

Draft Corporate Risk Assurance Evidence Template and worked example

To provide East Surrey Council (ESC) with assurance that the mitigations and controls defined in the corporate risk register are in place and operate effectively, a draft assurance evidence template has been developed and a worked example provided.

It is envisaged that regular meetings between the Risk Owner (Senior Responsible Officer) for each corporate risk and the officer(s) responsible for managing the controls will take place. At these meetings the assurance evidence template may be used to assess the effectiveness of the controls in place for each risk.

A gap in assurance will be deemed to exist where there is no evidence or limited evidence that there are controls in place, or that they are effective. Whenever a gap in assurance is identified, an action should be put in place and allocated to an action owner.

Where controls exist, levels of assurance should be attributed to them during the review process. Proposed levels of assurance to be applied are:

Assurance Level	Details
Level 1: None	There is no evidence to support the effectiveness of the control and/or based on evidence the control is completely ineffective.
Level 2: Limited	The control is appropriately designed, however it is not consistently applied resulting in it being ineffective and inefficient.
Level 3: Adequate	The control is working effectively but there is scope for improvement to make it more efficient to reduce the cost of mitigation
Level 4: Substantial	The control is working effectively and efficiently.

ESC may wish to confirm the assurance level it aims to obtain – a suggestion is an assurance level 3 in all cases, depending on the severity of the risk in terms of impact on the Council. A substantial level of assurance should be obtained for risks with higher impact, as determined by senior officers.

Draft Corporate Risk Assurance Evidence Template:

[Risk ID]: [Risk Title] [Risk description]	Risk Owner (Senior Responsible Officer): [Name] OVERALL ASSURANCE LEVEL: [score]
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Mitigations and Controls	Current Status	Evidence	Gaps in assurance	Assurance level	Actions to address gaps/improve assurance	Action owner/ timeframe

Date assurance evidence reviewed: [Date and names of officers reviewing]

Worked example (for illustrative purposes only):

CR6: Health and Safety East Surrey Council (ESC) needs to provide services in a safe manner that protects the health and safety not just of its employees but also members of the public, trainees, contractors, Members and those who undertake work on behalf of ESC. If we fail to have good Health and Safety arrangements in place, this could lead to loss of service and / or preventable accidents to and ill health of staff, contractors, public or others affected by our undertakings. This is of particular importance due to the nature some of the services we provide to the public and vulnerable people. This risk cuts across organisational and objective boundaries and applies across the whole of East Surrey Council.	Risk Owner (officer): TBC OVERALL ASSURANCE LEVEL XXX
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Mitigating Actions	Current Status	Evidence	Gaps in assurance	Assurance level	Actions to address gaps/improve assurance	Action owner/ timeframe
Corporate Health and Safety Policy, arrangements and procedures in place and regularly reviewed / audited	Policy, arrangements and procedures published on the intranet. Policy reviewed annually and signed off by the Chief Executive. Regular internal H&S audits. Etc...	H&S Policy published on the intranet. H&S Policy signed by the Chief Executive within last 12 months. Internal H&S audit reports. Etc...		4		
H&S training in place for new and existing employees with specialist training provided as required	Corporate H&S e-learning courses available on corporate training system which sends reminders to the new starter and the Etc...	Training records available. Completion of training reported to senior leadership team. Etc...	Poor completion of compulsory corporate H&S e-learning.	2	Senior officers to follow up with staff to improve performance, and report back to next senior leadership team meeting.	Senior leadership team. December 2026