

# Control Assessment Format

## Risk Assessment Report

### 1. Overview

This document presents an assessment of key controls related to identified risks within the specified process or function. The evaluation provides a summary of control effectiveness, gaps, and recommended actions.

### 2. Assessed Process

Process Name: \_\_\_\_\_  
Assessment Date: \_\_\_\_\_  
Assessor(s): \_\_\_\_\_

### 3. Control Assessment Summary

No.	Risk Description	Control Description	Control Owner	Control Design Adequacy	Control Operating Effectiveness	Assessment Result	Action Required
1	Unauthorized system access	User access reviews performed monthly	IT Manager	Adequate	Effective	Control effective	None
2	Data loss due to backup failure	Automated daily backups and monitoring	IT Supervisor	Adequate	Ineffective	Gap identified	Enhance monitoring process

### 4. Detailed Assessment and Recommendations

**Example:** Backup monitoring alerts are not consistently reviewed, resulting in missed failures. It is recommended to implement escalation procedures for unresolved backup issues.

#### Important Notes:

- This format is used to document assessment and adequacy of risk controls.
- Include sufficient details for each control and related risk.
- Regular reviews help in early detection of control weaknesses.
- Action plans should be assigned with clear ownership and deadlines.
- The assessment should be updated after significant process or risk changes.