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COURSE BROCHURE

# Advanced Documents and Records Management Compliance Course

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Kuala Lumpur

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Registered in the United Kingdom and Saudi Arabia

# Advanced Documents and Records Management Compliance Course

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Documents and Records Management Compliance is a 2-week advanced training course for records compliance officers, information governance managers and internal auditors, in which each participant builds a Records Compliance Audit Plan with evidence tests and remediation tracking. Regulators, litigants and external auditors increasingly ask organisations to prove, not merely state, how information is kept, protected and destroyed. Jupiter Prime Training delivers this course for experienced assurance and information practitioners.

## Why Documents and Records Management Compliance Matters Now

Three pressures now meet at the records office. Legal and regulatory obligations on keeping, protecting and releasing information keep multiplying across finance, health, energy and the public sector. Litigation and investigations demand fast, defensible production of evidence, and a destroyed file during a dispute can turn a winnable case into a sanction. Boards and audit committees want assurance backed by tested samples rather than policy statements. Organisations that can demonstrate compliance answer inspectors calmly; those that cannot face penalties, adverse inferences and reputational harm. The course rests on ISO 15489-1, the international reference for records concepts and principles, and ISO 16175 for system functional requirements.

## Who Gains Most from Documents and Records Management Compliance

- Officers who map legal and regulatory obligations to recordkeeping rules
- Managers accountable for the information policy framework and its exceptions
- Auditors who plan and execute assurance reviews of information controls
- Specialists who coordinate legal holds, disclosure requests and evidence production
- Coordinators who track remediation actions after inspection findings

A second-line compliance function gains most when its policy owners and the internal audit unit attend together and leave testing information controls against one obligations register and one evidence standard.

## Documents and Records Management Compliance Capabilities

Each capability turns an obligation into something an inspector can sample, trace and verify.

- Build an obligations register linking statutes, contracts and policies to retention rules — the chief compliance officer
- Assess control design and operating effectiveness for keeping and destroying information — the audit committee
- Design legal hold and disclosure procedures that preserve evidence defensibly — general counsel
- Test disposition evidence, certificates and approvals through sampling — external auditors and inspectors
- Calculate residual exposure from control gaps and rank remediation — the risk committee
- Communicate findings and corrective actions in assurance reports — executive sponsors and process owners

## Key Documents and Records Management Compliance Terms

- Obligations register — a controlled list of legal, regulatory and contractual requirements affecting how information is created, kept and released.
- Legal hold — an instruction suspending normal destruction so information relevant to litigation or investigation is preserved.
- Defensible disposition — destruction carried out under authorised rules with evidence that it was routine, consistent and approved.
- Control testing — examining a sample of transactions to confirm a control is designed well and operates as intended.
- Chain of custody — the documented sequence of handling that shows evidence was not altered between collection and production.
- Remediation tracker — a log of findings, owners, actions and due dates used to close compliance gaps.

## Documents and Records Management Compliance Day by Day

## Day 1: The Compliance Landscape for Recorded Information

- Sources of Recordkeeping Obligations — Statutes, Regulations, Contracts and Standards
- Regulatory Inspection Patterns Across Sectors — What Inspectors Typically Request
- Consequences of Non-Compliance — Penalties, Adverse Inferences and Reputation
- ISO 15489-1 Concepts — Authoritative Evidence and Accountability
- Three Lines Model for Information Assurance — Who Owns Which Control

## Day 2: Mapping Obligations to Rules

- Obligations Register Construction — Citations, Triggers and Owners
- Retention Rule Derivation — Longest Applicable Period Logic
- Conflicting Requirements Resolution — Privacy Erasure Versus Keeping Duties
- Cross-Border Storage Constraints — Location and Transfer Conditions
- Policy Hierarchy Alignment — Policy, Standard, Procedure and Guideline

## Day 3: Control Design for the Information Lifecycle

- Capture and Declaration Controls — Completeness at Creation
- Access Restriction and Segregation — Protecting Sensitive Holdings
- Integrity Safeguards — Hashing, Locking and Tamper Evidence
- Metadata Sufficiency Tests — Context Needed to Prove Authenticity
- Control Matrix Preparation — Linking Risks to Preventive and Detective Checks

## Day 4: Legal Holds and Evidence Preservation

- Hold Trigger Assessment — Reasonable Anticipation of Litigation
- Custodian Identification and Notices — Scoping People and Systems
- Suspension of Automated Deletion — Configuring Exceptions Safely
- Hold Release Procedures — Returning Material to Normal Schedules
- Hold Register Maintenance — Status, Acknowledgements and Reminders

## Day 5: Disclosure, Investigations and Production

- Disclosure Request Intake — Scope Negotiation and Deadlines
- Electronic Discovery Workflow — Identification, Collection and Review
- Chain of Custody Documentation — Preserving Evidential Weight
- Privilege and Confidentiality Screening — Withholding Protected Material
- Regulator Information Requests — Coordinated and Consistent Responses

## Day 6: Defensible Disposition

- Disposition Authority Approvals — Who Signs Off Destruction
- Pre-Destruction Checks — Holds, Open Requests and Pending Audits
- Destruction Methods by Medium — Paper, Media and Cloud Copies
- Destruction Certificates and Logs — Evidence for Inspectors
- Disposition Exception Handling — Retaining Beyond Schedule With Justification

## Day 7: Assurance Planning and Sampling

- Risk-Based Audit Universe — Prioritising Business Units and Repositories
- Audit Criteria Selection — Policy, Regulation and ISO 16175 Requirements
- Statistical and Judgemental Sampling — Sample Size and Selection
- Walkthrough Techniques — Tracing a File From Creation to Disposal
- Evidence Standards for Auditors — Sufficient, Relevant and Reliable

## Day 8: Testing Controls and Evaluating Findings

- Design Effectiveness Testing — Does the Control Address the Risk
- Operating Effectiveness Testing — Did It Work Across the Period
- Exception Analysis — Root Cause Versus One-Off Error
- Finding Rating Scales — Severity, Likelihood and Exposure
- Management Responses — Agreed Actions and Accepted Risk

## Day 9: Reporting, Remediation and Monitoring

- Assurance Report Structure — Opinion, Findings and Recommendations
- Remediation Tracker Design — Owners, Milestones and Evidence of Closure
- Follow-Up Audits — Verifying Closure Rather Than Accepting Assertions
- Continuous Monitoring Indicators — Overdue Disposals and Open Holds
- Board and Audit Committee Briefings — Concise Compliance Dashboards

## Day 10: Practising the Records Compliance Audit Plan

- Obligations Mapping Drill — Applying Day Two Methods to a Finance Function
- Hold and Disposal Scenario — Applying Day Four and Day Six Controls to a Healthcare Dispute
- Sampling Exercise — Applying Day Seven Techniques to a Shared Repository
- Peer Challenge of Findings — Testing Ratings and Proposed Actions
- Records Compliance Audit Plan — Scope, Criteria, Tests and Remediation Tracking

## Applying Documents and Records Management Compliance After the Course

- Compile an obligations register for one business function and reconcile each entry against the current retention schedule, flagging missing or conflicting rules.
- Run a pilot disposition sample on one repository, checking approvals, hold status and destruction certificates, and log every exception in a remediation tracker.

## Documents and Records Management Compliance Questions FAQ

### What is documents and records management compliance and why does it matter now?

Documents and records management compliance is the practice of proving that information is kept, protected and destroyed according to legal, regulatory and policy requirements. It matters now because inspectors, courts and auditors expect tested evidence rather than written policy.

### Which roles gain most from documents and records management compliance training?

Records compliance officers, information governance managers and internal auditors gain most. Compliance staff map obligations, governance managers strengthen controls, and auditors gain sampling and testing methods suited to information assets.

### How does a documents and records management compliance course differ from a document control course?

A documents and records management compliance course centres on obligations, legal holds, disposition evidence and audit testing. A document control course focuses on numbering, revisions and transmittals in daily project operations.

## What do you bring back from documents and records management compliance training?

You bring back an audit plan with scope, criteria, evidence tests and a remediation tracker. You also return with methods for obligations mapping, legal holds and defensible disposition.

## Documents and Records Management Compliance: The Way Forward

The Records Compliance Audit Plan sets out which obligations will be tested, against which criteria, by which samples, and how gaps will be closed. Its first use is deciding which repositories to audit in the coming cycle, agreed between the compliance lead and the head of internal audit. Revisit its risk ranking after the first inspection or dispute, when real requests reveal weak evidence.