



Key Controls Documentation and Mapping to Risk

20 - 22 January 2026

Jakarta

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Strong controls don't just exist—they must be clearly documented, mapped to risks, and assessed for effectiveness. This course helps business functions, risk owners, and control testers strengthen the foundation of their risk management by improving how key controls are defined, linked, and maintained.

Overview

This hands-on course teaches you how to document key controls, maintain an inventory, and map them effectively to risks using a risk register or control matrix. You'll learn practical tools for RCSA, regulatory mapping, and control effectiveness assessments—all aligned with internal audit and compliance expectations.

On completion of the course, you will be able to:

- Define and document key controls in a clear, consistent format
- Maintain a control inventory and integrate it with risk registers
- Map controls to regulatory obligations and risk exposures
- Evaluate control effectiveness and identify remediation needs

Who should attend

This program is designed for professionals involved in risk, control, and compliance functions, especially those responsible for managing or documenting controls:

- Business Control Officers (BCOs)
- Risk and Compliance Managers
- Internal Auditors and Control Owners
- Operational Risk Practitioners
- RCSA Coordinators and Analysts

Methodology

Through case examples, templates, and a guided workshop, participants will apply risk-control mapping tools directly to their business processes. The course also includes peer discussion and examples of real-world documentation standards and pitfalls to avoid.

Trainer

Facilitated by an experienced risk and control professional who has supported internal audit readiness, RCSA implementation, and control testing across banking, fintech, and regulated industries. The trainer brings deep practical insight into aligning control frameworks with operational realities.

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Course Content

Module – 1

Introduction to Key Controls and Their Role in Risk Management.

- Definition of key controls and control objectives
- The role of controls in managing business risks
- Examples of preventive, detective, and corrective controls
- Why control documentation matters

Module – 2

Building and Maintaining a Control Inventory.

- What is a control inventory and its purpose
- Control attributes to document: purpose, owner, frequency, system support
- Categorizing controls: manual vs. automated, entity-level vs. process-level
- Best practices for keeping the control inventory updated

Module – 3

Linking Controls to Business Risks Using a Risk Register.

- Overview of a risk register and its elements
- Identifying controls that mitigate specific risks
- Using control libraries to select appropriate controls
- Visual mapping tools: heat maps and risk-control matrices

Module – 4

Control Taxonomy and Integration with RCSA.

- Control taxonomy: definitions and classification standards
- Integrating controls with the RCSA process
- Assessing design vs. operating effectiveness during RCSA
- Common challenges when linking risks and controls

Module – 5

Documenting Key Controls – Standards and Best Practices.

- Components of a strong control description
- Examples of good vs. weak control documentation
- Avoiding jargon, ambiguity, and duplication
- Internal audit expectations and documentation tips

Module – 6

Assessing Control Effectiveness and Identifying Gaps.

- Methods of assessment: walkthroughs, testing, self-assessment
- Frequency and ownership of control reviews
- Indicators of ineffective controls
- How to document control weaknesses and remediation actions

Module – 7

Compliance and Regulatory Mapping of Controls.

- Linking controls to regulatory frameworks (e.g., SOX, MAS TRM, GDPR)
- Compliance mapping tools and templates
- Demonstrating control coverage for audits and inspections
- Benefits of integrated risk and compliance reporting

Module – 8

Workshop – Mapping Controls to Operational Risks in Your Business Unit.

- Select a process or function in your department
- Identify top operational risks and existing controls
- Map controls to risks using a simple matrix
- Discuss gaps, overlaps, and improvement opportunities

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DELEGATE REGISTRATION FORM

Course fees

(Fees per participant)	Single	Group**
Normal fees	SGD 2,699	SGD 2,599
Early bird price*	SGD 2,499	SGD 2,399

*Payment 30 days before commencement of the course

**Minimum of 3 participants

The course fee includes

- 3 days of dedicated expert training
- Lunch and refreshments
- Copies of relevant course material

Venue Details

- All our training sessions are held in good locations, assuring a high level of comfort and a conducive learning environment.
- Due to variation in the number of participants, final venue details will be mailed 14 days before the course commences.
- Registration : 8:30 am
- Session timings: 9:00 am to 5:00 pm
- **Disclaimer:** Riverstone Training reserves the right to change the venue or postpone the course due to unforeseen circumstances.

Company Information

Company Name : _____

Address : _____

Contact Person : _____

Designation : _____

Email : _____

Phone : _____

Delegate Information

Name (1) : _____

Designation : _____

Email : _____

Phone : _____

Name (2) : _____

Designation : _____

Email : _____

Phone : _____

Payment Terms

- Full payment is required for seat confirmation.
- Make a crossed cheque or bank draft payable to **Riverstone SG Pte Ltd.**
- Mail your payment with this registration form to **Level 20, Tower 2, One Raffles Place, Singapore 048616.**
- Alternatively, you can do a bank transfer to Standard Chartered Bank Account no: 0105663336 (Bank no: 9496); Swiftcode: SCBLSG22.

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For in-house training on the same course or customized course, please contact us through

Email : register@riverstonetraining.com.sg

Phone or : +65 9730 4250

WhatsApp

Cancellation Policy

- If you are unable to attend, a replacement delegate is always welcome.
- Any cancellation must be made in writing to Riverstone Training at least 14 days before the event date. A full refund, less an administration fee of SGD 150, will be given.
- No refunds will be given for written cancellations received less than 14 days before the event date. However, you will receive a 100% credit voucher that can be applied to any of our subsequent training courses within six months of the initial registration.