

## Advanced Documents & Records Management Compliance Workshop "Managing Records In Support of Business Requirements"

First Session: 26<sup>th</sup> – 28<sup>th</sup> March 2025

Second Session: 7<sup>th</sup> – 9<sup>th</sup> May 2025


Virtual: On Microsoft Teams

Venue: Protea by Marriott Hotel Johannesburg Wanderers

### Workshop Overview

In this era of the digitalization of documents, the appropriate technology should be used to protect confidential documents adequately. One of these tools is cloud storage or computing, which allows all the files of an organization to be uploaded to the cloud, thus, making access, storage, and retrieval easier for those in charge of the documents, provided they have security access to the records, irrespective of where they may be. The participant benefits of this technology are substantial compared to the conventional document storage and control method.

The course is designed to stretch the thinking of those who have been in the records management industry for some time. It is suitable for individuals from private and public sectors. This workshop will equip those with records management responsibilities to further their careers by being able to converse at a strategic level regarding current important topics in records and documents management.

The records manager must deal and prepare because in this IR4.0 everything will turn digital. To stay updated follow us on LinkedIn 

*Our experienced facilitator*



**Marina Hiscock**

Marina Hiscock is highly creative and innovative thinker with advanced business education, holding two degrees – an MPhil in knowledge Management and Information Philosophy, and a BA in communication and industrial psychology.

With over 25 years of experience in knowledge management, records management and change management, She worked in various organizations such as petrochemical, broadcasting, logistics and supply chain management, engineering, and government (Department of Health, Department of Labor, Department of Land Reform and Rural Development), as well as universities and business schools.

She has a solid background in implementing best practices and compliance standards, bringing a wealth of experience in developing and maintaining effective recordkeeping systems. In a rapidly evolving digital landscape, she stays abreast of the latest trends and technologies in records management to bring innovative and adaptive solutions to the table. Her ability to communicate complex concepts clearly and concisely facilitates seamless collaboration with stakeholders at all levels.

As a records management professional, her mission is to empower organizations to effectively manage their information assets, fostering compliance, efficiency, and strategic decision-making.

## **Course Objectives:**

This program is ideal for records managers in the private and public sectors who need a comprehensive approach and guidance to planning, setting up and managing records within the organization. Delegates will receive a few templates to kick start their records management improvement.

It's also a must for any staff member who has been appointed to the position of records manager, or who has been allocated those responsibilities. Attend this essential records and documents management training course to gain actionable understanding and strategies for transferring to and managing digital records. Leave the day with the knowledge to excel in information management and take away practical guidance for the retention and deletion of records.

## **Who Should Attend?**

- ❖ Senior Registry Officer
- ❖ Records Managers



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- ❖ Departmental Managers responsible for records management
- ❖ Departmental/ Unit records coordinators
- ❖ Document Controller
- ❖ Archive Managers
- ❖ Information Technology Staff/ Quality Control Specialists
- ❖ Company Secretaries / Compliance Officers/ Auditors
- ❖ Information Governance Professionals / Government Officials
- ❖ Representatives from Watchdogs Organization responsible for Industry governance

## Training Methodology:

- ❖ **Facilitation:** Engage with an expert-led facilitator
- ❖ **Case Studies:** Apply concepts through real-world scenarios and case studies
- ❖ **Practical Exercises:** Participate in hands-on exercises to reinforce learning
- ❖ **Group Discussions:** Share experiences and insights with fellow participants
- ❖ **Assessments:** Evaluate your understanding through quizzes and assessments

## Day 1 : Introduction to Records and Information Management (Needs and Drivers)

- ❖ Importance of information and records management
- ❖ Key Pillars of Records Management
- ❖ Distinguish between document and records management
- ❖ Records and Information creation through business processes
- ❖ Document Life-cycle management

## Standards, Legislation, Information Governance and Documentation Compliance for Records and Information Management

- ❖ Definition of Information Governance
- ❖ Importance of Documentation Compliance
- ❖ The link between Information Governance and Compliance
- ❖ Ensuring Compliance (Standards, Legislation and Regulation)
- ❖ King IV
- ❖ Records audit using Generally Accepted Recordkeeping Principles (GARP)
- ❖ The DIRKS Methodology (Developing and Implementing a Record Keeping System)

## Records and Document life-cycle management process

### Step 1 Creation

- ❖ Identifying information that constitutes a record.
- ❖ Capturing essential metadata
- ❖ Ensuring Compliance (Standards, Legislation and Regulation)
- ❖ Version Control



## Step 2 Classification and Organization

- ❖ Origin of a File Plan
- ❖ Basic requirements of a Good File Plan
- ❖ Designing, implementing and maintaining a File Plan
- ❖ Developing a taxonomy or classification system
- ❖ Organizing records in a systematic and consistent manner

## Step 3 Maintenance and Information Governance

- ❖ Paper and electronic information and records
- ❖ Moving from paper-based to electronic-based information management (migration)
- ❖ Applying appropriate access controls to protect sensitive information
- ❖ Effective Records Management Policy
- ❖ Elements and components of a Records Management Policy
- ❖ Implementation of Records Management Policy
- ❖ Managing e-mails as records

## Day 2

### Step 4 Retention and Storage

- ❖ Differences between Appraisal, Retention and Disposal
- ❖ Determine the characteristics of a solid document retention process
- ❖ Retention schedules
- ❖ Implementing a retention schedule
- ❖ Migrating documents to storage without losing critical information
- ❖ Storing physical records in a climate-controlled environment
- ❖ Ensuring digital records are backed up and stored securely

### Step 5 Preservation

- ❖ What are vital records?
- ❖ Good Practice: Vital Records Checklist and formula
- ❖ Applying preservation measures such as digitization or conservation
- ❖ Ensuring the longevity and accessibility of records

### Step 6 Disposition

- ❖ Implementing secure and authorized methods of disposal
- ❖ Documenting the disposal process, including approvals and verification
- ❖ Maintaining records of the disposal for audit purposes

### Step 7 Archiving

- ❖ Identifying records with historical or enduring value
- ❖ Preparing records for transfer to the archival repository
- ❖ Ensuring the continued accessibility and preservation of archived records



## Step 8 Audit and Monitoring

- ❖ Conducting regular internal and external audits
- ❖ Monitoring adherence to retention schedules
- ❖ Identifying areas for improvement and addressing compliance issues

## Step 9 Continuous Improvement and Change Management

- ❖ Definition of Change Management
- ❖ Importance of Change Management in Records Management
- ❖ Key Principles of Change Management
- ❖ Implementation of Change in Records Management
- ❖ Monitoring and Evaluation
- ❖ Sustaining Change in Records Management
- ❖ Best Practice Change Management Model

## Day Three

### How can Records and Documents Management support organizations in the Fourth Industrial Revolution?

- ❖ Introduction to 4IR
- ❖ Web 2.0 and Web 3.0

### The future of records and information management will be shaped by emerging technologies

- ❖ Future technologies: Records, Information and Knowledge Management
- ❖ Identifying and leveraging skills and competencies that robots cannot “learn”
- ❖ Latest trends and advancements in Records Management, challenges, strategies, solutions and lessons learned

### Fourth Industrial Revolution Opportunities and Threats

- ❖ Paradigm shifts across various aspects of society, economy, and technology
- ❖ Exploration of the opportunities and threats associated with the 4IR paradigm shifts

On completion all the delegates will be issued with a 3CPD points certificate, soft copies of three days presentation and videos of the entire discussion. Alliance Training and Conferencing company CPD verification number is SAAMA ATC001 and this simply implies that our organization is allowed or accredited to host CPD activities and issue out recognized certificates to all our attendees.





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Att: Lethu info@alliancetc.co.za

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