

# Audit and Compliance 101

For Information Managers, Experts, and the Rest of Us

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# What We're Talking About

1. Audit and compliance fundamentals and what they mean for Information Managers
2. Digital transformation and other trends (and what's the hype)
3. Getting started with 4 DIY audit frameworks

# Understanding the Fundamentals of Audit and Compliance and What This Means for Information Managers

ICFR

(Internal Control Over Financial Reporting)

SOX

CSOX

Compliance

# Audit & Compliance Lingo

Regulatory

Internal Audit

GRC

(Governance Risk and Compliance)





# What is Audit & Compliance About?

## DESIGN EFFECTIVENESS

Are our processes and controls designed appropriately?

## OPERATING EFFECTIVENESS

Are our processes working?



# What Does This Mean for Information Managers?

Minimum Requirements

Process

Clarity

Controls

# What Does Design Really Mean?

Best Practice

Policy

Digital Adoption

Documentation

Continuous Improvement

# How digital transformation is transforming audit and compliance

AND WHAT'S THE HYPE?

# What Should Be Happening In Theory

More Thinking  
Less Testing  
Less Cost  
Faster







# What is Happening in Reality

## AND THE ROADBLOCKS TO DIGITAL TRANSFORMATION

Hundreds of years of history

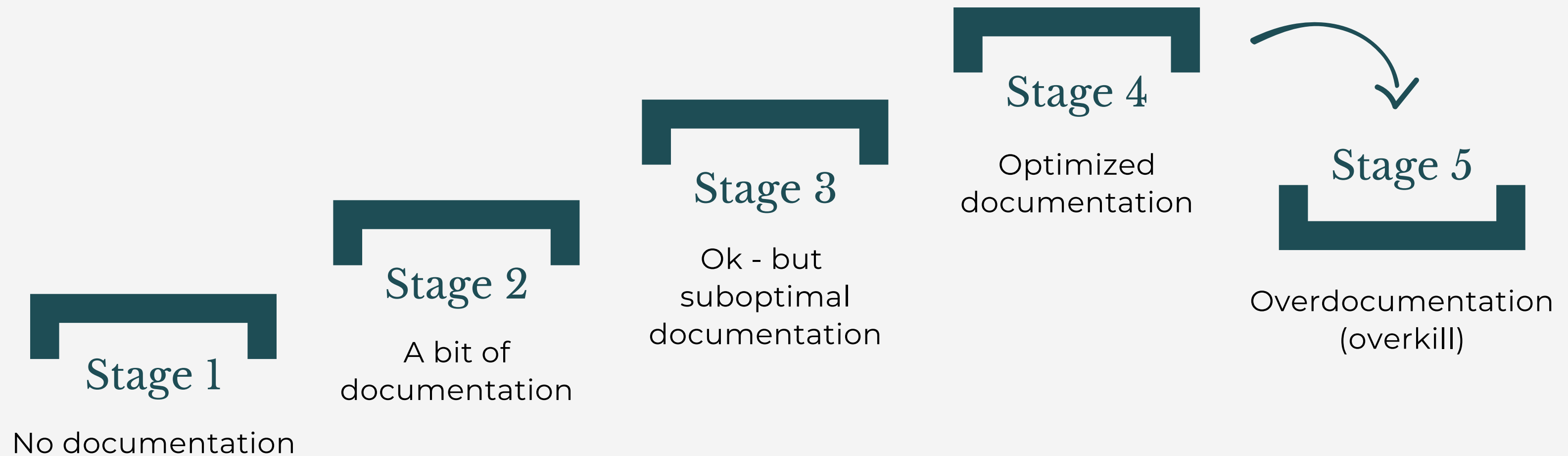
Comfortable jobs

People making a lot of money



# Getting Started with 4 DIY Audit and Assessment Frameworks for Information Managers, Experts, and the Rest of Us

# Five Stages of Documentation



# Big D vs. Little d



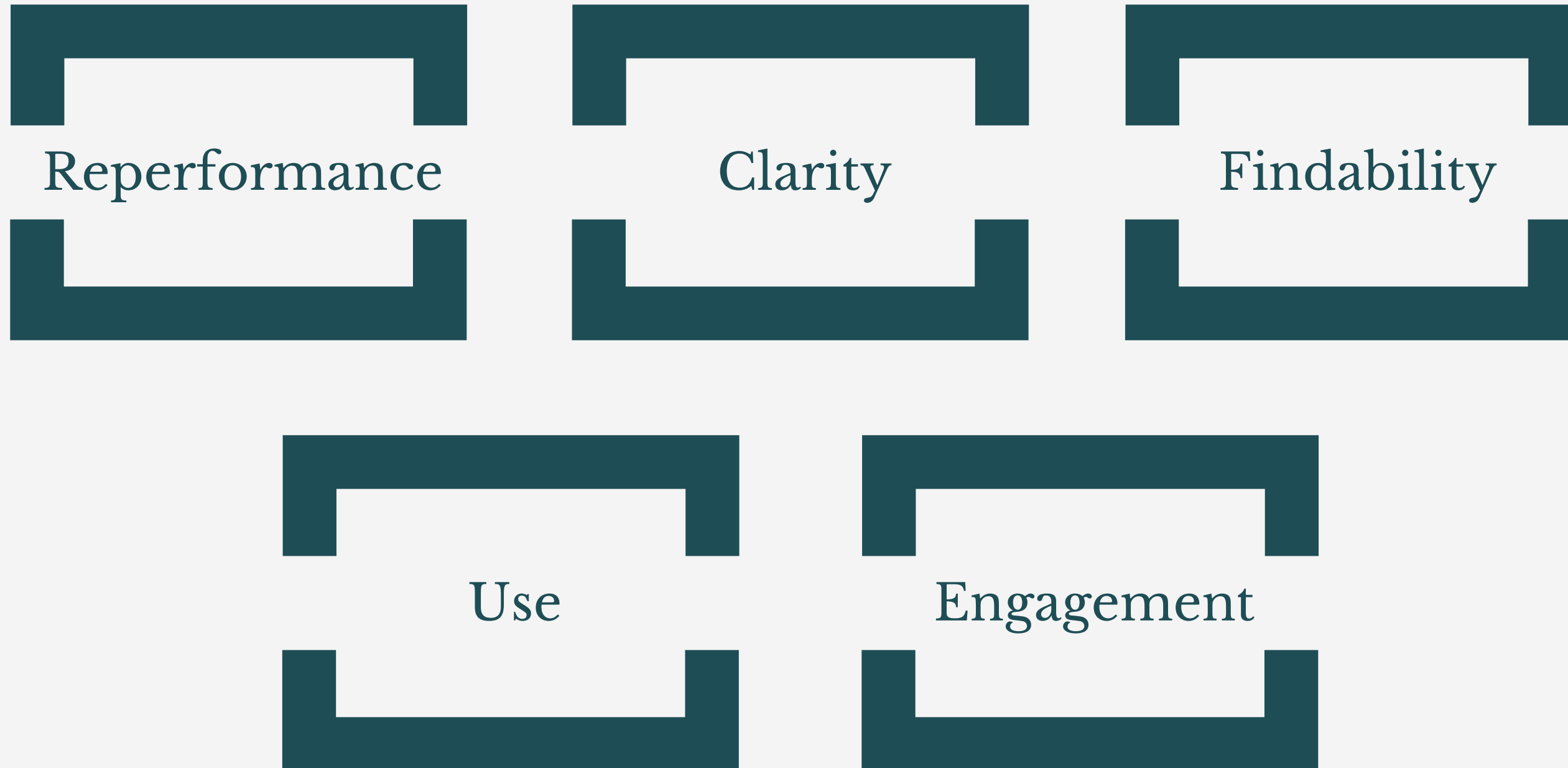
## BIG D

- Records
- Corporate systems
- Information governance
- Formal processes
- Project management
- Policies
- Corporate file structure
- Documentaiton requirements

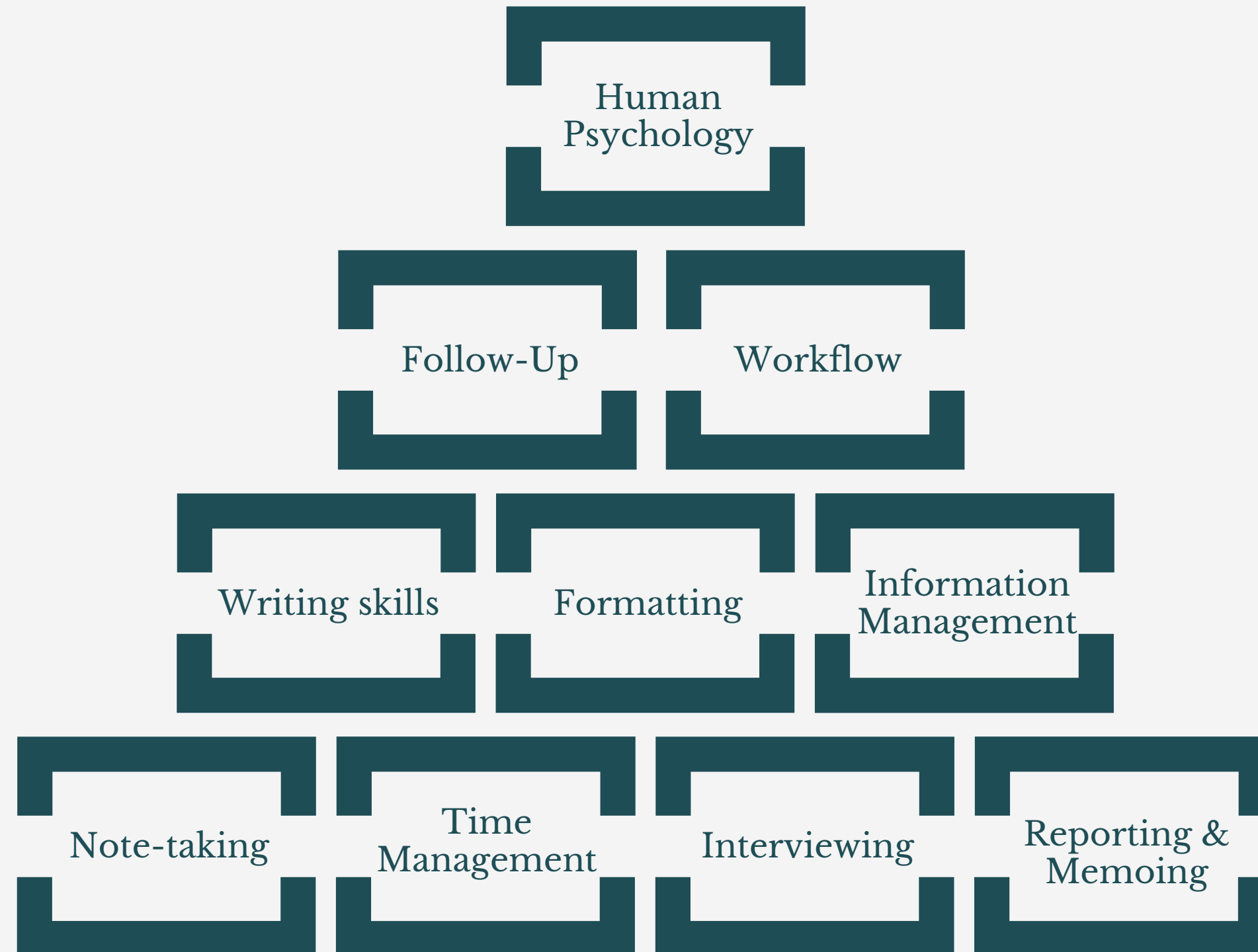
## LITTLE D

- Emails
- Apps on your phone
- Personal workflow management
- Meeting notes
- To-do lists
- Organizing your team's files
- Everyday information sharing
- Documentation skills

# The 5 Super Standards



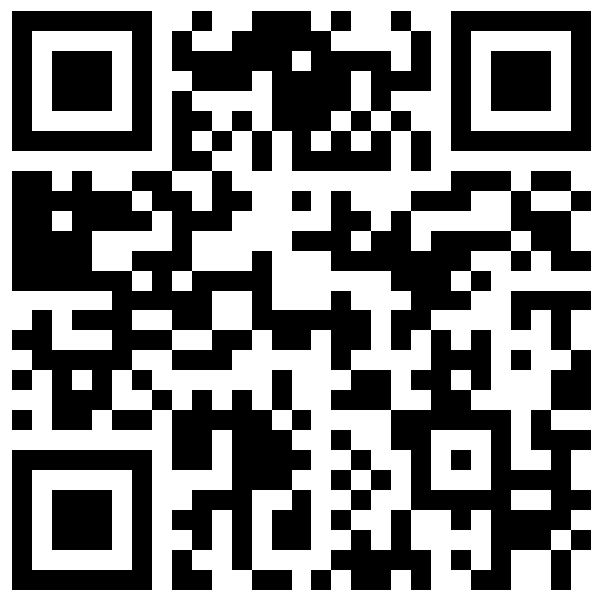
# The Dynamic Documentation Skillstack





# Free Guide

Work Smarter, Faster, and Better  
with Dynamic Documentation



Scan me!

[Bellehumeurco.com/6steps](http://Bellehumeurco.com/6steps)



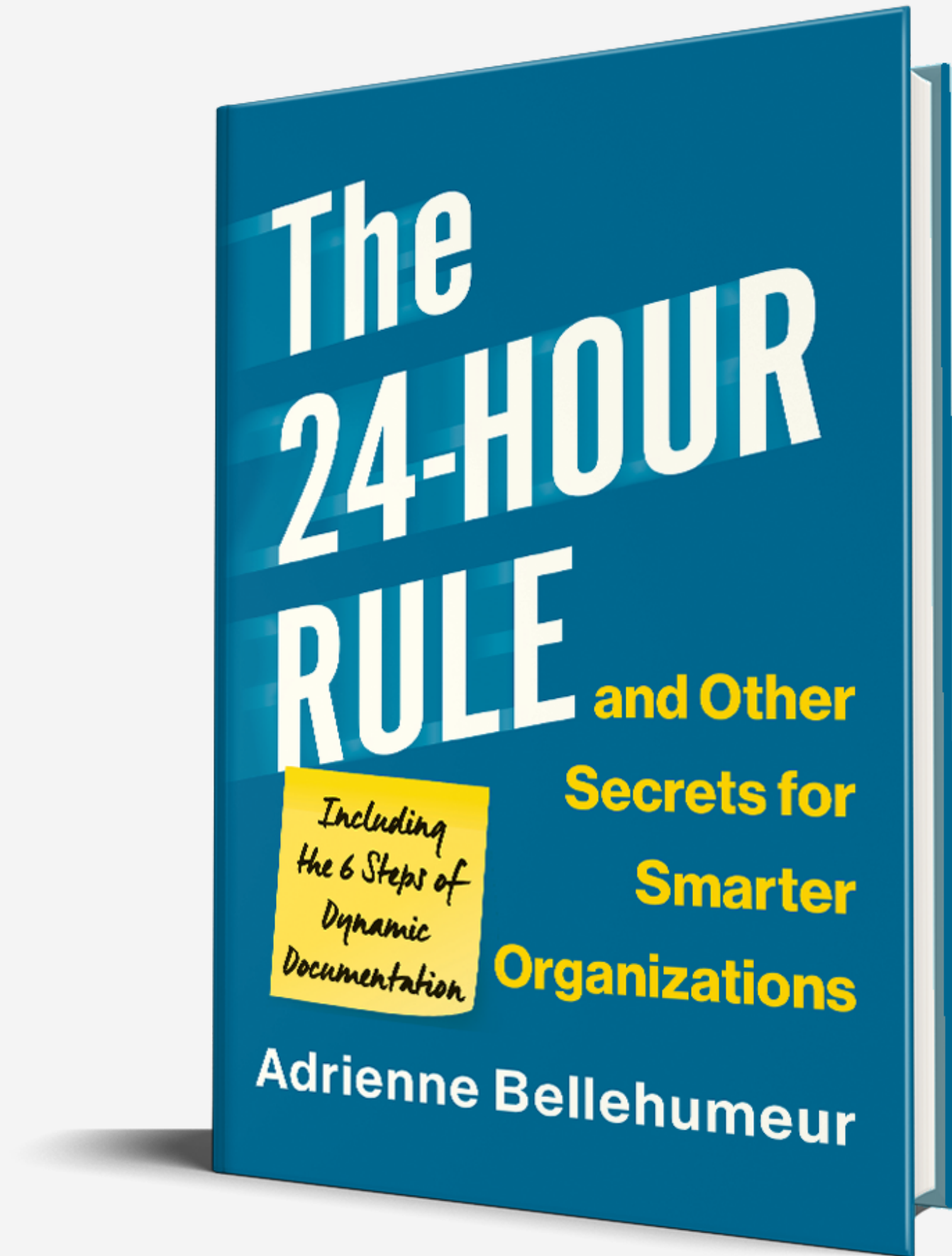


# Coming March 2023

How do we change our focus from what we KNOW to what we DO with what we know?

Convert your abstract ideas, plans, and proprietary knowledge, into purposeful action with the practice of Dynamic Documentation, a six-step approach proven to solve your business problems and strengthen your workflow.

Available for Preorder on Amazon





# Stay in Touch

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