



# Key Controls Documentation and Mapping to Risk

1 - 3 July 2026

Kuala Lumpur

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## Key Controls Documentation and Mapping to Risk

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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

