFR Program as a whole.</p>	<p>Monthly</p>

## 1.4 Governance structure chart

It may be beneficial to include a chart that outlines the governance structure, with clear reporting lines and interrelationships.

The Commonwealth has worked with jurisdictions to design a Governance Structure which provides the necessary arrangements to ensure progress and accountability.

- At the ministerial level, the Police Ministers Council will be the responsible ministerial body overseeing the project, reporting to National Cabinet when requested.
- At the senior officials' level, a Steering Group will be established, chaired by the Deputy Secretary of the Attorney-General's Department.
- At the program management level, the ACIC will lead the delivery of technical and business changes.
- Existing forums such as the Firearms and Weapons Policy Working Group (FWPWG) and Registry Managers Group (RMG) will provide input where necessary.

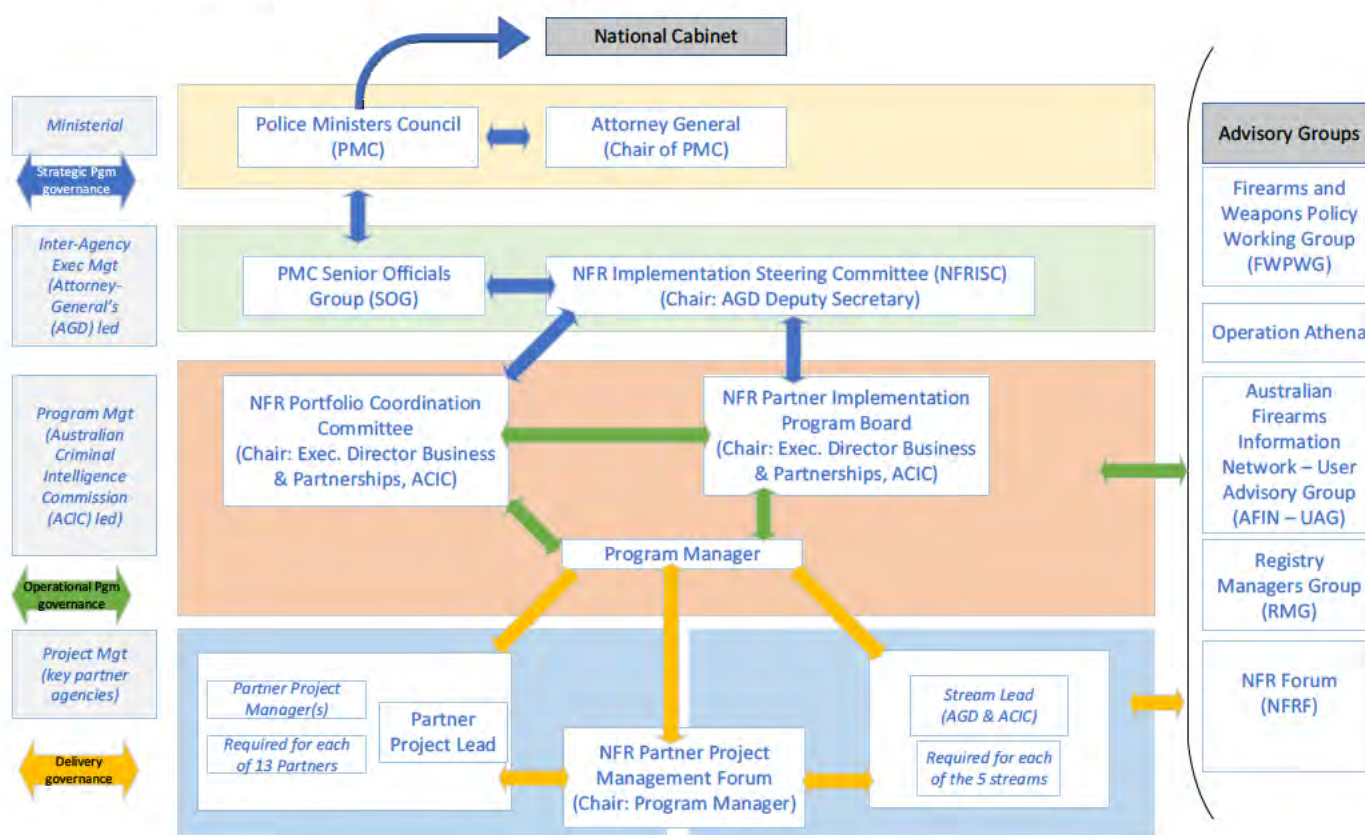


Figure 1: NFR Governance Structure chart

## 2. Assurance approach

The DTA is responsible for providing Ministers and other key stakeholders with confidence that assurance is being applied effectively to support the successful delivery of digital and ICT investments. This section ensures agencies have applied the Key Principles for Good Assurance, have considered lessons learned from similar investments, and ensured their key risks are mapped to assurance activities.

### 2.1 Alignment to the Key Principles for Good Assurance

In Table 2 below, provide an overview of the approach to assurance that includes an outline of how the Key Principles for Good Assurance have been considered in planning assurance activities and how the principles will be applied throughout the delivery of the investment.

The DTA will assess tier 2 Assurance Plans against minimum requirements and the effective application of the **5 Key Principles for Good Assurance** set out in the [Assurance Framework](#). Section 2.1 in this plan should outline how the assurance activities listed in section 3.1 align with these principles.

#### Minimum requirements

Assurance plans for tier 2 investments must:

- detail how terms of reference materials for external assurance activities will be shared with, and agreed to by, the DTA
- outline how approach to market materials for independent assurance providers/services will be shared with, and agreed to by, the DTA
- include a commitment to review and update the Assurance Plan through the DTA and governance committee every **12 months** (or as otherwise stated in the Assurance Plan)
- include a commitment to provide the DTA with all final assurance reports for oversight purposes (noting that Gateway Review reports will be handled in accordance with agreed protocols)
- outline how governance bodies are to receive regular reporting on the progress of agreed assurance recommendations during implementation
- include a commitment to, and outline the process to, advise the DTA where there has been a material variation from any planned assurance arrangements.



Table 2: Alignment with the Key Principles for Good Assurance

Key Principle	How is the key principle considered/applied. (Consider the following): <i>Please delete this guidance text and populate the table with responses relevant to your initiative.</i>
Plan for assurance	<ul style="list-style-type: none"> <li>The agency has adopted a sound assurance framework that incorporates many features consistent with the Australian Government's Assurance Framework for Digital and ICT Investments.</li> <li>The NFR Program Assurance Plan will be reviewed and updated every 12 months and as required. This plan and its updates will be reviewed with the DTA.</li> <li>Planning is informed by experience and clear roles and responsibilities for assurance are in place within the Program Governance and Assurance Structure.</li> <li>The SRO and Program Board will actively monitor and engage with assurance planning and outcomes.</li> <li>The SRO and Program Board are open and responsive to improvement suggestions, and program delivery assurance is embedded within the program delivery framework.</li> <li>Lessons learned will be incorporated in program delivery both from an end capability design through to program delivery approach.</li> <li>Budgets across Commonwealth, State and Territory projects account for security assurance assessment activities in their overall project budgets. This includes documentation such as Statement of Applicability (SoA) and System Security Plan (SSP).</li> </ul>
Drive good decisions	<ul style="list-style-type: none"> <li>The Program will develop a comprehensive Program Management Plan and associated Schedule that will be reviewed and approved by the Program Board.</li> <li>Delivery points, milestones and key dates will be identified and reported against via standard status reporting (Monthly). This will be done through coordination of workstream activity across Commonwealth, State and Territory programs/projects, reporting to the NFR Partner Implementation Program Board and their respective individual governance structures.</li> <li>Changes in program scope are approved via the PIPB and Steering Committee, and are captured in Program Change Requests (PCRs) / Exception Report process. Where this change causes a material variation from any planned assurance arrangements, the DTA will be advised.</li> <li>The Assurance Planning components above are used to inform and guide the PIPB, Steering Committee and Assurance Bodies and their decisions in relation to the Program.</li> <li>All assurance reports are shared with appropriate governance and assurance groups through transparent program reporting (and assurance bodies report directly to the SRO). Assurance reports will be shared with DTA.</li> </ul>
Expert-led and independent	<ul style="list-style-type: none"> <li>The Program Board meets at regular intervals, and a range of assurance experts will provide independent assurance advice and guidance.</li> <li>The Program will engage independent assessors for assurance (program, technical, security, etc.). Approaches to market to procure independent assessors will be shared with DTA.</li> </ul>

Key Principle	How is the key principle considered/applied. (Consider the following): <i>Please delete this guidance text and populate the table with responses relevant to your initiative.</i>
	<ul style="list-style-type: none"> <li>In addition, Commonwealth, State and Territory programs/projects respective ICT project management Offices (PMO) will provide project oversight and review of project management processes (including those associated with risk, status, scope, financial, resourcing, schedule and delivery management). This project oversight includes receipt and review of standard project reporting elements (such as regular project status reports, board papers, budgets and Risk and Issue Logs).</li> </ul>
Culture and tone at the top	<ul style="list-style-type: none"> <li>The Program SRO will play an active role in assurance planning and will ensure appropriate assurance activities are planned as needed – setting the cultural and behavioural expectations regarding everyone's accountability to manage risk, issues, quality and delivery assurance.</li> <li>The PIPB is clearly accountable for the Program outcomes and the SRO, who sits on the Steering Committee, chairs this Board.</li> <li>Risk management, governance and assurance are all part of the Board's responsibilities. These accountabilities are reviewed and transparently reported to senior governance groups within the respective agencies to ensure the PIPB meets its responsibilities and obligations.</li> </ul>
Focus on risks and outcomes	<ul style="list-style-type: none"> <li>Assurance is forward-looking, integrated into Program planning and is mapped to risks to be outcomes-focused.</li> <li>Robust risk / control health monitoring &amp; reporting mechanisms are in place and monitored closely via standard status and program reporting mechanisms. This occurs at the Commonwealth, State and Territory programs/projects levels and is rolled up to Program level reporting on risks, outputs, outcomes and benefits.</li> <li>The Program manages risk and tracks the progress of benefit realisation through the regular reporting process. The PIPB focuses on attainment of benefits at each board, and discusses risk and issue mitigation. The Program and respective Commonwealth, State and Territory programs/projects maintains project/program registers for risks / issues / benefits etc which are extracted for the monthly reports.               <ul style="list-style-type: none"> <li>To facilitate this, the Program will have and a Program Risk Management Plan, that has been reviewed and approved by the SRO (and Program Board) and the program manager uses this (as well as the wider agency Risk Management Policy) to capture, assess, report, mitigate and manage risk within the Program. This includes reporting and risk escalation (where necessary) to the Steering Committee and Police Minister's Council for resolution. Commonwealth, State and Territory programs/projects will have their own Risk Management Plans, reportable within their own governance structures in accordance with their respective agency policies, and consolidated for reporting at the Program level.</li> </ul> </li> </ul>

## 2.2 How lessons learned have been applied

The purpose of this section is to assist in identifying opportunities to enhance chances of project success through the application of lessons learned during delivery of this investment or other similar investments. The [Department of Finance \(DoF\) website](#) contains examples of lessons learned that can be considered when completing this section. You may also contact the DTA at [portfolio.assurance@dta.gov.au](mailto:portfolio.assurance@dta.gov.au) for more guidance if required.

Please complete Table 3 below, by outlining how lessons learned from similar initiatives within your agency or industry are considered in the assurance approach proposed for this investment.

As the investment begins to deliver, continue to update this section to reflect the lessons learned throughout delivery of the current project and how assurance activities assisted with these learnings. For example, detail where an assurance activity led to the implementation of different strategies as a result of lessons learned.

**Table 3: Application of Lessons learned**

<b>Knowledge Area</b>	<b>Lesson and source</b>  <i>Outline the details of the lesson learned here. Add or delete rows as required.</i>	<b>Map to assurance activity in section 3.1</b>  <i>Outline how this lesson learned has been effectively considered and incorporated into planned assurance activities.  For active projects also outline how assurance activities have resulted in strategies being implemented as a result of the lesson learned and assurance recommendations.</i>
<b>Project scope/planning</b>	<p>The planning and initiation stages are critical to the success of the project. The focus should be on establishing strategies and plans to support best-practice management and delivery.</p> <p>Project planning and design should incorporate the entire project lifecycle, including delivery and support of the solution post go-live.</p> <p><i>BIS Lessons Learnt</i></p>	<p>Clearly defined activities will be mapped to key milestones to deliver assurance and oversight processes.</p> <p>Program planning artefacts will be drafted and reviewed to ensure coverage of entire project lifecycle, including delivery and support of the solution post go-live</p> <p>Assurance Activities 1, 2 and 3.</p>



<b>Knowledge Area</b>	<b>Lesson and source</b>  <i>Outline the details of the lesson learned here. Add or delete rows as required.</i>	<b>Map to assurance activity in section 3.1</b>  <i>Outline how this lesson learned has been effectively considered and incorporated into planned assurance activities.</i>  <i>For active projects also outline how assurance activities have resulted in strategies being implemented as a result of the lesson learned and assurance recommendations.</i>
<b>Project Capability</b>	<p>Understand and agree the appropriate roles and structure required of the project team and vendor, to inform appropriate planning and resourcing.</p> <p>Resource planning should consider the appropriate workforce mix (contractors and APS staff) to maintain critical capability and domain knowledge.</p> <p>Projects should factor in Operational Suitability Assessment (OSA) and on-boarding timeframes into resource planning.</p> <p>Project team communications should be established early in the project.</p> <p>Projects should adopt a more collaborative approach and operate as one joined-up team in order to deliver agreed project outcomes.</p> <p>Establish and agree the role of System Integrator prior to project commencement.</p> <p><i>BIS Lessons Learnt Report</i></p>	<p>Program/Project workforce roles and responsibilities were clearly documented with appropriate collaboration, communication, and protocols in place.</p> <p>Assurance Activity 1</p>
<b>Benefits Management</b>	<p>Benefits management is a critical component for projects to deliver the required benefits and outcomes. The approach, metrics, measures and ownership requires ongoing review and validation with stakeholders and benefit owners.</p> <p>Develop requirements traceability to demonstrate clear linkages between expected benefits, business requirement, system specifications, test scenarios, etc.</p> <p><i>BIS Lessons Learnt Report</i></p>	<p>Benefits will be measured routinely and be part of normal planning and reporting functions. This includes routinely searching for new, intermediate, and emerging benefits, as well as disbenefits.</p> <p>Assurance Activities 1, 2 and 3.</p>

Knowledge Area	Lesson and source <i>Outline the details of the lesson learned here. Add or delete rows as required.</i>	Map to assurance activity in section 3.1 <i>Outline how this lesson learned has been effectively considered and incorporated into planned assurance activities.  For active projects also outline how assurance activities have resulted in strategies being implemented as a result of the lesson learned and assurance recommendations.</i>
Governance	<p>The project reporting framework, including forums, frequency, tolerances, traffic light thresholds, escalation channels and processes (for the Agency, stakeholder, and vendor organisations), etc. should be clearly documented in project management and governance documents.</p> <p>Terms of Reference (TOR), including roles and responsibilities, timeframes for papers and minutes to be distributed, review and update process, etc., should be agreed by members of relevant committees prior to their establishment.</p> <p>The governance framework, including escalation channels and decision authorities (within the Agency, stakeholder, stakeholder and vendor organisations), should be clearly documented and communicated to all parties.</p> <p>Capture project decisions in a consolidated decision log and formalise them at the appropriate governance forum.</p> <p><i>BIS Lessons Learnt Report</i></p>	<p>Program governance is in place and applicable program governance artefacts are approved and provide guidance on Program Board operations.</p> <p>Program reporting provides adequate information for Program Board decisions and identification of assurance issues for decision and action.</p> <p>Assurance Activities – Embedding Assurance and Program Board Oversight</p>
Risk Management	<p>Risk and issue management is an important mitigation and control mechanism for the management of large complex projects. The approach to risk management should be clearly documented and aligned to the Agency Risk Management framework.</p> <p><i>BIS Lessons Learnt Report</i></p>	<p>Standard PMO risk register template is fit for purpose, easy to understand and aligns with standard Risk Management requirements. The document captures and tracks both risks and issues. This Risk register is to be updated on a fortnightly basis and Program/Project Status Reports identify key or emerging risks and issues, as a sub-set of the full risk register.</p> <p>Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight</p>
Records Management	<p>The Agency should develop and manage an integrated project schedule as the System Integrator (SI), providing an end to end view of Agency, vendor and stakeholder activities, dependencies, and the critical path.</p> <p>All project related documentation should be kept up to date to reflect any change in direction, scope, requirements, etc.</p> <p><i>BIS Lessons Learnt Report</i></p>	<p>Records are managed within TRIM (HPE Content Manager). Standard structure is used as specified by the PMO.</p> <p>Program level and aligned project level schedules across all activity will be developed and actively managed throughout the Program lifecycle.</p> <p>Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight</p>



Knowledge Area	Lesson and source <i>Outline the details of the lesson learned here. Add or delete rows as required.</i>	Map to assurance activity in section 3.1 <i>Outline how this lesson learned has been effectively considered and incorporated into planned assurance activities.  For active projects also outline how assurance activities have resulted in strategies being implemented as a result of the lesson learned and assurance recommendations.</i>
Financial Management	Allocate appropriately skilled resources to undertake budget tracking and commercial management of the project.  <i>BIS Lessons Learnt Report</i>	The Program Office will have a dedicated Financial Controller to undertake all budgeting, tracking and reporting.  The cost structure and all financial controls will be subject to review.  Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight
Communication and stakeholder management	Agreed stakeholder engagement and communications practices should be established early in the project.  Consider the most appropriate models and resources to effectively engage with customers/stakeholders (e.g. skills, capabilities, experience, location).  When implementing a Commercial-off-the-shelf (COTS) product, understand the base functionality. Manage and communicate the impacts of customisation on time and cost.  Include consultation with appropriate stakeholders and decision-makers in the scope change decision process, to ensure the impact is clearly understood and considered.  <i>BIS Lessons Learnt Report</i>	Partner agencies will be engaged regularly to ensure they have visibility of requirements and status  The governance structure as outlined in this Plan will provide clear lines of communication to all stakeholders.  A program stakeholder engagement plan will be developed and managed throughout the program lifecycle.  Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight
Implementation	Consider alternative delivery approaches taking into account the size, complexity and sensitive nature of a project (e.g. big-bang approach for low risk, low impact projects and iterative and phased approach for high risk, national initiatives).  <i>BIS Lessons Learnt Report</i>	Implementation approach will be co-designed with all delivery partners to consider delivery challenges across the entire program.  Assurance Activities 1 and 5



<b>Knowledge Area</b>	<b>Lesson and source</b>  <i>Outline the details of the lesson learned here. Add or delete rows as required.</i>	<b>Map to assurance activity in section 3.1</b>  <i>Outline how this lesson learned has been effectively considered and incorporated into planned assurance activities.</i>  <i>For active projects also outline how assurance activities have resulted in strategies being implemented as a result of the lesson learned and assurance recommendations.</i>
<b>Procurement</b>	<p>Tender evaluation processes need to be clearly structured to evaluate all aspects of a vendor response. Tender evaluation teams need the right skill and expertise to adequately evaluate responses. Tender evaluation teams should understand their role and responsibilities during a tender evaluation process.</p> <p>Agree baseline solution deliverables between Agency and vendor prior to build commencement, with this dependency to be agreed through the contract.</p> <p>The vendor contract should allow for monitoring and management of vendor deliverables, timeframes, and performance, in line with the Agency's quality expectations.</p> <p>Projects that are dependent on vendor delivery should establish a commercial management function (depending on size and delivery risk) to provide active monitoring, and management of vendor performance.</p> <p><i>BIS Lessons Learnt Report</i></p>	<p>Procurement experts will advise the Program Board, to ensure contract arrangements adapt to emerging program needs (including decision-making surrounding fixed price, time, and material contracts).</p> <p>Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight</p>

## 2.3 Key risks and issues addressed

Under the Assurance Framework, planned assurance activities **must** be mapped to key risks as a **minimum requirement** for digital investments.

In this section, outline only the key risks and/or issues identified as relevant to the investment. Explain how consideration of the risks has been factored into the assurance approach and map each risk to a planned assurance activity.

For example, the project may have identified a key risk in relation to scope creep where the parameters of the project are being changed mid-delivery – the project may decide to plan an assurance review activity to determine the impacts of these changes on their overall delivery confidence.

Please update this section, throughout delivery of the investment, to include key issues that may have an impact on the success of the investment meeting agreed objectives.

*Note these are currently draft and under review*

Table 4: Key risks and issues

ID #	Risk/Issue Category (if applicable)	Risk/issue description	Inherent/residual risk rating	Map to assurance activity in section 3.1
ID 1	Policy Intent	<b>Police and Community safety risks</b>  Until the Register is fully implemented and consistent firearms management practices are in place across jurisdictions, risks to police and the community will remain.	TBD	Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight
ID 2	Implementation (Delivery)	<b>Implementation</b>  The Register is a federated system to be implemented over 4 years. It will only be effective if states and territories significantly uplift their systems, business practices, regulations and resources.	TBD	An AGD will provide project leadership on policy reform with the ACIC providing technical coordination of system reforms.  Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight
ID 3	Implementation (Funding)	There is a risk that states and territories will seek further funds to complete requisite reforms.  Failure of police agencies to adequately estimate and provide for the cost / resources for implementing the system-to-system	TBD	Police agencies to develop business cases and plans to estimate and secure adequate funding to make necessary technology and business process changes to adopt the capability.  The ACIC and AGD will work closely with states and territories to monitor the project's effective delivery and limit the risk of further funding being required.



ID #	Risk/Issue Category (if applicable)	Risk/issue description	Inherent/residual risk rating	Map to assurance activity in section 3.1
		updates may result in delays to implementing the project.		Development of Federation Funding Agreement Schedule.  AGD will work with relevant counterparts in jurisdictions to agree a Federation Funding Agreement Schedule under the FFA Framework before 1 July 2024. The Commonwealth has agreed to provide contribution to states and territories to enable necessary reform. This funding agreement needs to be formalised through a FFA schedule that will specify how the funding will be released. AGD will work with states and territories to ensure appropriate and effective performance milestones are agreed to facilitate effective project delivery.  Assurance Activities 1 and Embedding Assurance and Program Board Oversight
ID 4	Information Security	Privacy and data security concerns  The Register will hold extensive data on the location of firearms and firearms owners. It is critical that this information is appropriately safeguarded.	Medium	The Register will be developed with cybersecurity protections that meet Australian Government standards. The Register will be developed in accordance with the Australian Privacy Principles including the standards, rights and obligations in relation to handling, holding, accessing and correcting personal information.  Assurance Activities 1, 5 and Embedding Assurance and Program Board Oversight
ID 5	Benefits	Full benefits of the national core capability are not realised or are delayed because: <ul style="list-style-type: none"> <li>• Lack of commitment and/or ability of Police Agencies to meet project timeframes</li> <li>• Police Agencies are unable to achieve the required level of integration with the new system</li> <li>• Conflicting agency and/or ACIC priorities may result in key resources not being available as anticipated by the project schedule</li> <li>• Impacts due to the level of data quality of existing firearms data</li> <li>• Scope of the project changes due to changes in business and/or technical requirements</li> </ul>	Medium	Undertake joint planning with agencies to ensure all requirements are captured and impacts, timeframes & benefits are understood and agreed.  Allocate funding to undertake integration work with agency systems.  Identify one or more agencies that are able to integrate immediately and use that agency as a champion for other agencies.  Modify project approach to take account of Police Agency issues identified as contributing to this risk.  Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight



ID #	Risk/Issue Category (if applicable)	Risk/issue description	Inherent/residual risk rating	Map to assurance activity in section 3.1
ID 6	Technical	A solution is implemented but the delivered solution is not fit for purpose.	Medium	<p>Ensure business requirements for the RFT are complete and accurately reflect ACIC and agency requirements.</p> <p>Monitor and manage implementation of the solution to ensure requirements are met.</p> <p>Adopt a flexible project approach and development methodology to minimise the impact of any changes in requirements.</p> <p>Undertake a thorough technical evaluation of any potential COTS solution.</p> <p>Assurance Activities 1, 2, 3, 4, 5 and Embedding Assurance and Program Board Oversight</p>
ID 7	Financial	<p>Costs of the project are not accurately estimated due to:</p> <ul style="list-style-type: none"> <li>Limited timeframes for consultation with external agencies on impacts and costs</li> <li>Limited information on available COTS solutions and associated costs</li> </ul>	Medium	<p>Consult as widely as possible with external agencies in the time allowed.</p> <p>Assurance Activities 1, 2 and 3, and Embedding Assurance and Program Board Oversight</p>

## 2.4 Coordination and optimisation of assurance effort

Outline, at a high-level, the strategies that will be adopted to minimise the burden of multiple and/or complex assurance activities, avoiding duplication and overlap. This may include, for example, appointing a coordination officer as a single point of contact for assurance teams or a dedicated officer in the investment's project management office to follow-up and report on recommendation implementation progress.

### **Program Governance**

In order to minimise and manage assurance burden for the delivery teams given the scope of the program, there is a Program Support Officer / Secretariat appointed for the program to manage Program Governance, Reporting and Assurance activities, as well as managing the independent assurance experts and their assurance activities, as part of the Assurance Plan, within the program environment. The Program Support Officer / Secretariat will be the single point of contact for all assurance activities and will be responsible for directing and reporting on all planned assurance activities, particularly with respect to the coordination of the assurance plan, Gateway Reviews, independent project assurance and external audits.

### **Independent Assurance**

Provision has been made within the budget costings to appoint independent assurance experts to provide a range of assurance services:

- provide and publish strategic advice, in the form of assurance reports, to increase transparency and accountability across the board
- support the SRO and Project Board with reviewing, updating, and executing the Assurance Plan to ensure it remains fit for purpose
- to provide technical and ICT security assurance support to ensure final technical solutions are compliant.

### **Program Review**

To meet the requirements of Tier 2 investments, the project Assurance Plan, which underpins the assurance activities for the project, will be reviewed at least every 12 months and following the engagement of an independent assurance provider to ensure the plan is fit for purpose.

All draft and final assurance reports resulting from assurance activities will be provided to the DTA for oversight purposes once completed.

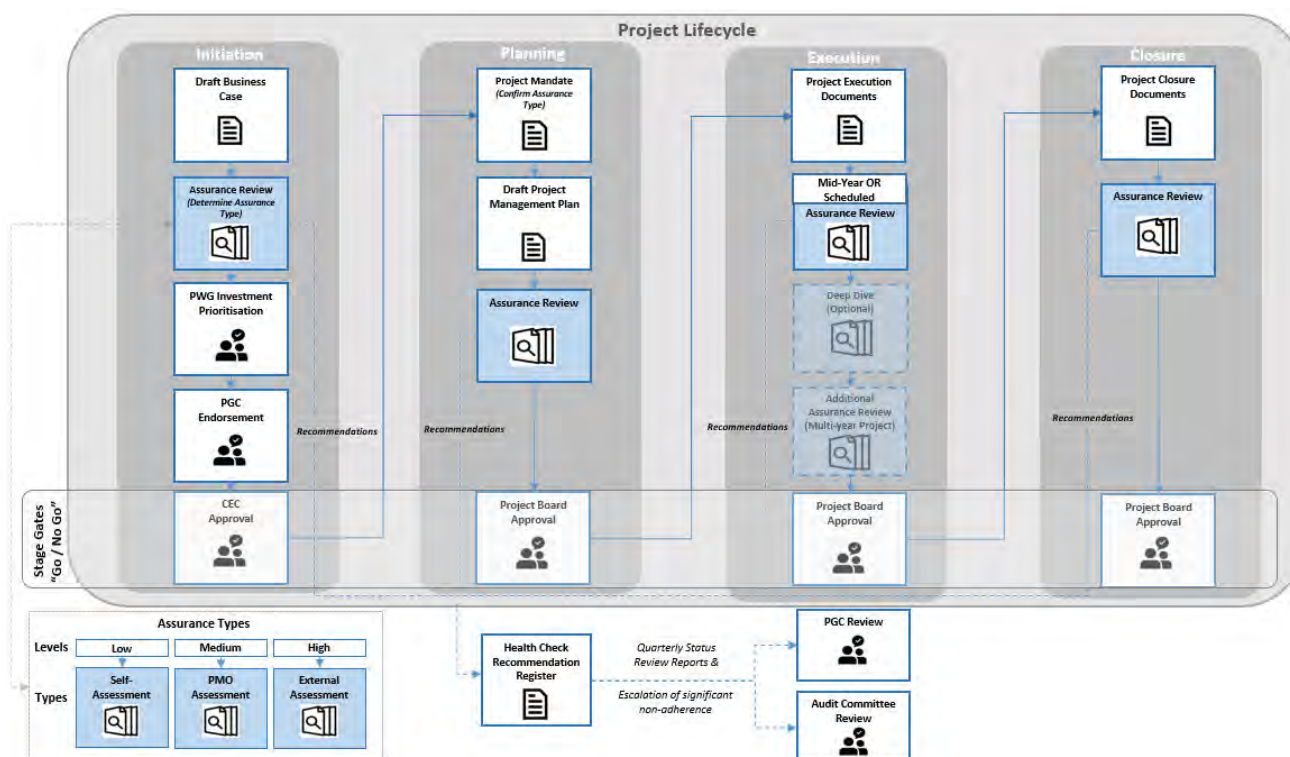


Figure 2: ACIC Assurance model to be replicated at Program and Project levels



## 3. Planned assurance activities and timeline

### 3.1 Detailed assurance activities

Complete Table 5 below by setting out planned **independent and objective** assurance assessment/evaluation activities to be undertaken to support decision- making. Entities or people providing advisory and/or delivery services for the investment are generally not considered to be sufficiently independent. This section provides confidence to government that digital and ICT investments have fit-for-purpose assurance activities in place to enable successful delivery.

Tier 2 investments are required to conduct assurance activities that result in a Delivery Confidence Assessment (DCA) rating on a **biannual basis** (i.e. every six months) with draft and final assurance reports provided to the DTA. For more information on DCAs, refer to [p. 13 of the Assurance Framework](#).

#### Examples of assurance activities that are likely to meet the definition of ‘independent and objective’

##### Health check

An independent, lightweight assess of how the investment is tracking against its benefits by an external specialist assurer

##### SRO advisor

An independent advisor to the SRO with experience in similar investments

##### Integrated assurance

An independent assurance team which has an ongoing presence within the investment to assure delivery

##### Gateway assurance

Commissioned by the Australian Government for high-risk and high-value investments (Note: agencies are required to consult the Department of Finance to determine if this assurance activity will be applicable to the investment)

##### Go-live assessment

An independent review to provide additional confidence prior to a go-live decision being made

##### Independent board member

An independent, experienced board member who helps the board keep the investment on track

##### Targeted review

A review of key areas of risk or an area critical to successful delivery by a specialist independent external team

##### Internal audit

A review by the internal audit function of an agency, usually for high-risk investments or investments expected to make a key contribution to the achievement of the agency’s mission

Engagement with the DTA as part of the Whole of Government Digital and ICT Oversight function is not a form of project assurance and should not be listed as an activity in this table.

Table 2: Detailed assurance activities

#	Activity	Provider/Source	Description and purpose	Budget	Timing	Status	How will the activity inform key decisions	Will this activity provide a Delivery Confidence Assessment rating?
1	Assurance Planning phase	Independent Assurance expert with support of PMO to ensure compliance with Government and enterprise policy requirements	<p>Once the program mobilises, an Independent Assurance expert will be appointed.</p> <p>This Independent Assurance expert will provide additional assurance to the program by providing advice on the overall project progress against key deliverables in the planning phase. This will enable the Program SRO to make informed decisions to support investment objectives.</p>	<p>2 FTE (2 weeks)</p> <p>\$18,000–\$30,000 per review, depending on project complexity and the expertise of the auditor required.</p>	During the planning phase of the program	In planning	<p>This activity will inform key decisions/support the achievement of investment objectives by providing a reliable third-party review of the program and enable the Program SRO to make informed decisions regarding the program.</p> <p>This activity will provide advice aligned to the Gateway Review recommendation of minimising risk of over reliance on key individuals which result in single points of failure by ensuring resource planning is realistic.</p>	Yes

#	Activity	Provider/Source	Description and purpose	Budget	Timing	Status	How will the activity inform key decisions	Will this activity provide a Delivery Confidence Assessment rating?
2	Assurance Execution phase	Independent Assurance expert with support of PMO to ensure compliance with Government and enterprise policy requirements	<p>This Independent Assurance expert will provide additional assurance to the program by providing advice on the overall project progress against key deliverables in the Execution phase. This will enable the Program SRO to make informed decisions to support investment objectives.</p> <p>Also provides readiness assessment to progress between program phases.</p> <p>These are akin to a Health Check that will inform decision-making, particularly surrounding use cases, planning, risk management, readiness and provide assurance to the Program Board and Steering Committee.</p>	<p>2 FTE (2 weeks)</p> <p>\$18,000–\$30,000 per review, depending on project complexity and the expertise of the auditor required.</p> <p>Estimated one review per FY of the program.</p>	During the Execution phase of the program prior to budget/stage plan approvals for next FY.	In planning	<p>This activity will inform key decisions/support the achievement of investment objectives by providing a reliable third-party review of the program and enable the Program SRO to make informed decisions regarding the program.</p> <p>This activity will provide advice aligned to the Gateway Review recommendation of minimising risk of over reliance on key individuals which result in single points of failure by ensuring resource planning is realistic.</p>	Yes



#	Activity	Provider/Source	Description and purpose	Budget	Timing	Status	How will the activity inform key decisions	Will this activity provide a Delivery Confidence Assessment rating?
3	Assurance Closure phase	Independent Assurance expert with support of PMO to ensure compliance with Government and enterprise policy requirements	<p>This Independent Assurance expert will provide additional assurance to the program by providing advice on the overall project progress against key deliverables in the Closure phase. This will enable the Program SRO to make informed decisions to support investment objectives.</p> <p>Also provides readiness assessment to progress to program closure activities.</p> <p>This is akin to a Health Check that will inform decision-making, particularly surrounding use cases, planning, risk management, readiness and provide assurance to the Program Board and Steering Committee.</p>	<p>2 FTE (2 weeks)</p> <p>\$18,000–\$30,000 per review, depending on project complexity and the expertise of the auditor required.</p>	During the Closure phase of the program	In planning	<p>This activity will inform key decisions/support the achievement of investment objectives by providing a reliable third-party review of the program and enable the Program SRO to make informed decisions regarding the program.</p> <p>Particularly achievements of policy intent and program benefits and their transition to the BAU operating environment post program.</p> <p>This activity will provide advice aligned to the Gateway Review recommendation of minimising risk of over reliance on key individuals which result in single points of failure by ensuring resource planning is realistic.</p>	Yes

#	Activity	Provider/Source	Description and purpose	Budget	Timing	Status	How will the activity inform key decisions	Will this activity provide a Delivery Confidence Assessment rating?
4	Deep Dives	Independent Assurance expert with support of PMO to ensure compliance with Government and enterprise policy requirements	<p>Provide detailed reviews relating to specific aspects of the program. Deep dives will ensure enough attention is given to the most critical elements of the program. The project executive may request a Deep Dive to gain a more detailed understanding of the program, to assist with resolving issues or risks that may impact successful program delivery.</p> <p>The 'Deep Dive' can focus on one or more of the following areas:</p> <ul style="list-style-type: none"> <li>Assurance observations and recommendations</li> <li>Project Delivery</li> <li>Governance</li> <li>Financial management</li> <li>Change and benefits management</li> <li>Risk and issue management</li> <li>Inter-dependency management</li> </ul>	<p>2 FTE (2 weeks)</p> <p>\$18,000–\$30,000 per review, depending on project complexity and the expertise of the auditor required.</p>	As required or in accordance with plan	Dates to be confirmed with SRO and Program Board	This activity will inform key decisions/support the achievement of investment objectives by informing the Program SRO if the solution design will be fit for purpose. Enabling the Program SRO to inform the Program Board of any key risk management activities requiring decision/action.	Yes
5	Technical and Security Assurance	Internal technical experts, respective agency's Chief Information Security Officer (CISO) and externally engaged assurance providers	<p><b>Technical Assurance</b></p> <p>Respective agency design authorities engaged Business case and high-level design phase. Reviewing emerging and high-level designs for alignment with ICT Strategy and architecture principles.</p> <p><b>IRAP Assessments</b></p> <p>One off assurance activity during the life of the project.</p> <p>IRAP is conducted by certified assessors using a combination of documentation and tests. Project</p>	<p>Technical assurance and ATO review/approvals absorbed in agencies as a common business practice.</p> <p>Approximately \$150,000 for the security related Assessments/Tests per agency.</p>	As required or in accordance with plan	Dates to be confirmed with SRO and Program Board	These activities will inform key decisions on acceptance into service of the underpinning technology solutions that are used across NFR, by informing the Program SRO if the technical solutions are secure and will be fit for purpose. Enabling the	Yes



#	Activity	Provider/Source	Description and purpose	Budget	Timing	Status	How will the activity inform key decisions	Will this activity provide a Delivery Confidence Assessment rating?
			<p>artefacts such as to System Security Plan, and Statement of applicability will be used to inform this assessment.</p> <p><b>Penetration Testing</b></p> <p>Focus on testing the security posture of the new system, and confirming controls that should be in place are working.</p> <p>Outcomes of the Penetration tests would be reviewed by the relevant Security teams and remediation performed by the program/project.</p> <p><b>Authority to Operate (ATO)</b></p> <p>Part of transition in operation. relevant security teams provide input and assurance by consolidating a recommendation to the agency security authority.</p> <p>This output is decision brief to the agency's Chief Information Security Officer (CISO) for decision to grant a system an Authority to Operate (ATO).</p>				Program SRO to inform the Program Board of any key risk management activities requiring decision/action.	

Add or delete rows as required.



## 3.2 Assurance activities map

It is recommended that an assurance activities map is developed and maintained for the investment and included in this section or attached to this plan. An assurance activities map, if included, should be kept to one page, and combine known key decision points, for example go-live decisions. This map is a high-level overview of the planned assurance activities outlined in section 3.1.

The primary intention of an assurance activities map is to demonstrate that planned activities are distributed over the investment timeline appropriately to ensure activities inform key decisions and supports successful delivery, highlighting those activities that provide a delivery confidence assessment (DCA). An example of an assurance activities map is provided below.

### Assurance Plan on a Page NFR Program

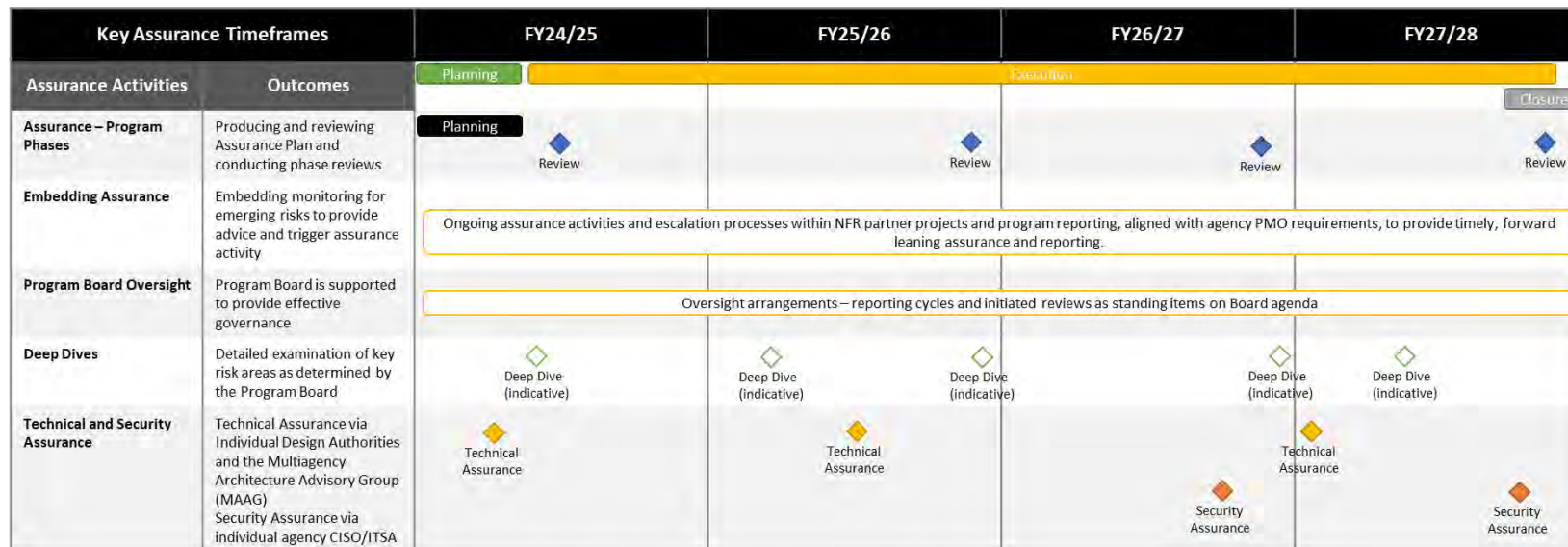


Figure 3: NFR Program Assurance activities map

## 4. Assurance roles and responsibilities

Please identify key assurance responsibilities across the investment, by role. Note that some responsibilities are required to be undertaken regularly, in accordance with the requirements for a tier 2 investment as outlined in the Assurance Framework.

Table 3: Assurance roles and responsibilities

Role	Assurance Responsibilities <i>Please delete this guidance text and populate the table with responsibilities relevant to your initiative.</i>
<b>Program Board</b>	<ul style="list-style-type: none"> <li>Ensuring the extent of delegated responsibility from the Program Sponsor and the Program's parameters are clearly understood.</li> <li>Providing overall guidance and direction to the Program, ensuring it remains viable and within any specified constraints.</li> <li>Ensuring the Program Sponsor is kept updated of progress in line with the Sponsor's requirements.</li> <li>Providing direction to the Program Manager in the form of clearly defined work packages with appropriate levels of delegated responsibility.</li> <li>Acting on remedial recommendations made by the Program Manager when work package tolerances are or may be exceeded.</li> <li>Approving and owning Program documents.</li> <li>review, approve and/or endorse the Assurance Plan every 12 months</li> <li>receive and consider assurance reports</li> <li>provide draft and final assurance reports to the DTA for oversight purposes</li> <li>advise the DTA when there is a material variation from planned assurance arrangements.</li> </ul>
<b>Senior Responsible Officer</b>	<ul style="list-style-type: none"> <li>Being the ultimate decision maker on the Program Board.</li> <li>Designing and appointing the Program Team.</li> <li>Overseeing and owning the developing Business Case.</li> <li>Ensuring the Program is aligned with corporate strategies.</li> <li>Securing funding for the Program.</li> <li>Holding the Senior Supplier to account for the quality and integrity of the specialist approach and specialist products created for the Program.</li> <li>Holding the Senior User to account for ensuring the Program realises its target benefits.</li> <li>Escalating issues and risks to higher governance authorities if agreed Program tolerances are forecast to be exceeded.</li> <li>Organising and chairing Program Board meetings.</li> <li>Overall Business Assurance - ensuring that the Program remains on target to deliver products that will achieve expected benefits within agreed tolerances.</li> <li>Ensuring that Program progress is regularly reported to higher governance authorities in accordance with Agency and the P3M Framework processes.</li> <li>Ensure the requirements under the Assurance Framework are met</li> <li>Review, approve and/or endorse the Assurance Plan every 12 months</li> <li>Review, approve and/or endorse the terms of reference for new assurance activities being commissioned</li> <li>Ensure reporting of delivery confidence assessment ratings (resulting from an assurance activity) on a six monthly basis, ensuring draft and final reports are provided to the DTA</li> <li>Receive and consider assurance reports and recommendations</li> <li>Provide management responses to assurance reports (including response to recommendations)</li> <li>Ensure recommendation implementation status is tracked and reported to the governance committee</li> <li>Trigger reviews of the Assurance Plan when it is no longer fit-for-purpose, in the SRO's opinion</li> <li>Ensure project teams cooperate, and provide assistance to, independent assurers</li> <li>Ensure assurance activities are initiated and completed as per the Assurance Plan</li> <li>Support robust, respectful debate among the project team and leadership to inform solutions, approaches and assessments</li> </ul>

Role	<b>Assurance Responsibilities</b> <i>Please delete this guidance text and populate the table with responsibilities relevant to your initiative.</i>
	<ul style="list-style-type: none"> <li>• Ensure sufficient resources are secured for the project</li> <li>• Ensure sufficient funding is set aside for planned assurance activities</li> <li>• Advise the DTA when there is a material variation from planned assurance arrangements.</li> </ul>
<b>Other stakeholders:</b> The DTA	<ul style="list-style-type: none"> <li>• Review and agree to the initial Assurance Plan and updates.</li> <li>• Review and agree terms of reference for external assurance activities prior to commencement</li> <li>• Receive and consider draft and final assurance reports.</li> </ul>
Commonwealth, State and Territory programs/projects	<ul style="list-style-type: none"> <li>• Plan and conduct respective assurance activities for their own Commonwealth, State and Territory programs/projects in accordance with agency P3M policies and best practice guidance.</li> <li>• Report assurance activity to the Program.</li> <li>• Escalate risks and issues identified through assurance activity.</li> </ul>
Commonwealth, State and Territory agency ITSA and CISO	<ul style="list-style-type: none"> <li>• Support the respective programs/projects with defining security work packages</li> <li>• Assist in ensuring appropriate reviews can occur at the correct points of the respective program/project</li> <li>• Assist with remedial actions required as a result of security assessments</li> <li>• Approve the ATOs for respective technical solutions as part of the NFR</li> </ul>
Commonwealth, State and Territory agency PMOs	<ul style="list-style-type: none"> <li>• The Portfolio Management Office is a core function in the agency, responsible for the management of the portfolio</li> <li>• Supporting the successful delivery of programs, projects and managed activities.</li> <li>• Custodian of the portfolio, program, project, change, benefit and business analysis frameworks, partnering broadly to ensure their effective application.</li> <li>• Focus on our stakeholders to support them through the execution of their initiatives</li> </ul>



## 5. Contacts

**Please contact the DTA's investment advice teams if you have any questions. Guidance documents including Assurance Plan templates and samples for Tier 1, Tier 2 and Tier 3 investments are also available on request from the DTA.**

Proposed investments: [investment@dta.gov.au](mailto:investment@dta.gov.au)

In-flight investments: [portfolio.assurance@dta.gov.au](mailto:portfolio.assurance@dta.gov.au)

You can also find additional information on our website: [dta.gov.au/assurance](https://dta.gov.au/assurance)

### Feedback

We value your feedback and ideas to help improve our processes and information. If you have any comments regarding this document, please share your thoughts with us: [portfolio.assurance@dta.gov.au](mailto:portfolio.assurance@dta.gov.au)

## 6. Glossary

Table 4: Terms, acronyms and abbreviations

Term/Abbreviation	Reference
<b>ANAO</b>	Australian National Audit Office
<b>Assurance Framework</b>	The Assurance Framework for Digital and ICT Investments (the Assurance Framework) supports agencies in planning and implementing fit for purpose assurance arrangements. For more information see the Assurance Framework.
<b>Benefit</b>	The measurable improvement from change, which is perceived as positive by one or more stakeholders, and which contributes to organisational (including strategic) objectives.
<b>Benefits Realisation Plan</b>	The plan that provides a consolidated view of the benefits forecast by category and which represents the baseline against which benefits realisation can be monitored and evaluated. Should also capture governance arrangements, risks to realisation, and assumptions.
<b>Digital and ICT investments</b>	Investments which use technology as the primary lever for achieving expected outcomes and benefits.
<b>DCA Rating</b>	Delivery Confidence Assessment rating. DCA ratings result from independent assurance activities.
<b>DTA</b>	The Digital Transformation Agency
<b>Minimum Requirements</b>	The minimum requirements for assurance arrangements as outlined by the Assurance Framework; defined by the investment's tier.
<b>Investment Oversight Framework</b>	The Whole-of-Government Digital and ICT Investments Oversight Framework (IOF) is a six-stage, end-to-end framework providing a way for the Government to manage digital investments across the entire project lifecycle.
<b>Primary Governance Committee</b>	The main governing board of a project or investment that is responsible for driving project outcomes, responding to risks and issues that arise and making decisions that could affect project outcomes.
<b>SRO</b>	A Senior Responsible Official has ultimate accountability for the investment's delivery. SROs are required to champion good assurance practice to drive a culture of continuous improvement through fit-for-purpose assurance arrangements.
<i>Add more abbreviations/terms as required</i>	