

iQ

# THE R·I·M QUARTERLY

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Kate Walker, Chief Executive Officer, RIM Professionals Australasia

## RIMPA: why your membership matters

In an industry where responsiveness, quality and consistency are the key to survival, RIMPA is driven by a mission to deliver above and beyond the industry values and customer expectations.

**T**he key to attaining global leadership in the records and information management (RIM) world is to adopt strong, innovative, and effective approaches that make an organisation stand out.

The job of a RIM professional, though exciting, is never an easy one. There are stories on the fate or difficulties organisations face when not managing their information assets accordingly.

**We are a professional association whose mandate is to develop our members.**

The problems RIM professionals face are not limited to any one area. Education of our stakeholders is key to reduce the expectation gap. We also need to network with others in the profession and hear how they have dealt with similar situations in line with our motto of 'progress through sharing'. The Company stands ready to give advice as we have done with numerous professionals who have approached us. We are a professional association whose mandate is to develop our members.

The current demand for highly skilled and qualified professionals is being fulfilled by both the urban and rural population. Industries, today, have realised that customer loyalty and customer satisfaction are the key tools for



*"Education is the most powerful weapon which you can use to change the world"— Nelson Mandela*

success. No longer meeting just the basic need will suffice.

As such, RIMPA provides training as well as accreditation for courses to allow you to continue to develop yourselves as professionals.

If you are interested in getting recognised for your skills, undertaking vocational or tertiary qualifications, please contact me at [kate.walker@rimpa.com.au](mailto:kate.walker@rimpa.com.au) ❖

### SUBSCRIPTIONS

This is a reminder to members to pay their subscription if you have not done so yet. Being up to date enables you to have access to our websites and receive cutting-edge information. It also helps you take advantage of career opportunities that may arise from time to time. Potential employers do check with us to see whether applicants are in good standing.

In line with our policy, we will be issuing a reminder this month to all unpaid members before we remove them from our register.

Those who are paid up would do well to fully utilise RIMPA's websites – keeping up with the information

available there will take your service delivery to a higher level.

Every practising RIM professional rightly should be a member of the Company. I encourage non-members to pay their subscription and become fully fledged members.

If you know of anyone who is working in the RIM profession who is not a member, please get them to contact (or please forward their details to) Maree Cooper at [maree.cooper@rimpa.com.au](mailto:maree.cooper@rimpa.com.au). Every member means another voice and more strength in the Company.





Lisa Read White, Chair of the Board, RIMPA

# Defining strategic management



Now that we are half-way through 2017, it's a good time to plan the financial year ahead and check your progress towards your calendar year strategy. It's also a good opportunity to remind ourselves of the basics of strategic management.

Strategic management is the process of planning a path, setting goals, priorities, establishing focus points and identifying the gaps between where you are now, and where you want to be. The intent behind a strategy is to improve performance and growth, adjust direction to counter a changing environment, and to ensure staff and stakeholders are working towards common goals.

Strategic management is a continuous process of assessing the business, competitors and industries in which an organisation is involved, as well as defining goals

to meet, and review and assessment points.

The elements of a strategy include the following:

**Strategic intent** – clarifies the vision and guides the development of goals and objectives.

**Mission statement** – describes what an organisation does, who it serves, and what makes the organisation different.

**Vision** – describes where the organisation wants to be.

**Goals** – statements about the future of the organisation, describing the aspiration. These statements do not say specifically how you will meet your goal.

*Note the importance of goals: Setting goals helps define the direction that an organisation will take. They should align with your mission and vision statements. The language may be more emotional and conceptual than used in objectives.*

**Objectives** – the exact steps your organisation must take to reach its goals. They are factual, measurable and quantifiable. They should also be realistic, attainable and have an associated timeline.

*Note the importance of objectives: organisations can use objectives to measure their success and progress toward their goals. Objectives demonstrate your goals are achievable.*

A strategic management process involves five common steps:

**1 Goal setting** – determine your goals and objectives.

**2 Analysis and environmental scanning** – collect relevant information to the goals and objectives, assess threats and opportunities; internal and external factors; strengths and weaknesses.

**3 Strategy formulation** – assess the information collected and determine what is required to meet the goals and objectives. Assess resources, issues and actions required to achieve the objectives.

**4 Strategy implementation** – communicate actions and responsibilities to everyone so they can contribute towards a successful strategy. Implementation may include adjusting the organisational structure, hiring resources, or changing decision making processes.

**5 Strategy evaluation** – measure actual results, review any issues, and take corrective actions.

There are many benefits of strategic management including identification, prioritisation, and exploration of opportunities such as new products or markets.

There are numerous tools and frameworks that could be used in developing a strategic plan. Some of the common tools are as follows:

**SWOT Analysis** – used to identify an organisation's strengths, weaknesses, opportunities and threats. A SWOT analysis helps you identify your strengths and opportunities while minimising weaknesses and threats.

**Gap Analysis** – monitors your progress toward strategic goals by measuring the difference between your goal and where you currently stand.

**PEST Analysis** – evaluates the political, economic, social and technological environment. Helps identify the factors affecting operations in these categories. Political factors include laws regulating businesses, tariffs and taxes. Economic factors include the growth of the economy, interest rates and inflation. Social factors include demographic factors like population growth and

age distribution. Technological factors involve the level of technology and the rate of technological change.

**Five Forces Analysis** – evaluates an organisation's position in the market by assessing the bargaining power of suppliers, bargaining power of customers, threats of new entrants, threats of substitutes and competitiveness in the industry.

There are many strategies to draw from and some you will recognise as a consumer. Some of the common types of strategies that companies employ include:

**Cost leadership** – managing competitive advantage via operating with the lowest costs in the industry. A cost leadership strategy often aims to scale production, producing highly standardised products, and optimise technology. Cost leadership is a result of efficiency, size, scale, scope and accumulated experience.

**Price leadership** – managing competition by setting the price of goods or services, and usually forcing competitors to match prices so they can hold onto market share.

**Differentiation** – by identifying the most common criteria used by buyers and designing a product or service to match. Offering unique features, high quality products, benefits, or services to ensure a brand stands out and as an alternative to price leadership.

**Differentiation focus** – by maximising resources, experience, skills, and marketing across specific market segments to establish a convincing brand.

Once the strategy is set, it's important to measure progress and make relevant adjustments along the way. Possibly the most common tool used in

this regard is the Balanced Scorecard, however the Triple Bottom Line has a place too.

**Balanced Scorecard** – tracks key measures collectively referred to as the four dimensions: financial measures; customer measures; internal business process measures; learning and growth measures.

**The Triple Bottom Line** – emphasises the three Ps: people (ensuring that the actions are socially responsible), the planet (making sure it promotes environmental sustainability), and traditional organisational profit.

There is a lot written on strategic management in all its forms. It's easy to get lost in the details and volumes of information available on this topic. The most important thing to remember is whatever strategy you choose, it must be tracked, communicated and understood to be implemented and successful.

**Lisa Read White**  
RIMPA Chair of the Board

*Note the importance of goals: Setting goals helps define the direction that an organisation will take. They should align with your mission and vision statements.*



# WORLDWIDE NEWS

## Oregon archivist Tiah's got "a bit of hops DNA"

Archivist Tiah Edmunson-Morton reckons she's got "a bit of hop DNA" in her blood. She's a great-great granddaughter of a 19th-century American hop farmer and now she runs the nation's first Hops and Brewing Archive at the State University of Oregon, one of the largest hop-growing regions in the US.

Four years ago, she began recording stories and materials connected to the Northwest state's long history in hop cultivation, as well as home and commercial brewing history. Last year, the university expanded the archive to include cider, mead and barley.

Now, Ms Edmunson-Morton wants to grow the collection and writes in her website, [thebrewstorian.tumblr.com](http://thebrewstorian.tumblr.com) a plea for:

"Unique, historic, or rare items of enduring value deemed worthy of long-term preservation ... related to the brewing industry in Oregon to help us save items that will tell their stories to future generations. Those could be items that document the past, but also items that convey the current brewing scene to someone in the future."

The archivist's heritage goes back to pioneer Henry Lawrence Edmunson who planted hops in the late 1800s and grew them on a small holding in the district of Goshen just off Route 99 in the west of the state. She understands the unwanted side-effects of the brewing business and cautions 'enthusiastic' contributors to the archive:

"We're building an archive and preserving a story. Your submissions will show others what makes the brewing history in Oregon so unique and extraordinary.

"But... while we encourage you to express yourself, share, or debate, we expect that you are respectful and civil. This is the part where we say 'we reserve the right to delete anything



Oregon Hops and Brewing Archive archivist, Ms Tiah Edmunson-Morton.

objectionable'. And because this community tends to be enthusiastic, we also may want to share your fabulous submissions."

Last month, the archivist told iQ: "One of the things I'm most proud of are all the oral histories I've collected, 70 as of last month. All of those are listed here, [bit.ly/OHBAoralhistory](http://bit.ly/OHBAoralhistory)."

She added: "'All of the minutia makes for a larger story. It's like the needles on a tree that make up a forest."

Local on-line newspaper, *Capital Press*, picked up the archive expansion story and reported: "Because she spends her days collecting it, Tiah is a veritable storehouse of hop history, excitedly chatting about everything from the crop's first shipping records in the 1820s found at Fort Vancouver, to more recent acquisitions donated by multi-generational hop-growing families."

## NZ reviews copyright law for digital effectiveness

The New Zealand Government is reviewing its 1994 Copyright Act "to assess its effectiveness for digital technology" and has set up a mailing list for public distribution of updates. Public consultations will be held early next year.



ABOVE: NZ Commerce and Consumer Affairs Minister Jacqui Dean.

Terms of reference for the review have been published by NZ Commerce and Consumer Affairs Minister Jacqui Dean. In her June release, Ms Dean declared: "Copyright affects how people create, distribute and access information. It is important we ensure our copyright regime is fit for purpose in today's rapidly changing technological environment."

The review will build on insights from the Government's study of the role of copyright and designs in the creative sector, completed last year grandstanding the range of challenges for users, creators and owners of digital content.

Ms Dean said: "This review will look into these opportunities and challenges to ensure we have the right settings in New Zealand. I want stakeholders to get involved in the early stages of the review.

"In the coming months, we will develop the issues paper and will be looking to engage with the wider industry."

The terms of reference, and further information on the review and last year's study are available on the website of the NZ Ministry of Business, Innovation and the Employment at: [mbie.govt.nz/info-services/business/intellectual-property/copyright/review-copyright-act-1994](http://mbie.govt.nz/info-services/business/intellectual-property/copyright/review-copyright-act-1994).

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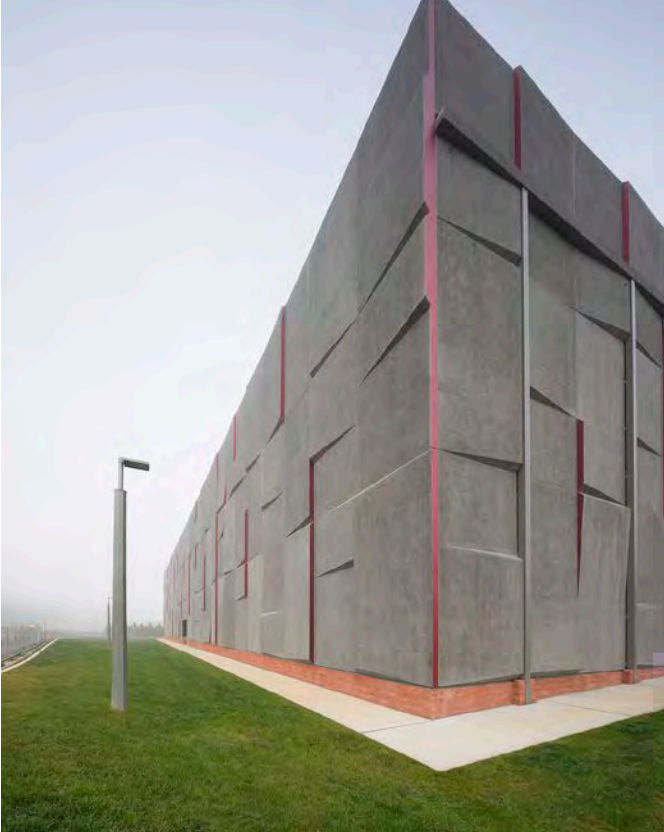


Safeguarding the nation’s memory

The new National Archives Preservation Facility in Canberra was opened on 9 June, by Attorney-General and Minister responsible for the Archives, Senator the Hon George Brandis QC.

The national archival collection comprises millions of Australian Government records, reflecting our history and identity. They include paper and audiovisual files, models, maps, plans and photographs. The Archives is charged with preserving, storing and making accessible these records for the benefit of all Australians.

“This is a monumental moment in the Archives’ history,” said Archives Director-General David Fricker. “With the opening of the National Archives Preservation



Facility – on International Archives Day – the continued preservation of significant aspects of Australia’s heritage is ensured.

“This includes fascinating reports of UFO sightings, incoming passenger cards for the Beatles’ 1964 tour of Australia, and rare archival footage from the ABC.”

The National Archives Preservation Facility provides contemporary storage for more than 100 kilometres of paper records and nine kilometres of audiovisual records. End to end, the records stored at the new facility would circle Uluru about 12 times. This represents around one-quarter of the national archival collection and one of the largest movements of official records in the Archives’ history.

The new environmentally friendly building measures a total area of 17,000 square metres. It houses contemporary purpose-designed workspaces for conservation and digitisation activities, and office accommodation for 150 staff.

The National Archives Preservation Facility also provides increased capacity to transfer and store digital records, as Australian Government agencies transition to digital information management, a process in which the National Archives plays a lead role.

Note: The Archives’ public reading room, galleries and events will continue to operate from its National Office in the Canberra suburb of Parkes.

Archives NZ repository closed for repairs after big earthquake

Archives New Zealand has suspended transfer of physical files to its Wellington headquarters repository until December while it repairs damage done in a massive earthquake last November and its swarm of heavy aftershocks in the following weeks.

Chief Archivist Marilyn Little announced in June: “A program of remedial work will be undertaken to repair and replace damaged shelving in the repository following the Kaikoura earthquake. The storage space currently available is needed to allow us to move archives away from areas of remedial work to ensure appropriate archival care.”

Ms Little explained: “The suspension affects public service offices that are intending to transfer physical records to the Wellington repository. Transfers to the Auckland and Dunedin repositories are not affected. The Christchurch repository continues to have extremely limited ability to accept transfers’. Transfers of born-digital records are not affected.”

Like many government and privately-owned buildings in Wellington, the Archives NZ block, a 1920s-built former

government printing office, was sealed for inspection immediately after the ‘quake. Isolated structural damage was found. Areas of repository shelving had been distorted and displaced, some affected by leaking water pipes.

Building, shelving did their job

In a special release for iQ, the Archives reported: “Additional bracing was undertaken on the office space. Repository areas on floors below the damaged sub-structure had to be protected during remedial work.”

The release confirmed: “Only a handful of boxes had been affected by water and needed salvage attention. No archive material suffered permanent damage; for the most part, the building, shelving, and boxes all did their job.”

The magnitude 7.8 ‘quake was centred 150 kilometres to the south, near the South Island coastal town of Kaikoura. It caused vast geological damage and two deaths locally, and wide-spread structural damage in the capital.

One of Archives NZ’s neighbouring blocks, a private sector nine-storey office tower, has already been demolished. The 10-year-old, six-storey NZ Defence Force headquarters across the road from Archives is due to be ‘deconstructed’ by early next year and rebuilt after sustaining major structural damage.

In the Archives building, areas around damaged shelving were closed until secured by contractors. Staff unloading damaged shelving were instructed not to work alone, were required to wear construction hard hats and carry mobile radio-phones. Escape routes through repository areas were regularly up-dated.

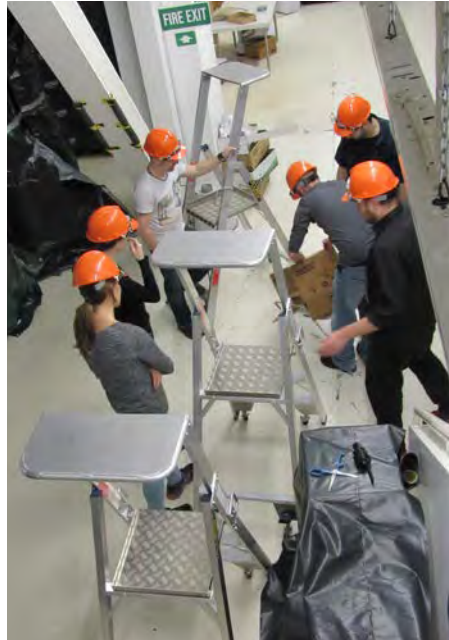
Costs not yet known

The Archives statement said: “The full extent of the work and cost are not yet known as we are awaiting results of further seismic testing of shelving to evaluate the risks to staff safety and safe egress should another earthquake occur.”

Archives Director Holdings & Discovery, Ms Denise Williams, praised staff for work done protecting holdings whilst the preparatory remedial work was undertaken, “gradually reducing the percentage of records inaccessible from 24% to 1%”.

Ms Williams told iQ: “The shelving stood up well, thanks in part to the nature and direction of the shake, and is safe to use but we now need to ensure that it will withstand another seismic event”.

The institution plans to have the six-month remediation work completed in December.



ABOVE: Denise Williams, Archives NZ, Director Holdings & Discovery.

LEFT: Archives NZ staff in the repository protecting the holdings during the initial remedial work.

Footnote  
1 Archives NZ Christchurch branch building was extensively damaged in the 6.3 magnitude earthquake in the city February 22, 2011, and its many aftershocks.

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Jan Müller, CEO,  
Australian National Film  
and Sound Archives.

## New NFSA boss to lead “investment in digitisation”

The boss of the Netherlands Institute for Sound and Vision and a former Saatchi & Saatchi advertising executive has been head-hunted to lead Australia’s National Film and Sound Archive.



Mr Jan Müller, chair of the Europeana Foundation and a former president of the International Federation of Television Archives, was appointed to the four-year position in July.

The posting was greeted enthusiastically by professional leaders. Chair of the film and sound archive (NFSA), Ms Gabrielle Trainor, AO, said the appointment heralded an

exciting new stage. She declared:

“We are in transition from an archive whose visitation and use has been limited by our physical footprint and outreach effort, to a collection which also can be accessed for research, education and enjoyment by exponentially more people, from their devices, online.

“This requires re-invention of our physical presence and public engagement and a substantial ongoing investment in digitisation. Jan’s experience will be invaluable in leading us through this evolution.”

Mr Müller will take up the role in October. Ms Meg Labrum, NFSA Collection General Manager, will continue as Acting CEO until then.

### NFSA internationally regarded

In the NFSA announcement, Mr Müller said he was delighted to be joining the NFSA, an internationally regarded institution, to contribute to the next phase of its development.

“The NFSA has a great history and committed staff and stakeholders. I welcome the opportunity to help maximise its relevance to the community it serves and the industries it celebrates.”

He told the *Canberra Times* newspaper he would focus on digitisation and innovation, bringing experience from the Dutch effort to digitise and preserve cultural artefacts including video games, websites and interactive documentaries.

He said that, during a visit last year, he was impressed by the archive’s work.

“For me, it’s always been one of the examples in the world of how an archive, how a public institution, dealing with digital cultural heritage should function. In that way, it’s great to be able to work with them.” Mr Müller will relocate to Canberra with his family for the role.

### Next issue

## inForum wrap-up

The November 2017 issue of iQ is our annual conference wrap-up issue, with all the highlights from inForum. If you have an article on any RIM-related topic you would like to be included in this issue, we would love to hear from you.

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# THE NAME GAME:

## Information Governance and RIM

Names matter, and can help with the implementation of information governance and compliance.

By Craig Grimestad

It has been suggested by some that information governance is simply records and information management rebranded. Why might that be?

If you look at the multitude of definitions for information governance, it is easy to see that its scope of activity far exceeds that of records and information management (RIM). Perhaps in part, individuals think information governance is RIM rebranded, because those advocating and working toward information governance implementation are often the same individuals with the same titles as those formerly working RIM. Changing the job titles and job descriptions for those working in information governance might go a long way to improve the perception and understanding of the transformation to information governance that is taking place.

If you are in RIM, you are working to assist the company to properly manage the records and information it obtains or produces. This is a service-oriented activity helping to guide departments and individuals in their creation, capture, use, retention, and disposal of records and information to efficiently meet business objectives and legal requirements.

If you are in information governance, you are also overseeing and directing the company to properly manage the records and information it obtains or produces. This is an authoritarian function that, in consultation with functional areas, establishes and controls how various departments and individuals create, capture, use, retain, and dispose of records and information. Recognising that records are corporate assets (see 'Psychology of RIM – The Foundation', iQ,

February 2013), information governance, at its full potential, minimises costs and maximises efficiency (see 'Psychology of RIM – Information governance is free, iQ, May 2017).

Starting at the top position, it would be well to have representation of information governance in the title. My preference is for that individual to have the title of 'governor' – Information Governance Governor. That sends a message. You could use 'director', 'vice-president', or another more traditional title component, but 'governor' is unique.

Governor is non-traditional, conveys an image of authority, creates intrigue as to content and scope, and easily allows for responsibilities that transcend all other business activities.

Other positions in the information governance organisation should also be reflective of an individual's connection to the corporate program and the active role they have in the governance of records and information for their area of responsibility. Consider using other non-traditional titles of 'envoy' and 'emissary'. Titles like 'representative', 'liaison' or 'leader' might also be effective in specific situations.

As companies establish their information governance organisation and business functions, it is important for information governance to break out and break free from traditional RIM thinking. Establishing titles (and responsibilities) for those within information governance that are distinctive from RIM will help the organisation (departments and employees) to recognise the change, and accelerate implementation and compliance for information governance. ❖

*Changing job titles ... for those working in information governance might improve understanding of the transformation that is taking place.*

### ABOUT THE AUTHOR

Craig Grimestad is a senior consultant with Iron Mountain Consulting. His specialty is designing RIM core components with a sub-specialty for RIM auditing. Craig holds a Masters of Science degree in Engineering and was the records manager for the Electro-Motive Division of General Motors where he participated in the development of the GM Corporate RIM program, and implemented and managed Electro-Motive Division's RIM program.

➔ He blogs to: [infogoto.com/author/cgrimestad](http://infogoto.com/author/cgrimestad)



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# NOT COMPLIANT? POOF! ... THERE GOES OUR BUSINESS CASE

It's important for all of us as records and information management professionals to educate the executives of our organisations about our role in the organisation. Here's why.

By James Price

Information is one of only four business assets available to management and records managers know more about managing that asset than anybody else.

Records managers understand what the business does, what information assets are deployed to conduct each business activity, what information is vital to the organisation and how to manage that information through its information lifecycle to its eventual destruction.

Only our profession, and I include librarians, historians, archivists in this, knows how to manage an organisation's information assets the way we do. Especially not IT.

The best conversation I've seen on the RIMPA listserve recently was about a Victorian State Government advertisement for "anyone interested in an exciting role with the Victorian Electoral Commission ... RM Administrator". It was worded thus:

"Administrative assistance, including maintaining and arranging postal credit, stock maintenance and service requirements associated with franking machine and special mail items, Reception relief, catering, ordering milk."

## FIERCE REACTION

RM colleagues reacted fiercely, describing the advertisement as a "sad indictment" and "that in (this) day and age records management roles and profession are still treated as jacks of all trades". This article is based on my posting to the listserve conversation. It was great to see some real emotion in the thread.

It is incumbent upon each and every one of us to educate the executives of our organisations. We are the people who know about this stuff and if we are not educating them, then who will? And whilst the executive remains uneducated, the sort of rubbish we see not only from the Victorian Electoral Commission but from most organisations will continue.

Records management will continue to be seen as a boring, unimportant, compliance-driven activity that is a sunk cost, is done in the basement and has to be tolerated. We are all in this together and there is a wealth of material and people available to help. So whilst we get frustrated by obvious incompetence, let's get out and show them the business value that good information management practice can drive.

There is no point in having debilitating and divisive debates about the differences between information management

professions and between information types. Who cares we are an historian or a librarian or if it's data or documents or records or content or knowledge? It's just not important.

## UNIFY AS PROFESSIONALS

What is important is unifying as information management professionals. What is important is identifying our enemy. And the enemy is anybody who thinks that throwing technology at an information management problem will make it go away. We all know it won't. Once we know who our

audience is and who our enemy is, we know what we have to say and who to say it to.

We must stop using compliance as justification. It's not. Granted it is a great catalyst for action and therefore of real value but as the chief information officer of a large government agency said, "I will invest until I'm compliant and I will invest not one cent more."

He left a lot of money on the table. Why? Because business simply doesn't care about compliance. What is the penalty for non-compliance? Usually nothing. So if it's going to cost hundreds of thousands or millions of dollars to comply, then the right business decision is not to. And – poof – there goes our business case.

What the business cares about is the right people having the right information at the right time so that they can do their jobs, provide their advice and make their decisions. Current research shows that on average 9.4 hours per person per week is wasted through searching, recreating and so on.

That's more than one day per week. Wasted!

That's a potential business benefit of more than 20%.

Now, that is what the business cares about. ♦

*We are all in  
this together and  
there is a wealth of  
material and people  
available to help.*

## ABOUT THE AUTHOR

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# GOODBYE ECM... HELLO DIGITAL CONTENT SERVICES:

## *Getting RIM onto the enterprise radar*

The formal splitting of ECM into the two new sub-categories – Transactional Content Services and Business Content Services – was first started by Forrester in 2015, and is now being promoted by Gartner. In this article, the author proposes a third category – ‘Digital Content Services’, and suggests that RIM professionals take the lead role in this quantum industry leap.

By Linda Shave



Most enterprises continue to pursue a traditional approach to developing records and information management (RIM) strategies. Strategies that, over time, have failed to support enterprise drivers for change and have hampered RIM professionals gaining stakeholder buy-in, preventing RIM from being placed on the enterprise radar. However, we are now at the beginning of something new ...

### THE FOURTH INDUSTRIAL REVOLUTION AND IOE ARE HERE

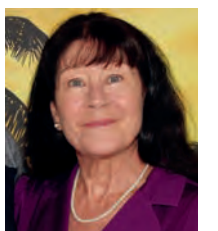
The Internet of Everything (IoE) is where objects are connected with other objects, people, processes, data and things. It is a world that is linked by cyber-physical systems that are meshing the real and virtual worlds together, and is fuelled by omnipresent networks and sensors, independently recognising, collecting, exchanging, processing, analysing and responding to gargantuan amounts of digital data. Amongst all of these changes, it is interesting to note that Gartner somewhat quietly announced that ‘ECM is now dead (kaput, finite, an ex-market name)’ in a blog entitled ‘The death of ECM and birth of Content Services’.

This declaration by Gartner on 5 January 2017, that after approximately 16 years the term ‘ECM’ (Enterprise Content Management) is defunct, should be seen as an opportunity, not simply a door closing. As we cross the boundaries between the real and the virtual worlds and the IoE, omnipresent networks and sensors may be the golden opportunity for RIM professionals to shape our destiny. We need to grasp the opportunity and show we have the agility needed to alter our direction and embrace different approaches for digital information management into the future. Nevertheless, in order to reshape our destiny and put RIM on the enterprise radar, we need to go on a journey of discovery.

#### ABOUT THE AUTHOR

Linda Shave is acknowledged as a thought leader and architect of change. She is a researcher, consultant and auditor in areas of virtual information asset management, business process management, cloud migration, corporate governance and risk management. Linda is a former CEO, CIO and a member of numerous professional organisations.

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RIP ECM – WHAT DOES THE DEATH OF THE TERM ‘ECM’ MEAN?

There are a number of drivers that are timely, if not a little daunting, for RIM professionals. It seems ECM is now defunct and has been replaced with two new ‘Content Services’ categories: Transactional Content Services and Business Content Services (see Table 1). It would appear that the functions and activities of ECM are being aligned to the category of Business Content Services – although what ‘components’ actually make up Business Content Services has not yet been clearly articulated.

This assumption that ECM might be aligning with Business Content Services is supported by John Mancini, chief evangelist at the AIIM global community of information

professionals. Mancini, in *The CMS Wire* on 20 May 2017, suggests that Business Content Services aligns most closely to ‘traditional’ ECM. He also stated that ‘Re-evaluating traditional “legacy” ECM implementations in business content terms ... will ultimately turn the ECM world upside-down’.

This raises some questions because nearly every government agency has an ECM product of some description. Such questions might, for example, include the following:

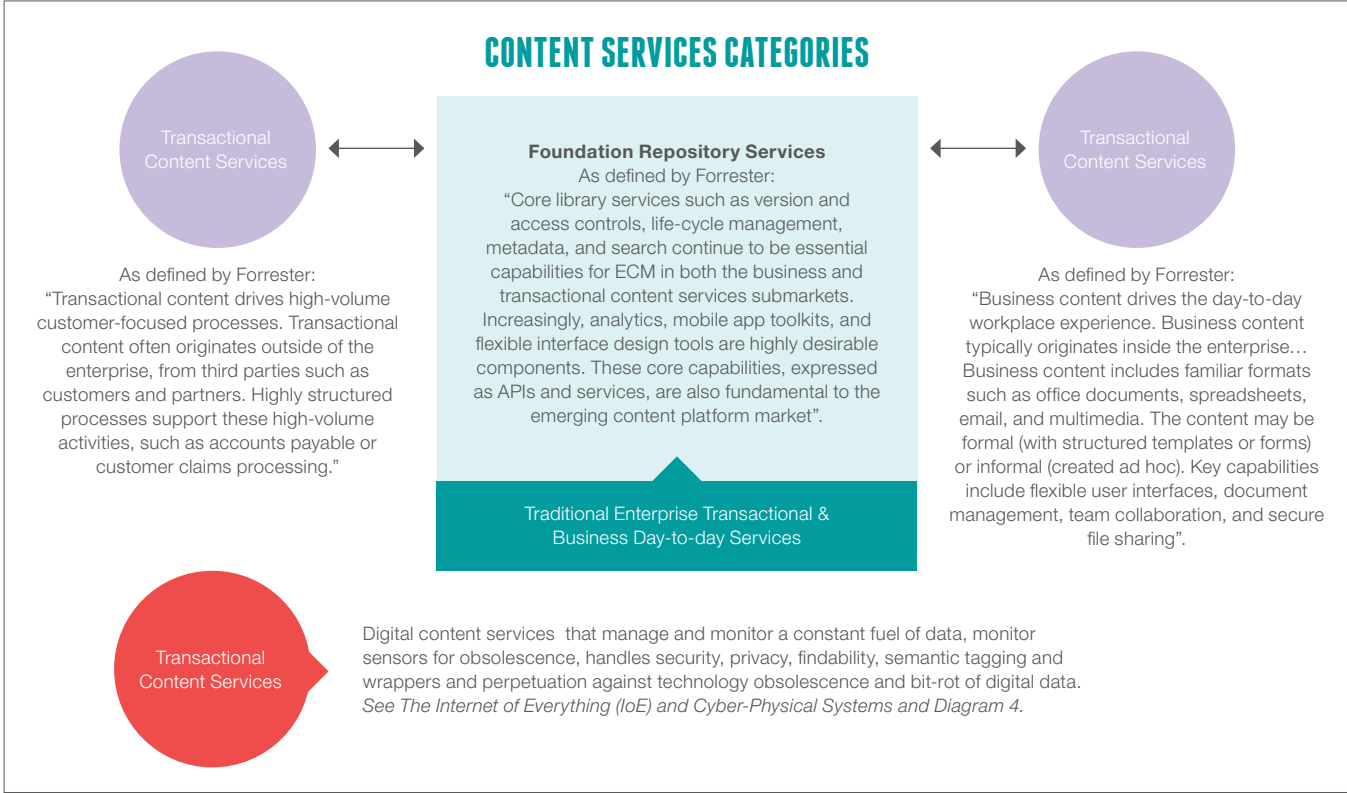
- ◆ What will this mean for government and private agencies?
- ◆ What might be the outcome of this revelation for current suppliers of ECM products and services?
- ◆ Will current ECM products be supported or will they become obsolete?

Table 1: Transactional & Business Content Services and Foundation Repository Services as defined by Forrester in The Forrester Wave™: Enterprise Content Management – Transactional Content Services, Q2 2017

| Type  | Description  |
|---|--|
| Transactional Content Services  | Transactional content drives high-volume customer-focused processes. Transactional content often originates outside of the enterprise, from third parties such as customers and partners. Highly structured processes support these high-volume activities, such as accounts payable or customer claims processing.  |
| Business Content Services   | Business content drives the day-to-day workplace experience. Business content typically originates inside the enterprise ... Business content includes familiar formats such as office documents, spreadsheets, email and multimedia. The content may be formal (with structured templates or forms) or informal (created ad hoc). Key capabilities include flexible user interfaces, document management, team collaboration and secure file sharing.             |
| Foundation Repository Services are table stakes for both ECM categories | Core library services such as version and access controls, life-cycle management, metadata, and search continue to be essential capabilities for ECM in both the business and transactional content services submarkets. Increasingly, analytics, mobile app toolkits, and flexible interface design tools are highly desirable components. These core capabilities, expressed as APIs and services, are also fundamental to the emerging content platform market. |

Source:  
The Forrester Wave™: Enterprise Content Management – Transactional Content Services, Q2 2017  
[http://www.project-consult.de/sites/default/files/2017-04/Forrester\\_Wave\\_BCS\\_Business\\_Content\\_Services\\_4\\_2017.pdf](http://www.project-consult.de/sites/default/files/2017-04/Forrester_Wave_BCS_Business_Content_Services_4_2017.pdf)

Diagram 1: Adding a third category – Digital Content Services



- ◆ How do we move forward?
- ◆ If it is intended that current functionalities of ECM move to Business Content Services as a Software-as-a-Service, what are the components and impacts on current ECM legacy implementations, interoperability and IM architectures?
- ◆ What does this mean for RIM professionals?

THE BIRTH OF ‘CONTENT SERVICES’

The formal splitting of ECM into the two categories of Transactional Content Services and Business Content Services was first started by Forrester in 2015. In 2017, Forrester is continuing the practice of splitting ECM into the two submarket groups, and this practice is now being promoted by Gartner.

Without appearing to be censorious, the splitting of ECM by Forrester into the two sub-categories is hardly a revelation, as they are both core activities within the day-to-day operation of an enterprise. It is not clear what core ‘components’ actually make up the two sub-categories. However, what is interesting is the reference by Forrester to ‘foundation repository services’ that ‘core library services ... continue to be essential capabilities for ECM’ for both sub-categories. See Table 1.

This reference to ‘services’ might suggest a marketing tactic for promoting Transactional Content and/or Business Content Services to enterprises as a software-as-a-service (SaaS) model. The underlying components of these ‘content services’ platforms will then require the foundation repository services in order to perform RIM functions. These core capabilities are being expressed as APIs and services. See Table 1.

Interestingly, Mancini – in the same *CMS Wire* blog – argues: ‘ECM in the traditional context was not designed for people who needed to work with content daily, but for those who needed to record the content’. He then goes on to say ‘... solution providers that are part of this change are struggling with their identity as an industry’. And further, ‘We are at the cusp of a new era, still to be defined ... ECM needs to become PART of the puzzle, rather than the puzzle itself ... at the core of all this is a change in the underlying assumption of what content management is all about’. Mancini has certainly provided some interesting observations.

It is interesting to note that Gartner and those industry players who are now promoting ‘content services’ are the very same people/players who, in approximately 2001, pushed the barrow for changing the term ‘electronic document and records management’ (EDRM) to ‘enterprise content management’ (ECM). It was this same group who promoted to the enterprise the five components of ECM, first defined by AIIM as ‘capture, manage, store, preserve and deliver’.

There is indeed a need for change. However, the proposed sub-categories – Transactional Content Services and Business Content Services – and the Foundation Repository Services do not appear on the surface to address the new era of all things digital.

In fact, you could go so far as to say that on the surface they would appear to be offering traditional on-premises ECM services under a different disguise. There is a gap, and therefore the need for a third category – in keeping with the theme ‘content services’. Let’s call this ‘Digital Content Services’. See Diagram 1.

Digital Content Services will need to take a holistic view and consider a much bigger picture. It has to encompass managing, protecting, storing and perpetuating the

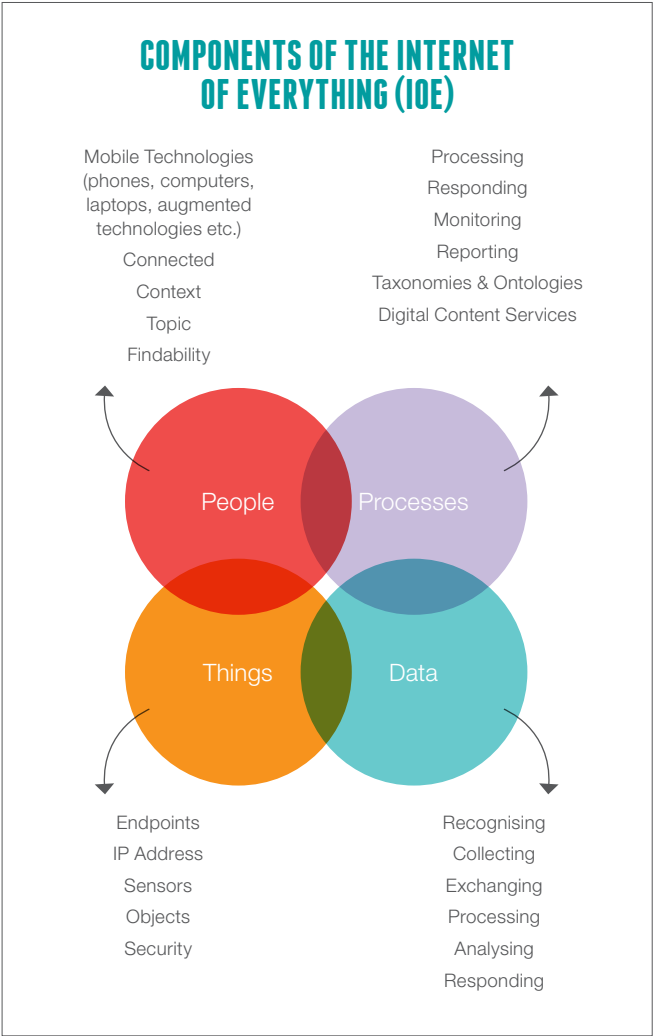


Diagram 2: The four components of the IoE

gargantuan amounts of digital data as an outcome of the IoE and cyber-physical systems. See Diagram 4.

THE IOE AND CYBER-PHYSICAL SYSTEMS

What is the Internet of Everything? In simplistic terms, people, process, data and things make up the four components of the IoE. Diagram 2 provides a snapshot of what each of the four components relate to.

At the foundation of the IoE are cyber-physical systems. The combination of cyber-physical systems and the IoE are making the development of smart products and services possible. Cyber-physical systems are transforming how we communicate and interact and are meshing the real and virtual worlds together. A simple example of real and virtual worlds being meshed together is the mobile phone, which was once simply a phone and today is a computer, GPS navigator, banking tool, camera, TV, audio/video recorder, entertainment centre etc.

Diagram 3 aims to reflect the role that cyber-physical systems play in transforming how we communicate and interact through the four components of the IoE: people, processes, data and things. For example, in Diagram 2 we can see that the IoE is fuelled by data that is being constantly collected, exchanged, processed etc. In Diagram 3, we can see that this ‘data’ is the lifeblood for continued research and development for producers of smart products and services.

Further, Diagram 3 is attempting to showcase that the



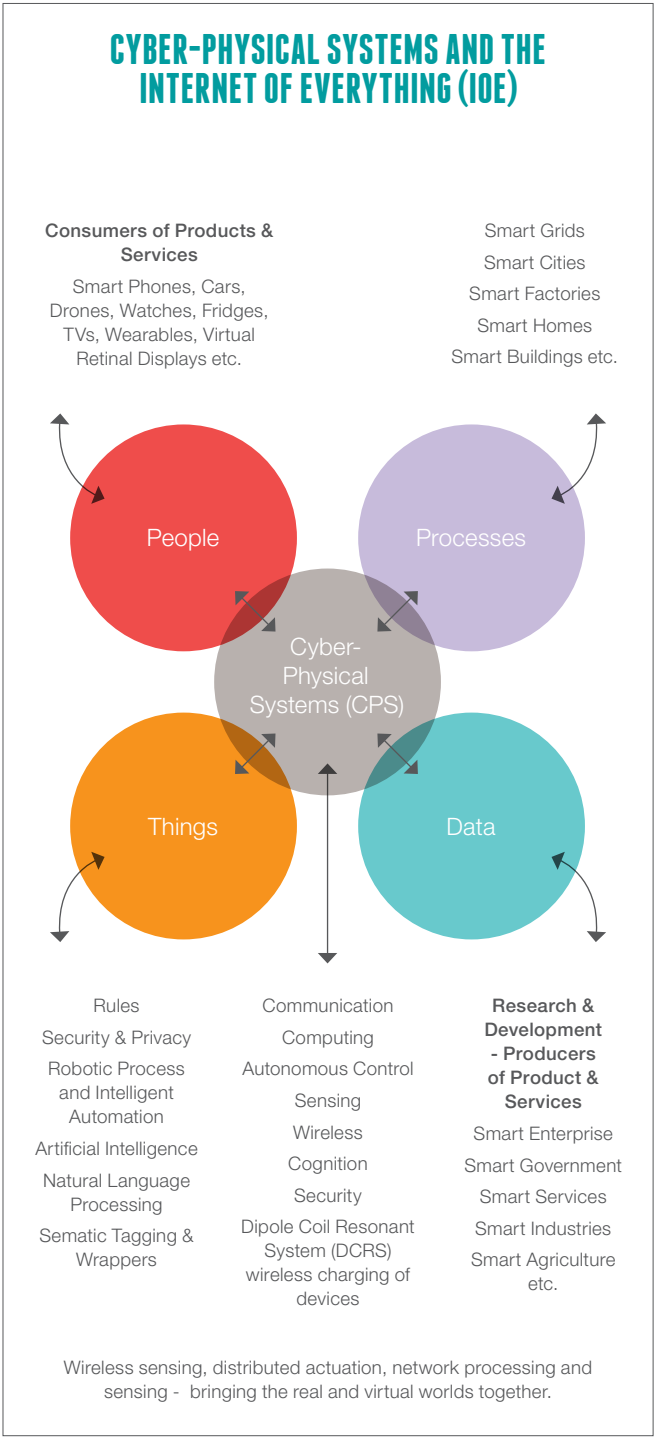


Diagram 3: Sample cyber-physical systems: the foundation of the IoE

outcome of wireless sensing, omnipresent networks and sensors and the constant flow of real-time data is constantly being pushed and pulled via cyber-physical systems. This real time data is the backbone for smart products and services which in turn enable smart grids, cities, factories, homes, building and connected lifestyles for people who are the consumers of these smart products and services.

Diagram 4 represents the suggested third category 'Digital Content Services'. It is attempting to visualise that Digital Content Services would need to manage the constant flow of real-time data that is being captured, exchanged, processed etc. Not only between smart enterprises for

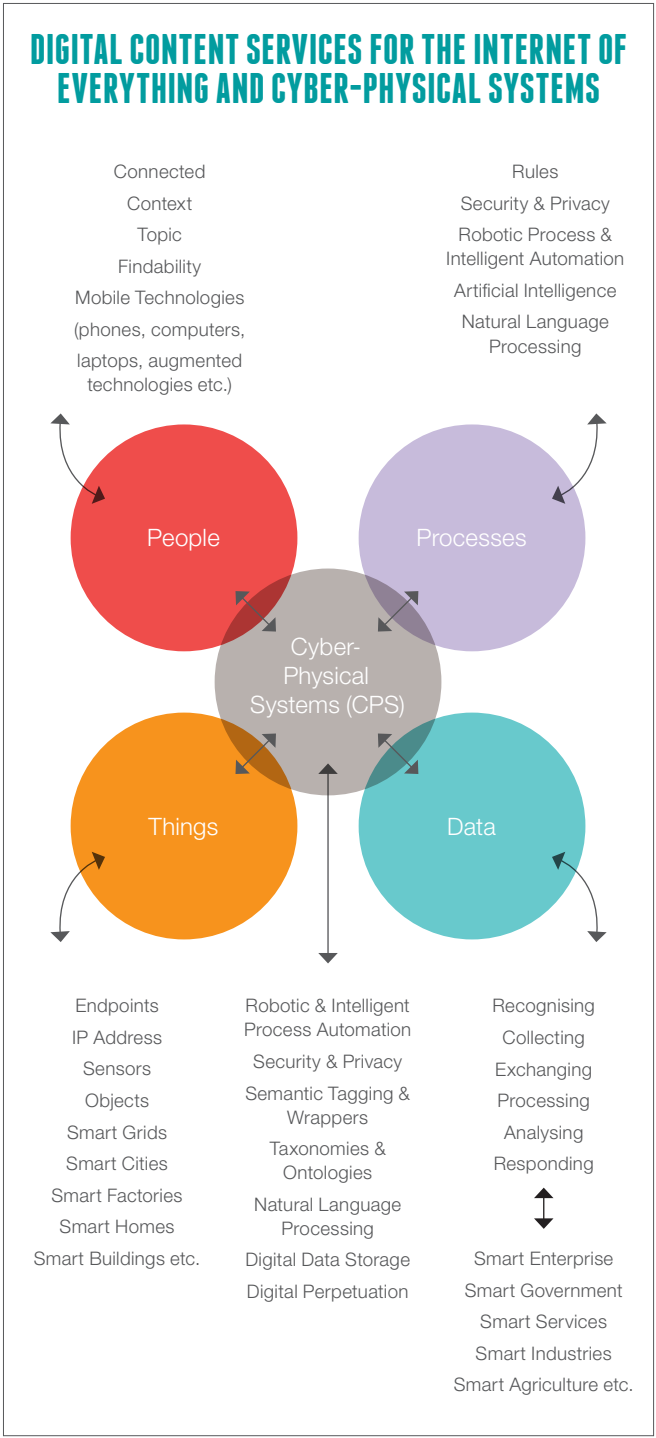


Diagram 4: Sample Digital Content Services for cyber-physical systems and the IoE

day-to-day business activities, but also for the production and management of smart products and services. Smart products and services that capture, exchange, and process data across smart grids, cities, factories, homes and buildings to consumers (people) who use smart phones, fridges, wearables and so on.

Diagram 4 takes into consideration the need to manage, protect, store and perpetuate the vast amounts of digital data as an outcome of the IoE and cyber-physical systems. Digital content services will also need to consider sensor obsolescence monitoring, security, privacy and perpetuation against technology obsolescence and bit-rot of digital data. A

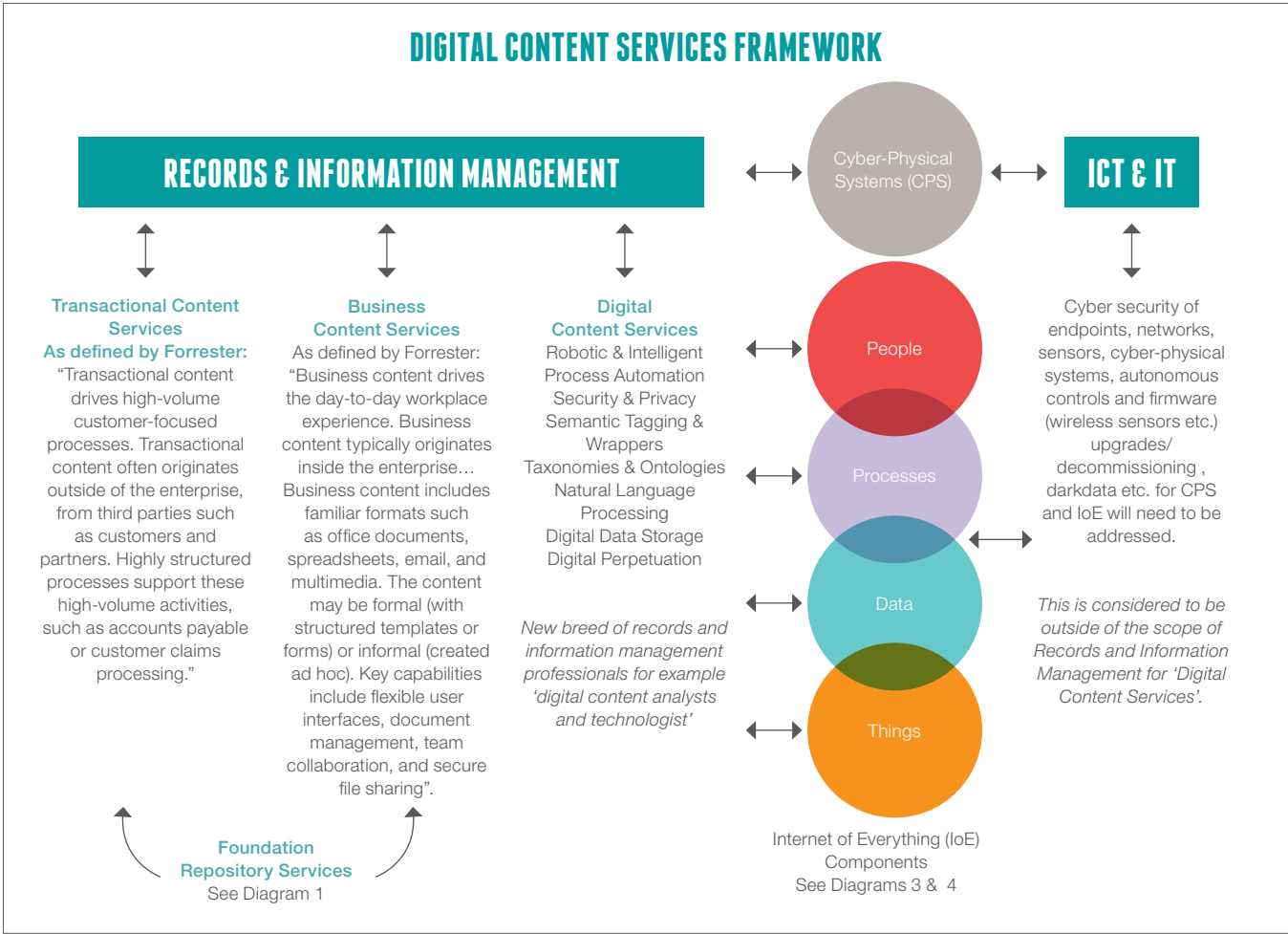


Diagram 5: Proposed Digital Content Services Framework

further consideration will be the need to manage 'dark data' – that is structured and unstructured data that over time can become disjointed, the meaning for which it was collected now nonexistent, and data or records forgotten and files lost. This inactive information can include confidential, personal or sensitive information.

Digital Content Services will bring together a new breed of RIM professional – eg, digital content analysts and technologists skilled in the use of such tools and activities as taxonomies and ontologies, semantic tagging and wrappers, robotic and intelligent process automation, digital perpetuation and strategic planning. Digital Content Services as defined in Diagram 4 will also sit within a Digital Content Services framework. See Diagram 5.

Finally, the cyber security of endpoints, networks, sensors, cyber-physical systems and autonomous controls will need to be addressed by ICT and IT practitioners, as these components would generally be considered outside of the domain of the RIM Digital Content Services Framework. See Diagram 5.

**GETTING DIGITAL CONTENT SERVICES ONTO THE ENTERPRISE RADAR**

This article opened with the observation that the majority of enterprises continue to pursue a traditional approach to developing RIM strategies that have had their foundation in old ECM initiatives.

If we are to take seriously Mancini's comments that "... solution providers that are part of this change are struggling with their identity as an industry", then we – as

RIM professionals – are at the crossroad for being part of discussions and reshaping the industry, as we best understand and represent our industry. Diagram 5 shows that the RIM industry is already thinking about the future of all things 'digital'.

Yes, we do have some way to go in shaping our destiny and demonstrating our willingness to alter our direction. We need to discuss what new rules, tools, strategies and approaches are needed to promote RIM as the overarching umbrella for the Digital Content Services Framework. This is our opportunity to Digital Content Services onto the enterprise radar and the key 'go-to body' to make it all happen.

As RIM professionals, we should embrace this opportunity, open up discussions with vendors and government and take the lead role in this quantum leap to Digital Content Services. ♦

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# Data: The best investment

Managing data is hard, but it's the best strategic investment CXOs can make.

By Jay Zaidi

Here's a sobering statistic – digital disruption is the main reason why 52% of Fortune 500 companies have disappeared since 2000. Social, Mobile, Web, and Internet of Things (IoT) technologies are generating an enormous amount of data – which is a bonanza for organisations that have the capacity and know-how to capture, cleanse, integrate and analyse it to generate deep insights, but a challenge for those that aren't able to. Organisations that are oblivious to the enormous power of data and don't invest in data management and advanced analytics are either getting disrupted or shutting down.

Ray Wang, the author of *Disrupting digital business: create an authentic experience in the peer-to-peer economy* (Harvard Business Review Press, May 2015), states the following about digital disruption in an interview with *Upstart Business Journal* – the changes are the result of the digital business models creating disruption in the marketplace. While about 5% of organisations are leaders in proactively transforming their business models to adapt to the latest technologies (Microsoft, Oracle, Apple, Amazon, Facebook, and Uber among them), he says about 30% of companies are laggards who don't want to change their business models.

"Digital Darwinism is unkind to those who wait," he said. "Anybody, even the smallest startup can overtake a large Fortune 500 company because it's the non-traditional competitors that are creating new customers and new customer classes."

Billions of human beings, every organisation, and most smart devices generate digital exhaust which manifests itself as multi-structured data.

In order to make this point, I've designated the Fourth Industrial Revolution the 'Age of Data' and address the implications of this new reality for organisations and their

leaders in my books *Data-driven leaders always win: an essential guide for leaders in the age of data* and *Data-driven leadership: a new paradigm in the digital age*.

## THE FOURTH INDUSTRIAL REVOLUTION OR THE AGE OF DATA

Klaus Schwab, the founder and executive chairman of the World Economic Forum states:

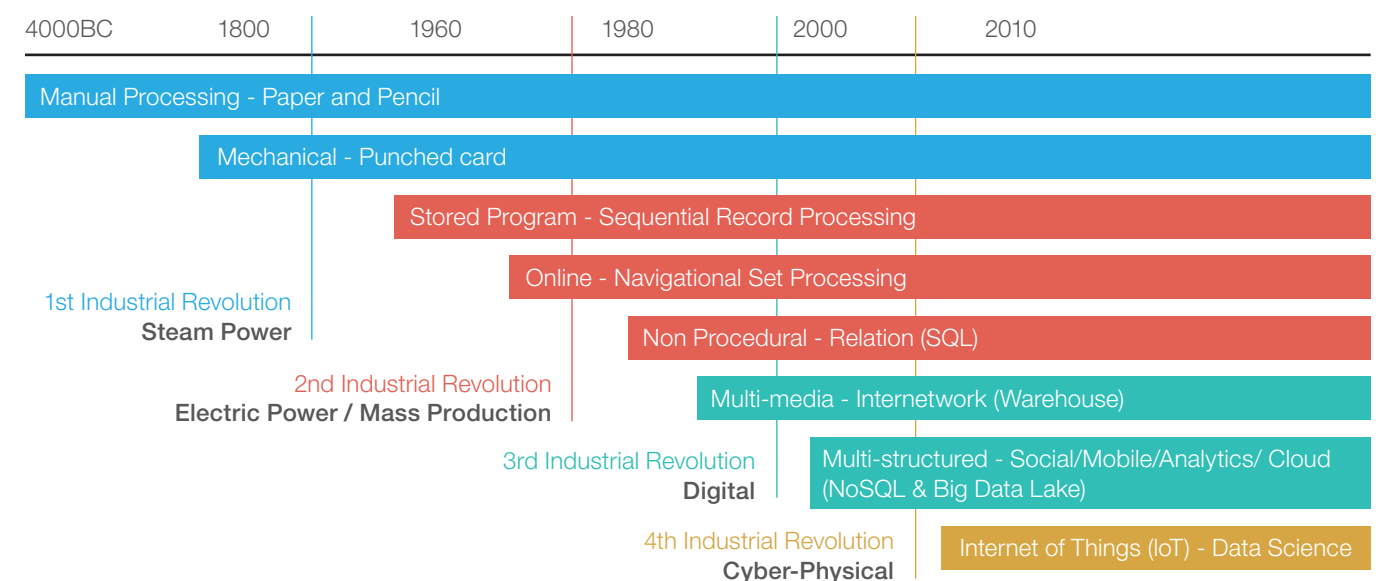
"We stand on the brink of a technological revolution that will fundamentally alter the way we live, work, and relate to one another. In its scale, scope, and complexity, the transformation will be unlike anything humankind has experienced before." Klaus is describing the Fourth Industrial Revolution or the digital revolution that has been occurring since the middle of the last century. It is characterised by a fusion of technologies that is blurring the lines between the physical, digital, and biological spheres. Ubiquitous mobile computing, artificially-intelligent robots, self-driving cars, neuro-technological brain enhancements, and genetic editing – are evidence of dramatic change that is occurring all around us and it's happening at exponential speed. This World Economic Forum documentary (<https://www.youtube.com/watch?v=kpW9JcWxKq0>) describes the new reality and its impact on the way we live, work, and interact with one another.

While about 5% of organisations are leaders in proactively transforming their business models to adapt to the latest technologies ... about 30% are laggards

## A HISTORICAL PERSPECTIVE – FROM PUNCHED CARDS TO NOSQL DATABASES

An understanding of the evolution of data types, data storage technology, data management tools, data access, and analysis is essential to appreciate how we arrived at the current state. Figure 1 depicts the transformation of data management from the First Industrial Revolution (Mechanical Production) to the Fourth Industrial Revolution (Cyber-Physical).

Figure 1: A historical perspective of data management





| Time Period  | Data Format                                   | Persistence Tier  | Output  | Tools                             |
|--|---|---|---|-----------------------------------|
| 1st Industrial Revolution - Mechanical Production    | Structured numeric & text data                | Punched Cards   | Punched cards   | Punched cards writers             |
| 2nd Industrial Revolution - Manufacturing Automation | Structured numeric, text, & digital data      | Relational Database Management System                     | Stratic paper reports   | Report Writers                    |
| 3rd Industrial Revolution - Electronics and Digital  | Structured numeric, text, digital, & IoT data | Introduction of Data warehouses                           | Dashboards, Ad-Hoc/ Operational/Transactional reports, Descriptive & Diagnostic Analytics | Business Intelligence & Analytics |
| 4th Industrial Revolution - Cyber -physical          | Unstructured, semi-structured, & IoT data     | Introduction of NoSQL Databases & Big Data Lakes (Hadoop) | Predictive and Prescriptive Analytics, Natural Language and Voice Processing              | Data Science & Advanced Analytics |

Table 1: Historical perspective regarding data formats and analytic tools

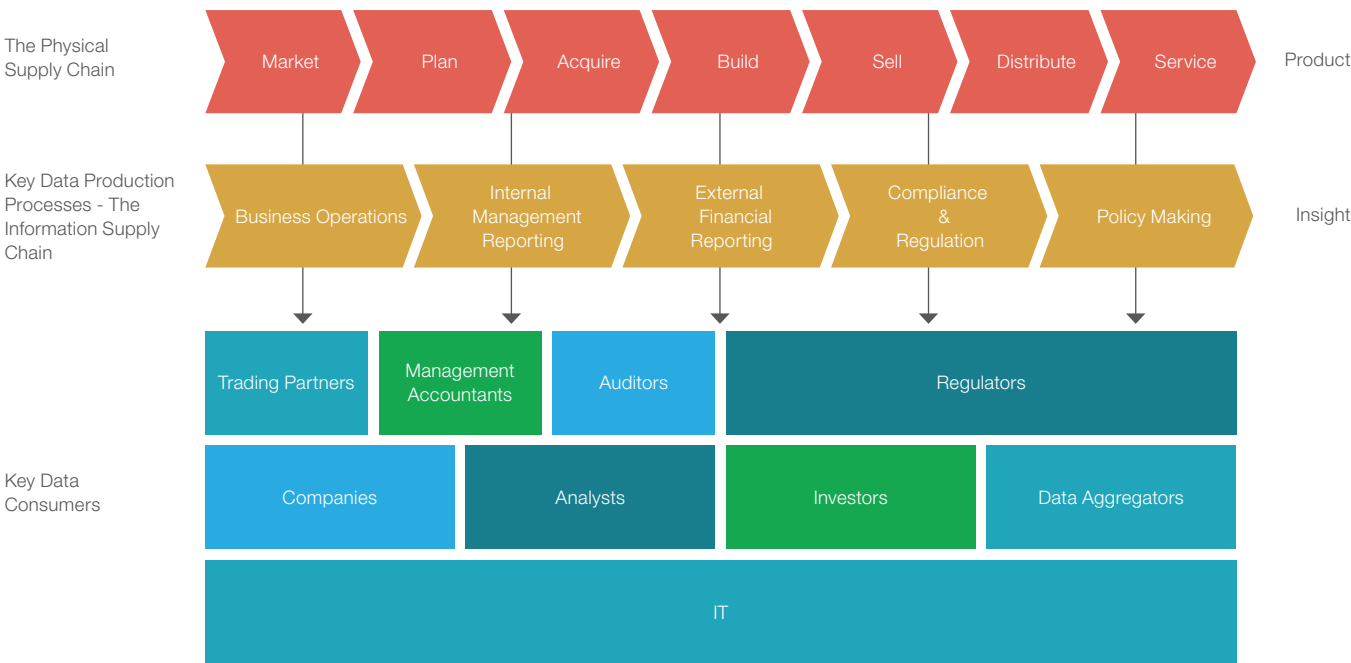


Figure 2: Logical view of an information supply chain

In the current digital reality, most organisations are seeing the volume of multi-structured data rise by 30-50% every year. Raw data by itself is of limited value. It's the insights derived from it that create tangible value. The digital revolution is forcing organisations to confront the high volume, variety and velocity of data by adopting new data storage methods and advanced analytics tools.

In Table 1 you will notice that data went from simple structured numeric and text data captured on punched cards to more complex semi-structured and unstructured data such as audio, video, social feeds, and machine data stored in NoSQL databases and Big Data Lakes. The complexity, volume and high velocity of the newer data sets and the need to process them in near real time represents a major paradigm shift which has necessitated the introduction of new storage and data processing technologies (eg, Hadoop, Spark etc.) and advanced algorithms (eg, deep learning, natural language processing, voice recognition etc) to analyse them.

**WE'VE GOT IT ALL WRONG – DATA SHOULDN'T BE VIEWED IN SILOS BUT IN A SUPPLY CHAIN**

Since most organisations operate in departmental silos, members of individual silos have a very myopic view of data. They typically interact with only a few data sets to address very specific requirements.

*What they fail to understand and appreciate is the fact that they are an integral part of one or more information supply chains – they produce and consume data and their actions on data directly impact business processes and departmental and downstream decisions.*

*Breaking down silo'd thinking and incorporating a culture of shared data ownership unleashes tremendous benefits for an organization.*

These are very powerful concepts that must be understood by every member of an organisation.

The ISC provides an end-to-end view of data as it meanders



*Breaking down silo'd thinking and incorporating a culture of shared data ownership unleashes tremendous benefits for an organisation.*

along the information supply chain(s). Similar to physical supply chains, bottlenecks can be introduced in ISCs (eg, data corruption, data quality issues, timeliness of data, transformation errors, data leakage, etc.), which directly impact the consumers of data. Monitoring the quality and consistency of the data as it flows through the ISCs and taking proactive measures to address them, reduces bottleneck and minimises impact to consumers.

An article in *Information Management* titled 'The information supply chain: achieving business objectives by enhancing critical business processes', authored by George Marinos, explains this concept extremely well. Here's an excerpt from the article:

"What is the information supply chain? It is the full set of elements – technology-based, process-specific and

organisational in nature – that are necessary to 1) collect information from discrete processes, 2) transform this information from data into knowledge, and 3) distribute this information efficiently and in a timely manner to the appropriate data consumers.

Take a look at Figure 2. Note that the top of the graphic represents the physical supply chain - the pipeline traveled by products as they move through a sequence of value-adding stages ranging from marketing, planning and acquisition to building, selling, distribution and after-market servicing. Parallel to this physical supply chain (and fundamentally integral to it) is the set of the key data production activities – in effect, discrete corporate processes – that continuously produce and consume data as it moves through one or more information supply chains on its way to becoming actionable business



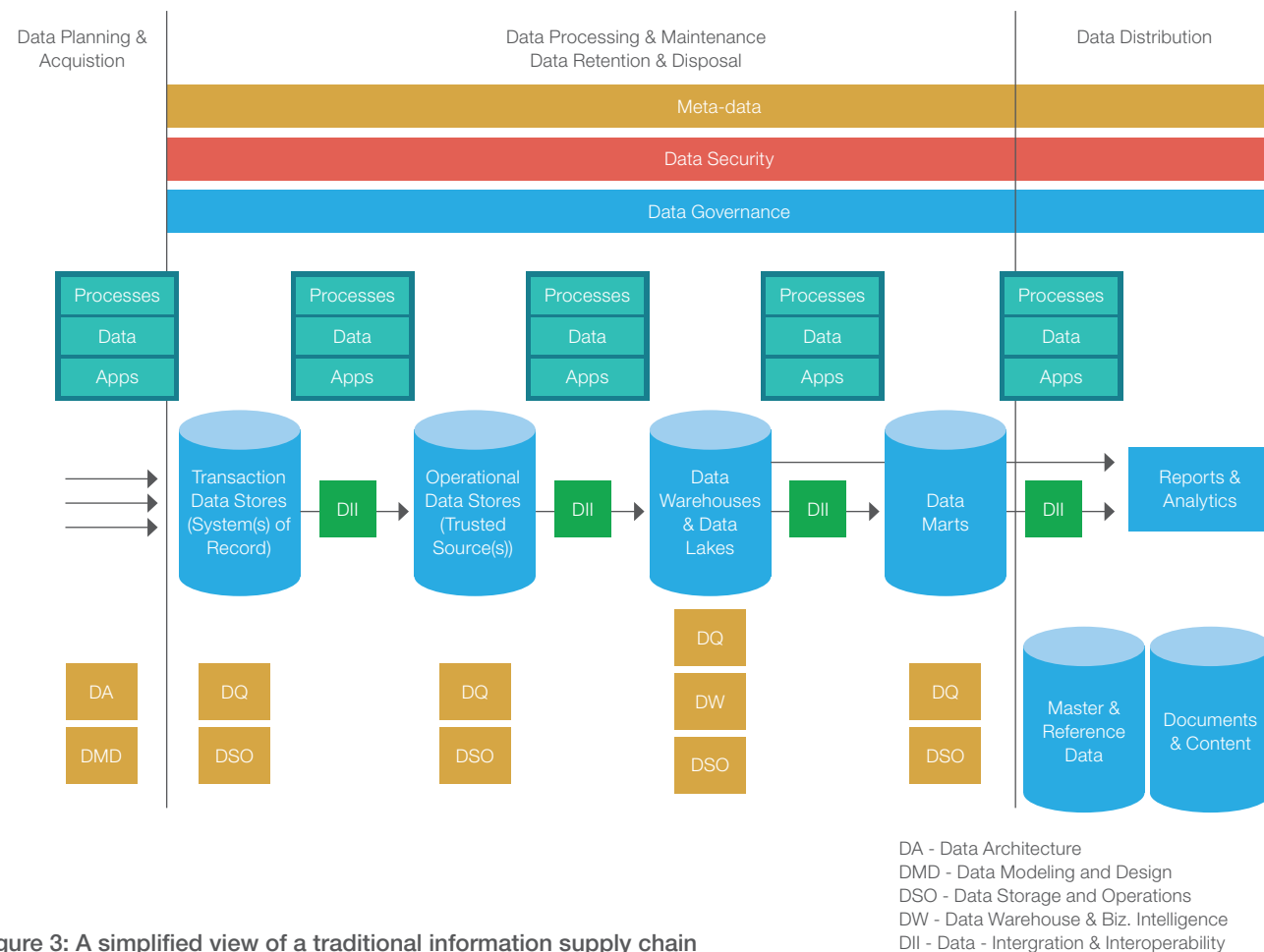


Figure 3: A simplified view of a traditional information supply chain

insight. These critical business processes include business operations, internal management reporting, external financial reporting, compliance and regulation, and policy making.

*"At every step, the organisation's key data consumers are either pulling data from or adding data to these information supply chains."*

These data stakeholders or constituencies will vary from company to company and from process to process. However, these groups typically include business executives, industry analysts and IT administrators, internal management accountants, independent auditors and external regulators, data aggregators, trading partners and customers, among many others.

My simplified representation of a typical ISC is shown in Figure 3 and it focuses on various types of data stores (eg, transaction, operational, data warehouses and data lakes, data marts, master and reference data and content repositories) that organisations typically build for persisting data, the operations performed on data (eg, data quality – profiling and cleansing) at each step of the ISC, data transforms (yellow triangles), and meta-data (contextual data), data security, and data governance as horizontal data management functions that must be enforced across the ISC.

The arrows depict the flow of data in real time or batch mode from data producers to data consumers. The diagram captures the eleven knowledge areas from 2013 version of DAMA's DMBOK wheel ([www.dama.org/content/body-knowledge](http://www.dama.org/content/body-knowledge)).

### THREE PRIMARY REASONS WHY MANAGING DATA IS HARD

Understanding the historical context around data management provides valuable insights, since it shows how data and data-management has evolved over time, and highlights the fact that each organisation's data management capabilities and underlying tools and infrastructure have evolved as well.

**Reason #1 – Running a business while changing it is hard:** in order to compete, many organisations are investing in new data and advanced analytics applications and integrating them with legacy systems, while supporting applications built with tools and infrastructure from the second and third industrial revolution. This is a complex undertaking and is hard to accomplish. It is akin to changing a flat tire while a vehicle is in motion.

**Reason #2 – Shadow IT and data puddles keep multiplying:** The ISC representation above is an extremely simplified version of reality and doesn't show the spaghetti-like data architecture that exists in most organisations – with 'shadow IT' systems and ubiquitous 'data puddles' co-existing with enterprise and departmental data stores.

What I'm referring to are spreadsheets, systems and analytics built outside the purview of IT that don't adhere to corporate data standards, and temporary data stores that are created by users and departments. None of these are monitored or governed, introducing significant data leakage risk. This is depicted in Figure 4 (Credit: Mathew Pollock).

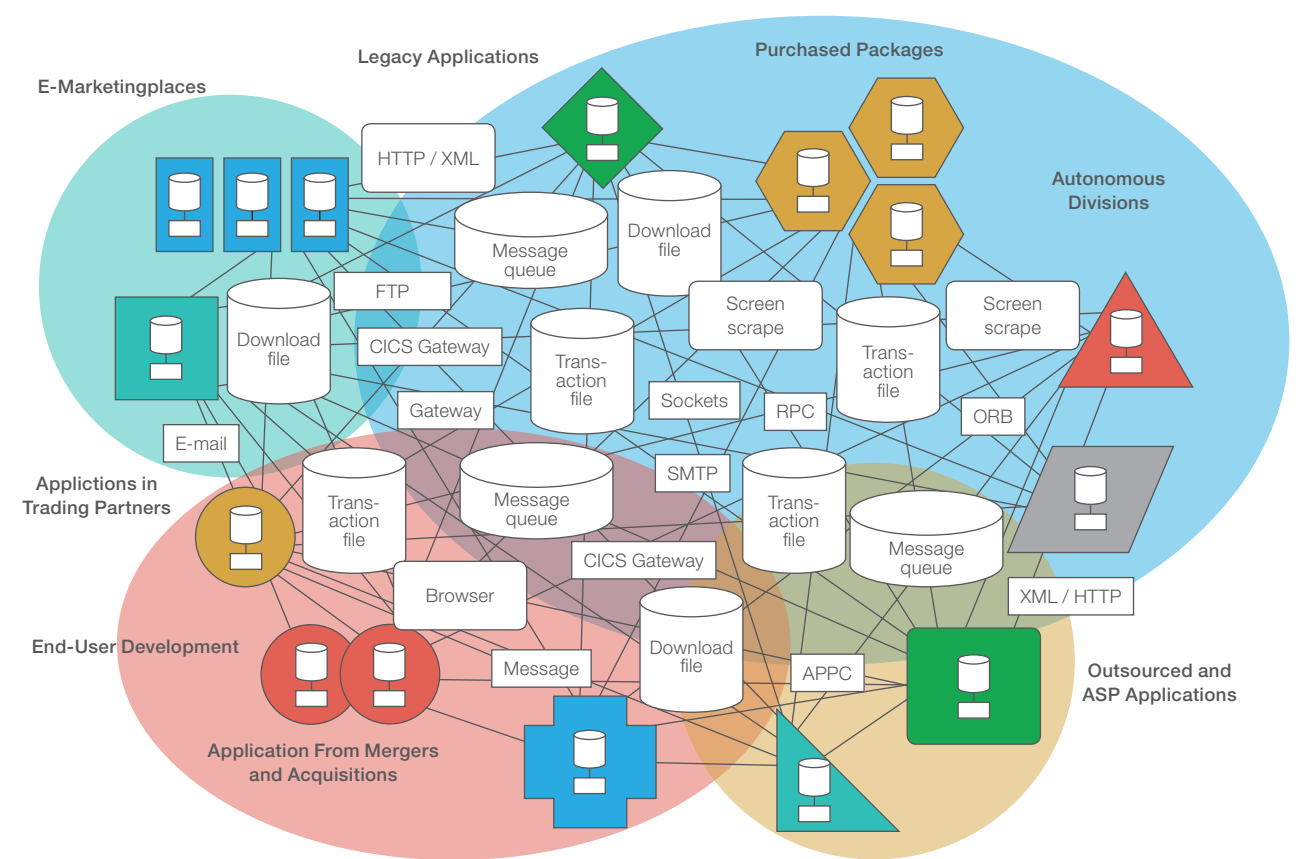


Figure 4: Spaghetti-like data architecture

To understand the end-to-end data flows and address supply chain bottlenecks, organisations must invest in creating information supply chain views and develop strategies to untangle the spaghetti-like data architecture. This initial investment will provide significant return-on-investment, since it will bring clarity and transparency to data quality and governance and enable proactive monitoring and management of data-related issues – with direct benefits to data consumers and internal and external stakeholders.

**Reason #3 – Business imperatives and external factors add complexity:** We should also not lose sight of the fact that data ecosystems evolve as companies grow organically or experience a merger or acquisition event, business models change, new leaders, or external forces influence business strategy.

### CONCLUSION

Data is the raw material used to generate insights. These insights are critical for managing risk across an enterprise, ensuring compliance with complex regulations, innovating, making tactical and strategic decisions, and improving customer intimacy. The volume, variety, and velocity at which it is being generated is introducing significant complexity with respect to the data ecosystem and is overwhelming many organizations.

Here are the four takeaways for CXOs and their leadership teams, if they wish to remain competitive and avoid disruption:

- 1 In the Age of Data,** leaders must become data-driven and evidence-based.
- 2 To compete,** organisations must mature their data management and analytics capabilities.
- 3 Data ecosystems are complex.** The introduction of new infrastructure (eg, Cloud) and advanced analytics tools add to this complexity. Developing information supply chains, a data strategy, and a modern data architecture aligned to a new or refined business model will deliver results.
- 4 Organisations must** take a supply chain view, rather than a silo'd view of data, to implement a culture of shared data ownership.

Jay Zaidi is a keynote speaker at inForum this year, and is also running a Q&A session on data trends.

#### ABOUT THE AUTHOR



Jay Zaidi is a strategic data management consultant, thought leader and author. He is the founder and managing partner of AlyData. His firm provides advisory services, solutions, and training, to help companies improve decision-making and performance, using data.

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# A passion for the profession

Alison North, a pioneer and a self-described 'disruptive consultant' in the RIM world for more than 40 years, shares her insights on the future of the profession.

By Nikki Swartz

**A**sk Alison North what she does for a living, and you'll get an unexpected and interesting answer. She has long worked in the records and information space, lending her expertise, knowledge, and skills to companies in various industries around the world.

But she doesn't consider herself a records and information management (RIM) consultant.

'I don't do traditional RIM consultancy ... I'm not an IM [information management] or RIM consultant,' she explained.

'I'm an 'imagineer' or transformation person. I am a 'disruptive' consultant ... and that kind of has a ring to it.'

In simple terms, North is an independent management consultant who has worked in the information space in one capacity or another for 43 years. And she doesn't usually have to explain who she is, by the way, as her stellar reputation often precedes her.

## A RIM PIONEER

North is nothing short of a pioneer in the RIM profession. She began as a basic file clerk and has worked to become a world-renowned expert with many notable 'firsts' and accomplishments under her belt.

Her career began when RIM was in its infancy in the United Kingdom – and unheard of in Europe. In 1972, she began work as a data book controller for Shell UK in Aberdeen, where she was responsible for gathering and compiling data on exploration and drilling in the North Sea.

## BREAKING NEW GROUND

Four years later, she was working for Conoco, and by 1982 she was working on an offshore oil production platform – the first woman in the United Kingdom to do so – as technical information services supervisor, leading a team of 15 information professionals. There she developed the first paperless offshore information centre on a North Sea oil production platform, using microform.

At the time, offsite document storage contractors were new in the United Kingdom, but she convinced her boss to outsource the storage of the company's files after showing him the cost savings.

## SHARING KNOWLEDGE

Conoco sent North around the world to supervise the document handover from contractors after they had built sections of the new production platforms. She toured the Conoco USA offices to educate staff on engineering records management and document control. She pioneered records management in Scotland's oil business. She created more efficient, less paper-heavy systems and introduced the concept of retention for business reasons as well as regulatory reasons. Many companies copied her processes.

By 1986, she was working as head of information for Conoco UK, based in London. That year, she decided to leave to pursue her own professional services business because she saw a definite gap in the market and didn't see any room for further advancement at Conoco. At one point in the 1990s, she employed 35 people.

## DEVELOPING AN ONLINE SERVICE

In 2004, she developed an online records retention service – REGAL – that provided clients with details on worldwide legislation tailored to their record types. The first client for North's product was none other than the Royal Household.

She sold REGAL and her client list in 2011 and decided to go solo once again. Re-branded, REGAL still exists today.

## ADVANCING THE PROFESSION

Since 2011, North has focused her passion on moving the profession forward through presentations, education, papers, and blogs on her website ([www.an-infogov.co.uk](http://www.an-infogov.co.uk)), and giving keynote speeches across the globe. She is a member of ARMA International, having served on its board of directors from 2012- 2015 and as chair of the Generally Accepted Recordkeeping Principles® steering task force in 2013-2015. She also helped set up the ARMA UK chapter and currently serves as an international ambassador for ARMA.

In 2015, she was inducted as a Fellow of ARMA

International in recognition of her contributions to the association and the RIM profession. North also is a member of the Information and Records Management Society (IRMS) and received the 2010 IRMS Lifetime Achievement Award, followed by an IRMS Fellowship appointment in 2015.

## THE RIM WORLD ACCORDING TO NORTH

One of the big challenges North sees in the RIM world today: Information managers must explain to people in any business that they – every employee who creates company information – are responsible for that information.

'People are a big barrier to getting things done in terms of IM,' she said. 'They don't realise that they're responsible for what they produce. Information is a byproduct, it's something they can recycle. They use it for the time they need it and then they dispose of it according to certain rules. But it is their responsibility.'

## STEPPING UP TO THE CHALLENGE

However, it's up to information professionals to let them know about that responsibility, North said. Information managers are good at assessing whether information has value and they know a lot about the business, but businesses often don't know that RIM professionals know so much, she explained. And that's a significant challenge, too.

'We're the last people they turn to. The challenge we have is bringing ourselves up and making ourselves known about, and that's always been a challenge ever since I started in the late 1960s, early 70s,' she said.

'We're shy, we're reserved, we're not good at selling our pitch, and we can't explain what a records manager is in a sentence that a CEO will understand because the word 'manager' confuses. We don't manage people, we manage an asset, but it's not seen as an asset. It's seen as a byproduct of what the company does – but byproducts can and should be recycled.'

*Information managers must explain to people in any business that they – every employee who creates company information – are responsible for that information.*



## FOCUSING ON BUSINESS

Information managers don't do themselves any favors when they focus on using trendy terms and establishing programs instead of just focusing on the work at hand, North said. She doesn't distinguish between records management and information governance (IG) and, in fact, she doesn't dwell on terms. Businesses and senior business people – c-suite and below, lawyers, engineers, pharmacists – simply don't understand RIM terms, she explained.

'I don't work with records managers. I don't work with information governance people. I work with business people,' North said, adding that retention and disposition are the only RIM terms that have traction within a business. 'RIM from my perspective is being built around retention and disposition.'

North is both practical and passionate when talking about information management. A RIM program should be tailored to the business you are in, she notes. While IG may be the new buzz-phrase among information professionals, North calls IG a 'trend in certain sectors,' used when they manage information related to litigation and e-discovery.

In industries such as pharmaceuticals, health care, and engineering, she doesn't see it used at all. At a recent conference in Germany where North spoke about the future of information, IG had no traction, she said.

However, in the UK public sector it refers mostly to personal information, and that's a whole different world from the RIM world and often is disconnected from it.

'Information governance' are words that we as information professionals use,' she explained. 'IG is great if you have a specific risk you need to identify and manage ... but, in general, in the world it's a very small cog in a huge wheel. The terminology isn't understood.'

## BEING PROACTIVE

According to North, proactively managing information is where the focus should be ... to save and protect lives, to build integrity into business, to reduce corruption in government, to protect assets, and to deliver the business output.

'If you proactively manage information, there will be governance in there,' she said. 'To call it IG, you're isolating it outside the need. Information should be governed inside the systems ... taking it outside that and creating a separate thing isn't going to work. It hasn't worked with RIM.'

It is North's opinion that professionals should not put so much emphasis on trendy terms or new ideas, because 'if you're properly managing information risk, then you are also governing the information.'

'Just get on with the job, do the job, and govern the

information. Don't try to make it this big external compliance issue,' she said. 'I'm not saying that governing information is the wrong thing to do, I'm saying IG programs are not necessarily the right way to do it.'

North calls IG programs 'cumbersome,' and says an IM professional's goal should be to be invisible because that means everything is working. 'We need to reduce the capitals (IG) to small letters,' she said.

For example, North said, the term 'RIM' isn't really recognised outside the United States, Canada, Australia, and the United Kingdom – and the term 'IG' is even less recognisable outside of a few countries.

## RELYING ON THE PRINCIPLES

North's advice to information professionals is to rely on basic, proven records management processes and avoid getting caught up in trendy terms. So information managers should not push 'IG' or 'RIM'; they should just manage information for the business as it needs managing.

She said all professionals should start with the Principles. 'Instead of calling it an IG program, you take the Principles and say, "These are how we manage information across the business",' she said. The Principles have more traction because people understand those words better than they understand 'IG program.'

Programs are not all that effective, she explained, but the Principles and the skillsets are 'very valid, forever, basically'.

## RIM PROFESSIONALS NEED TO REINVENT

The future of RIM, according to North, is automation. At least in part, as a good amount of the work that information professionals do now soon will be automated, she said.

Where does that leave RIM professionals?

In need of retraining, according to North. She advises information managers to take a look at what they're doing now and envision what will be needed in the future.

*North calls IG programs 'cumbersome', and says an IM professional's goal should be to be invisible because that means everything is working.*



## RIM LESSONS FROM THE SAN BRUNO PIPELINE EXPLOSION

At 6:11 pm on 9 September 2010, in San Bruno, California, a 30-inch diameter steel natural gas pipeline owned by Pacific Gas & Electric (PG&E) exploded so violently that first responders and media initially thought it to be an earthquake or airplane crash. Eight people died, with many more injured or severely burned and upwards of 40 homes destroyed.

After a lengthy investigation, federal authorities reported finding several defective welds in the pipeline. As PG&E had increased the pressure in the pipes – installed in 1956 – to meet the growing energy demand, the defective welds were further weakened until they failed, with tragic results.

The news got worse. The investigation found that PG&E didn't

have the records to identify with any certainty what exactly it had running underground.

Because of her solid reputation as an expert in records retention and disposition and the fact that she was unaffiliated with PG&E, Alison North was called in by the California Public Utilities Commission (CPUC) in 2011 as an expert in the initial recordkeeping case.

In this case, the engineers managed and used information that then was split across many sites. North's assessment was that the control was badly managed by the business, and accountability was lacking. There was much blame to go around, but these combined into tragic lessons learned from an information management perspective.

'Unless you have a strong records manager in charge, unless you're managing that information correctly within the process and you're managing it through time, something like this is going to happen,' she said.

'Records managers aren't actually there to manage the safety. That's not their role, that's somebody else's role. Somebody else has to know that the information is going to cause them a problem if they don't get it right. And that's the takeaway ... as a records manager, if you really, really think something is wrong, you've got to keep shouting about it. You've got to find a sponsor, an influencer in the business who understands what you're saying and accepts what you're saying and does something about it.'

The financial implications for the company have been enormous. In January 2012, an independent audit from the State of California issued a report stating that PG&E had illegally

diverted more than \$100 million from a fund used for safety operations and instead used it for executive compensation and bonuses. By 2013, according to Law 360, the company had paid out more than \$565 million in personal injury and property damage claims to hundreds of plaintiffs.

In April 2014, a federal grand jury in US District Court, San Francisco, indicted PG&E for multiple violations of the Natural Gas Pipeline Safety Act of 1968 relating to its recordkeeping and pipeline 'integrity management' practices, according to media sources.

Another indictment was issued by the grand jury in July 2014, charging the company with obstructing justice for lying to the National Transportation and Safety Board regarding its pipeline testing policy, bringing the total number of counts in the indictment to 28. One year later, the CPUC fined PG&E \$1.6 billion, The San Francisco Gate reported.

North stresses that the case was actually about business mistakes, with recordkeeping implications, which resulted in the mismanagement of the pipeline over time.

'The records were key for safety but they were wrong,' she said. 'You don't want to get caught in that position... If you're a records manager within a company, you want to make sure that

your business has the right information.'

North said information professionals should play a central role in identifying which information is critical to businesses, but businesses and those who create information for them must be accountable for that information.

Such information accountability, which was missing at PG&E before the San Bruno explosion, is critical because it may help prevent future disasters.

Editor's Note: On January 26, US District Court Judge Thelton Henderson sentenced PG&E for its August 2016 conviction on six felony charges connected to the explosion, including a charge of failing to gather information to evaluate potential gas line threats.

According to the San José *Mercury News*, the judge handed out the maximum fine of \$3 million, put the company on five years of probation, ordered it to have independent safety monitoring, and mandated that it launch a three-month, \$3 million television and newspaper advertising campaign detailing its offenses, how it has been punished, and what it will do to prevent similar crimes. The company also was ordered to perform 10,000 hours of community service in the San Bruno area, the maximum amount allowable – with 2,000 of those hours to be performed by executives.



## ALISON NORTH: 5 BIG INFORMATION ISSUES IN 2017

According to Alison North, information managers should keep an eye on the following issues this year:

1

More technology and automation: Look at virtual reality application in business and the type of information it may produce.

2

Businesses using collaboration apps more and e-mail less

3

Increased focus on security

4

Privacy challenges: How do we manage voice and digital information about people?

5

The Brexit factor: Changes to laws and new regulations will result in new jobs and information to manage.

Information skills are needed and can be used in the privacy, cybersecurity, and tech worlds. She encourages information professionals to learn about how they might apply their skills in those sectors.

### EVOLVING WITH DISRUPTIONS

Information is big business today, critical to a company's bottom line and, just as important, to its integrity. So businesses will continue to need people with IM skills going forward despite new technology. But information professionals must pick up new skills and expertise to continue to be an asset to their companies.

'There are companies that will fall by the wayside because they are still employing records managers in the old way while their businesses are being disrupted,' North said. 'The thing that's going to change RIM is not RIM itself, not the businesses they're working for. It's the disruption in their sector ... so if the business gets disrupted, the business changes. We only have to look at the way we book taxis and holiday accommodation now to see how disruption has affected age-old businesses.'

'The skills we have, the identification of the valuable information, the identification of the time we keep information, the ability we have to spot, across a business, where there will be information risks, all those skills we need,' she said. 'We can see where there's information risk, and we're good at that. We're good at playing detective, we're good at finding things, we're good at working out puzzles. All those skills we have, those detective skills, are very valuable and we shouldn't lose those. But we need to attach ourselves to different processes to manage the information. We can use those skills to govern information within a process, governing in accordance with what the process needs and not within the RIM program.'

### LEARNING NEW SKILLS

Unless you're planning to retire in the next five years, you need to learn a new skill, North said. She advises that information professionals would be wise to specialise in privacy, technology, or security. In addition, they might retrain as a researcher, learn how to develop an app to manage their RIM processes, or learn coding.

'It's going to be a crowded marketplace. We need to reinvent ourselves and look at something completely different,' she said. 'Don't get stuck trying to manage information like ISO 15489 standards, which are outdated as soon as they are written. The challenge is to reinvent.'

No doubt North will continue to be at the forefront, reinventing when needed and moving the RIM profession and its professionals forward with purpose and passion. ♦

*This article first appeared in the March/April 2017 issue of Information Management magazine, © 2017 ARMA International. Reprinted with permission.*

#### ABOUT THE AUTHOR

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# Demystifying the Copyright Amendment Bill

What does the Copyright Amendment Bill actually mean for archivists and archival organisations? In this interview, Annelie de Villiers asked Jessica Coates of the Australian Libraries and Copyright Committee to explain.

**O**n 15 June 2017, the *Copyright Amendment (Disability Access and Other Measures) Act* was passed by the Australian Parliament. The Act introduces a swathe of copyright changes relevant to the libraries and archives community, the most significant of which is the ending of perpetual copyright for unpublished materials. As a result, millions of historical manuscripts will be freed into the public domain on 1 January 2019.

**Q: In short, what does the copyright reform Act actually change in the Australian Copyright Act?**

**A:** There are four major changes included in the Act: **1 – The replacement of the current provisions for assisting people with a print disability with two new exceptions which will be much broader and apply to people with any disability that prevents them accessing material (eg, including deafness, physical etc).**



The new exceptions are a much simpler exception for institutions assisting people with a disability, and a very broad new fair dealing for providing access to people with a disability. The fair dealing in particular is a big change – it should mean just about anything can be done that is needed to provide someone with a disability proper access, as long as it is reasonable/fair.

## 2 – The simplification of the educational statutory licences.

This doesn't change the scope of activities permitted by the licences so much as removing a lot of the burdensome admin and bureaucracy that went along with it. The changes were jointly negotiated by the schools, universities and the Copyright Agency, which is unusual and hopefully a model for future reform.

The Act also introduces a new exception to allow the inclusion of material in online exams for remote students, which had previously been a gap in the law.

## 3 – Fixing the preservation exceptions for libraries and archives.

The current exceptions are very confusing and outdated, apply differently to different materials, limit the number and format of copies made, and have odd paradoxes like only allowing you to copy material after it has been lost or damaged. The new provisions are much simpler and broader, and should allow the implementation of best practice preservation policies. The one important limitation is a commercial availability test.

The provisions also remove the current limitations that prevent preservation copies from being made available onsite on anything but a dumb terminal. Institutions will now be able to make materials available on ordinary terminals on their premises, as long as they 'take reasonable steps to ensure a person who accesses the preservation copy does not infringe copyright'. This is much more flexible for smaller institutions which can't afford to have dedicated dumb terminals.

## 4 – Changes to the copyright term provisions that will end perpetual copyright for unpublished works and provide a fixed term for works whose authors are unknown.

The changes will align the copyright term for unpublished works with those of published works, meaning the standard for most works will be the life of the

*The new term provisions mean copyright barriers to digitisation and online access projects will be removed for a huge amount of manuscripts, ephemera and other works.*

author plus 70 years. But most significantly, it also introduces a new term for any works – published or unpublished – whose author is not known. This includes anonymous works and orphan works where authors have been lost over time. These works will now fall into the public domain 70 years after they are published (for published works) or created (for unpublished works).

So while there will still be some risk management needed for orphan works with authors who are known but not responding, and works where it's unclear when they were published/created, for a good portion there will be a fairly clear date when they can be used without restriction.

It also means that on 1 January 2019 (when the new provisions come into effect) millions of works will fall into the public domain simultaneously across Australia.

## Q: On a practical level, what would the proposed changes mean to archival organisations?

A: For archives, the third and fourth are the most significant changes.

For those who have been trying to follow the existing preservation provisions (I suspect many have not) they can introduce new procedures that include steps like preservation on acquisition, across multiple formats. They'll also be able to use the preservation copy of delicate works for clients wishing to access the material onsite much more easily and efficiently than they could previously.

The new term provisions mean copyright barriers to digitisation and online access projects will be removed for a huge amount of manuscripts, ephemera and other works. Institutions should be able to identify 'chunks' of their collections that will be in the public domain from 1 January 2019 eg, any unpublished works whose authors died in 1949, or any orphan or anonymous works created/published before 1949. In 2020, the key date will be 1950 etc.

The second will also make a difference where archives

are working to provide access to clients with a disability, significantly opening up their ability to provide access for individuals, including online and in different formats, when necessary.

## Q: What is the partial solution to orphan records proposed in the Bill?

A: See the discussion of the term changes above – now many orphan works will have a fixed date when they fall into the public domain, or at least a reasonably guessable date (if the actual date of creation isn't known).

## Q: What, if anything, would you like to see changed in it?

A: I would have liked to remove the commercial availability test from the exception for institutions assisting people with a disability, and to have broadened the definition of library being used for the provisions (the definition of archives is good). We also still need to see how corresponding changes are made to the regulations, including which if the new exceptions also get a corresponding exemption to the anti-circumvention provisions (meaning you'll be able to break digital locks to do things allowed by the exception).

Finally, the exposure draft of the Bill had amendments in it which would have extended the copyright safe harbours that currently protect ISPs when their clients infringe copyright to other online service providers, including libraries and archives. These were removed in the final draft so the government could consult further on the issue. We're hoping to hear the outcome of the consultation soon.

## Q: What opportunities does the end of perpetual copyright present for archival organisations?

A: That's what we all have to think about – what exciting projects can we now do with our manuscript and orphaned work collections that we haven't previously felt confident about? I'm hoping we'll see a lot more online collections, and some innovative access and community engagement projects coming out of them. ❖

## ABOUT THE AUTHOR



Annelie de Villiers is an assistant research archivist at the University of Melbourne's eScholarship Research Centre, where she works on 'Return, Reconcile, Renew: Understanding the History, Effects and Opportunities of Repatriation and Building an Evidence Base for the Future'. Annelie completed her Master's thesis on personal digital archives for Aboriginal children in out-of-home care in 2016. Annelie was one of the eight recipients worldwide of the International Council of Archives New Professional bursary in 2016.

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Jessica Coates is a copyright and communications policy expert with 15 years of experience working in Australia and overseas. She is the Executive Officer of the Australian Digital Alliance, a copyright advocacy group for the education, cultural, disability and technology sectors, and the Copyright and Policy Adviser to the Australian Libraries Copyright Committee. Previously, Jessica worked for a decade with the international non-profit Creative Commons, including as their Global Network Manager. She has had stints working as a policy adviser for the Australian government and Australia's commercial television broadcasters, as well as an academic, lecturer and educator. She has a Master of Laws from the University of Melbourne and both a Bachelor of Laws and a Bachelor of Arts (English Hons) from the Australian National University.

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# AUSTRALIA'S NEW MANDATORY DATA BREACH NOTIFICATION LAWS

'Trust and transparency' was the theme for this year's Privacy Awareness Week in May, and a central tenet in the *Privacy Amendment (Notifiable Data Breaches) Act 2017* – Australia's new mandatory data breach notification law. This article defines what an 'eligible data breach' is, instructs you on how to notify a breach and outlines the strong penalties that apply for not adhering to this new compliance obligation.

By Dudley Kneller

On 13 February 2017, the Australian Senate passed the *Privacy Amendment (Notifiable Data Breaches) Bill 2016* (Cth) (the Bill). The Governor-General gave formal assent to the Bill on 22 February 2017, which will now see the Bill enacted into law from 22 February 2018.

It has taken some time for Australia to finally introduce a breach notification law. After a series of 'false starts' in 2013 and 2014 Australia now has a notification obligation in place for notifying data breaches. Despite updating privacy laws in March 2014, Australia has been lagging behind other countries in relation to data breach notification obligations.

A number of States in the US have had data breach notification laws in place for some time. California, upon which many States have based their own laws, has had legislation in place since 2003. At the time of writing, 48 US States, the District of Columbia, Guam, Puerto Rico and the Virgin Islands have enacted legislation requiring private or governmental agencies to notify individuals of security breaches of information involving personal information.

Whilst there has now been a change in office, in January 2015, then US President Obama proposed a national data breach notification standard in the draft Personal Data Notification and Protection Act. The proposed scheme would require notification if there is any reasonable risk of harm or fraud to individuals following a data breach. It is not clear what

plans the current Trump administration has for such a scheme noting it has not been high on the Trump agenda.

The European Union, as well as New Zealand, have both introduced breach notification laws. On 16 June 2015, Canada passed legislation to introduce a national mandatory data breach notification scheme.

It would therefore seem timely that Australia too has now recognised the need to manage data breach events more effectively and ensure that affected individuals are notified in relevant circumstances.

## WHERE DOES THE NEW DATA NOTIFICATION LAW FIT IN?

The law will complement Australia's existing privacy laws which are set out in the *Privacy Act 1988* (Cth) (Privacy Act). The Privacy Act lists 13 Australian Privacy Principles, or APPs, which broadly apply to APP entities and which regulate how those organisations collect, store, manage and disclose personal information in Australia. There are some limited exceptions for organisations with less than \$3 million in annual revenue, although the broad nature of the Privacy Act often brings smaller organisations back into play. Those organisations who deal with health related information and those working under Australian Government contracts are necessarily affected.

## THE DETAILS – WHAT, WHO AND HOW?

### What?

The Bill will specifically bolster the operation of APP 11 which requires entities to take such steps as are reasonable in the circumstances to protect personal information they hold from misuse, interference and loss, and from unauthorised access, modification or disclosure. The Bill is intended to cover data breach events. The Explanatory Memorandum at 7 states that 'a data breach arises where there has been unauthorised access to, or unauthorised disclosure of, personal information about one or more individuals (the affected individuals), or where such information is lost in circumstances that are likely to give rise to unauthorised access or unauthorised disclosure.'

### Who?

As noted above, the law will apply to entities required to comply with the Privacy Act.

### How?

An APP entity must notify the Australian Information Commissioner (the Commissioner) and affected individuals once it has reasonable grounds to believe there is an 'eligible data breach.' An 'eligible data breach' occurs when:



### ABOUT THE AUTHOR

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- ♦ there is unauthorised access to, or disclosure of, information, and a reasonable person would conclude that the access or disclosure would likely result in serious harm to any of the individuals to whom the information relates; or
- ♦ information is lost in circumstances where unauthorised access to, or unauthorised disclosure of, information is likely to occur and, if it did occur, a reasonable person would conclude that the access or disclosure would be likely to result in serious harm to any of the individuals to whom the information relates.

Entities must consider whether it is likely that the data breach will result in 'serious harm' to any of the affected individuals. In assessing this requirement, if a single individual is likely to suffer serious harm, then the entity will be required to notify under the Privacy Act.

There may be some exceptions which will apply, which are discussed further below. In the meantime, it is important to understand some of the threshold issues.

### So what does 'serious harm' mean?

The Bill's Explanatory Memorandum provides some guidance for affected entities. Serious harm can include the following:



serious physical, psychological, emotional, economic and financial harm, as well as serious harm to reputation and other forms of serious harm that a reasonable person in the entity's position would identify as a possible outcome of the data breach (at 9).

The Explanatory Memorandum does attempt to provide some helpful guidance for entities. It states that whilst individuals may be distressed or otherwise upset at an unauthorised access to or unauthorised disclosure or loss of their personal information, this would not itself be sufficient to require notification unless a reasonable person in the entity's position would consider that the likely consequences for those individuals would constitute a form of serious harm.

It seems therefore that some flexibility in determining when to notify is available to entities which was not otherwise a feature of earlier proposed breach legislation.

#### What should the notification say?

If an entity suspects that an eligible data breach has occurred, it must undertake an assessment into the relevant circumstances. In the event of an eligible data breach, an entity is required to notify the Commissioner and affected individuals as soon as practicable after the entity is aware that there are reasonable grounds to believe that there has been an eligible data breach (unless an exception applies). The notification must include:

- ◆ the identity and contact details of the entity
- ◆ a description of the serious data breach
- ◆ the kinds of information concerned
- ◆ recommendations about the steps that individuals should take in response to the serious data breach.

Whilst details relating to identity, affected information and contact details may sometimes be readily determined (although not in every case) other details may not be so easily included. When a breach event occurs the reality is far from straightforward. Often there is confusion as the organisation tries to establish the extent of the breach, and respond, minimise damage and restore affected systems. The uncomfortable reality is that breach events can evolve over time with sophisticated hackers often updating their own malware to defeat containment strategies from the affected organisation. This can make it a challenge to comply with the notification obligations to include required information.

We need to notify, but how do we do it? So you have determined that you need to notify an eligible breach and you are aware of what information needs to be included.

#### There are three options available to notify affected individuals. An entity can choose one of the following:

- ◆ if it is practicable to do so, take such steps as are reasonable in the circumstances to notify each of the individuals to whom the relevant information compromised in an eligible data breach relates
- ◆ if it is practicable to do so, take such steps as are

*Every breach situation is likely to be different and it is therefore important that entities have a process in place around effective notification.*

reasonable in the circumstances to notify those individuals who are considered to be at risk of serious harm from the eligible data breach

- ◆ if it is NOT practicable to notify via either of the above methods, notify the individuals by publishing the statement on the entity's website and taking reasonable steps to publicise the statement. Examples of this option may include taking out advertisements in newspapers and online, social media platforms etc.

As you will note from the above, the common consideration is whether it is 'practicable' for the entity to notify using the particular option. Consideration such as the cost involved in notifying, time and effort all need to be taken into account.

For data breaches involving a number of affected individuals spread across different states, an organisation may opt to notify via website, print and social media.

For a breach involving a smaller number of affected individuals whom the entity can readily identify as at risk of serious harm the entity is more likely to implement the second option. In the case of an extensive breach compromising a number of databases containing user or account information, it may not be immediately apparent which individuals are impacted.

In this case, notifying the entire group will allow potentially affected individuals to assess their own situation and take steps to update passwords, retrieve information or close

accounts etc.

Every breach situation is likely to be different and it is therefore important that entities have a process in place around effective notification which takes likely breach scenarios into account.

#### ARE THERE ANY EXCEPTIONS TO THE NOTIFICATION REQUIREMENTS?

The Explanatory Memorandum includes some exemptions which are important to consider.

Certain government agencies including law enforcement bodies will not be required to notify affected individuals if compliance with this requirement would be likely to prejudice law enforcement activities.

If notification would be inconsistent with another Commonwealth law that regulates the use or disclosure of information, an entity will be exempt to the extent of the inconsistency. If compliance would be inconsistent with another law of that kind which is prescribed in regulations under the Privacy Act, an entity will be exempt from the notification requirement.

Finally, to avoid creating a double notification requirement, an unauthorised access, unauthorised disclosure or loss of personal information cannot give rise to an eligible data breach if that access, disclosure or loss has been, or is required to be, notified under the mandatory data breach notification requirement in s 75 of the *My Health Records Act 2012* (Cth).

#### These are fairly limited exemptions. Are there any other exemptions which may be relevant?

Whilst the various exemptions listed above are important and will apply in those limited circumstances, the Bill does include further exemptions which will be of interest to a broader number of entities. An additional exemption applies where entities have taken remedial action following an eligible data breach or potential eligible data breach.

Specifically, this exemption applies where a reasonable person would conclude that, as a result of the remedial action, the unauthorised access or unauthorised disclosure of personal information (including an unauthorised access or unauthorised disclosure following loss of the information) is not likely to result in serious harm to the affected individuals.

An entity that promptly and effectively responds to a data breach through remedial action will not be required to comply with the notification requirements if, as a result of actions taken by the entity, the breach is not likely to, or does not, result in serious harm.

Clearly there is likely to be an inherent tension between entities required to notify under the Bill and the same entities taking all the steps they can to avoid notification by taking remedial action.

It is also open for an affected entity to apply to the Commissioner for an exemption to the notification obligation. Such exemptions are likely to apply in circumstances where an organisation may be assisting a law enforcement body or regulatory body such as the Australian Signals Directorate in relation to enforcement/investigation activities relating







to a breach event, or where an organisation is itself working through a complex breach event and where notification may be more prejudicial to affected persons in the circumstances.

Entities may also apply to the Commissioner for an exemption from, or an extension of time to comply with, the notification requirements, and would not be required to comply until the Commissioner has decided the application.

A final exemption will be of interest to entities in a group structure or forming part of a joint venture or similar arrangement. In such circumstances, if more than one entity jointly and simultaneously holds the same particular record of personal information, an eligible data breach of one entity may also be an eligible data breach of each of the other entities. The exemption is intended to assist entities who may be involved in an outsourcing, shared service or joint venture arrangement.

Where one of these affected entities demonstrates its compliance with the assessment and notification obligations in the new Part IIIC, the remaining entities are taken to have also complied.

## WHAT ARE THE PENALTIES FOR FAILURE TO COMPLY WITH THE NOTIFICATION REQUIREMENTS?

Failure to comply with an obligation included in the Bill will be deemed to be an interference with the privacy of an individual for the purposes of the Privacy Act.

Such a failure to comply can result in affected individuals filing a complaint with the Commissioner, prompting an investigation of the entity. The Commissioner may also investigate without a complaint being made and may issue a determination requiring the entity to:

- ◆ compensate such individuals for any loss or damage suffered; or

- ◆ take actions to redress any loss or damage or steps to ensure that an entity's conduct is not repeated or continued. If the failure to comply with notification requirements is 'serious or repeated', entities may be liable for penalties of up to \$1.8 million (\$360,000 for individuals).

## WRAP UP

The advent of the *Privacy Amendment (Notifiable Data Breaches) Act 2017* (Cth) and its incorporation into the Privacy Act tops off a flurry of regulator activity in the privacy space. What began life originally as a Private Member's Bill introduced by Senator Natasha Stott-Despoja in 2007 has evolved over time, been updated, lapsed and subsequently re-introduced, modified and finally passed.

It comes at a time where cyber breach events are on the rise with organisations relying more and more on technology to engage with customers, suppliers and the world at large. With this engagement comes increased responsibility and accountability to manage information securely and ensure it is protected from unauthorised use and disclosure.

The breach notification regime will be a welcome addition to the Commissioner's arsenal. The Australian Privacy and Information Commissioner, Timothy Pilgrim has been waiting patiently. His 13 February 2017 statement is clear in its intent: The new scheme will strengthen the protections afforded to everyone's personal information, and will improve transparency in the way that the public and private sectors respond to serious data breaches.<sup>1</sup>

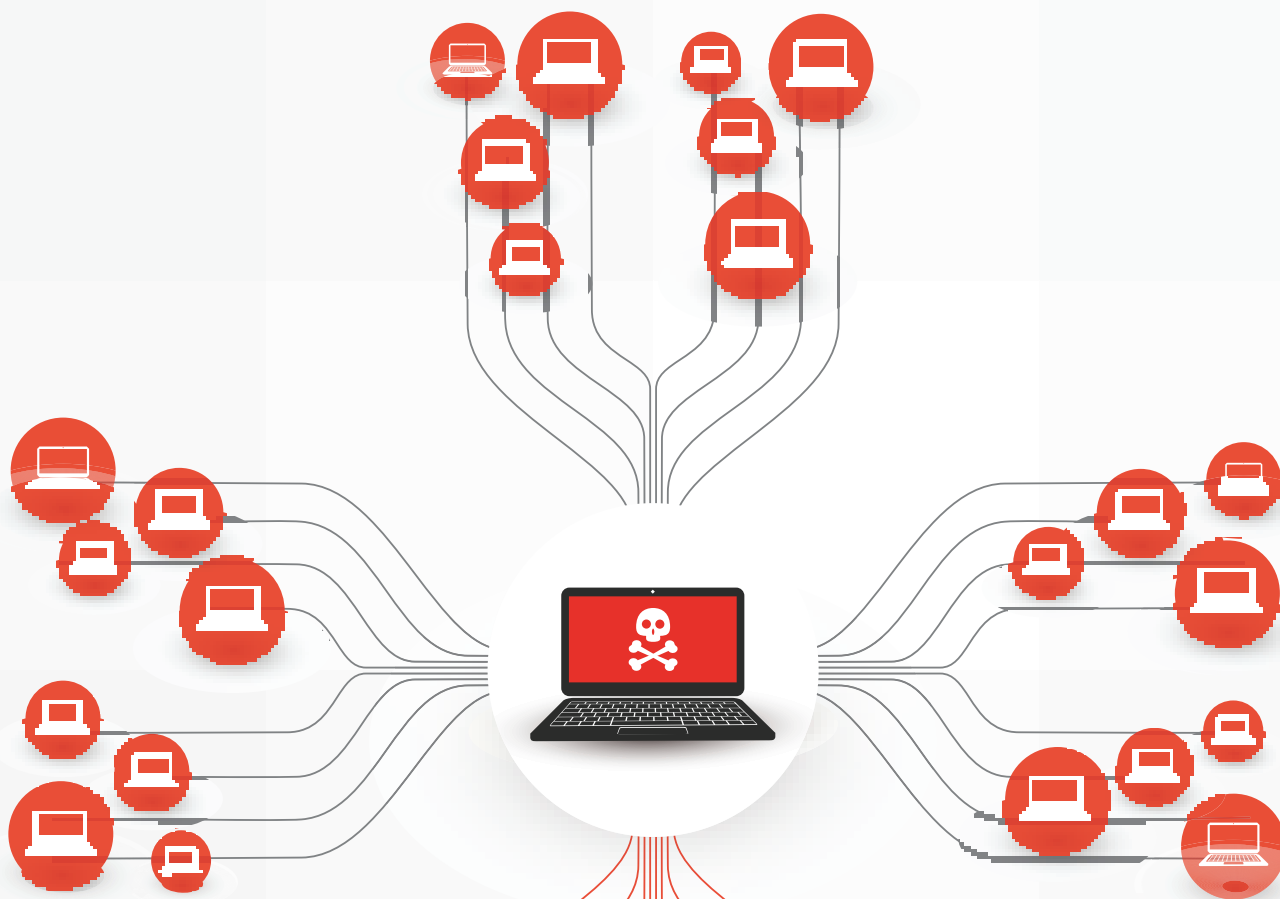
Whilst the Commissioner has been assisting entities to deal with breaches for some time through its 'Data breach notification — a guide to handling personal information security breaches'<sup>2</sup> and 'Guide to developing a data breach response plan'<sup>3</sup>, we expect such guides to be updated with a new level of vigour. All Australian entities subject to the Privacy Act will need to respond quickly and ensure their processes and procedures adhere to the new notification laws ideally well in advance of the 22 February 2018 date of introduction. ♦

*This article was first published as a white paper for LexisNexis.*

## References

- 1 Australian Privacy and Information Commissioner, Timothy Pilgrim 'Mandatory data breach notification' Statement (13 February 2017), available at <<https://www.oaic.gov.au/media-and-speeches/statements/mandatory-data-breach-notification#mandatory-data-breach-notification>> (accessed 3 May 2017)
- 2 Office of the Australian Information Commissioner Data breach notification — a guide to handling personal information security breaches August 2014, accessed 3 May 2017, [www.oaic.gov.au/agencies-and-organisations/guides/data-breach-notification-a-guide-to-handling-personal-information-security-breaches](http://www.oaic.gov.au/agencies-and-organisations/guides/data-breach-notification-a-guide-to-handling-personal-information-security-breaches)
- 3 Office of the Australian Information Commissioner Guide to developing a data breach response plan April 2016, accessed 3 May 2017, <https://www.oaic.gov.au/agencies-and-organisations/guides/guide-to-developing-a-data-breach-response-plan>





# Awareness raising and information security

Here are some things to think about when setting up a framework to identify and manage risks to information assets.

By Adam Tuckett

**T**his quote sums up nicely how, in the information age, mistakes with computers can cause what would have been a minor issue to become a very large issue. We are all familiar with the ability we now have, to move vast volumes of information from place to place very swiftly.

It is akin to putting the envelope in the post-box – once we press the ‘send’ button any mistake we may have made is then committed... but we may, with the press of one button, send it to hundreds of people. The advent of wide-scale electronic information use can either magnify errors to the extreme or place vast volumes of data at risk from those with malicious intent.



In looking at human behaviours we have to accept from the outset, that whatever policy, processes and systems we put in place, there will always be a level of human error, or behaviour that we cannot predict and counter. Having said that, it is crucial we build in appropriate safeguards and checks so that errors are not commonplace. We have to balance any check/safeguard with the disruption it may cause the individual and their potential desire to circumvent things that are seen as 'too difficult' or unnecessary.

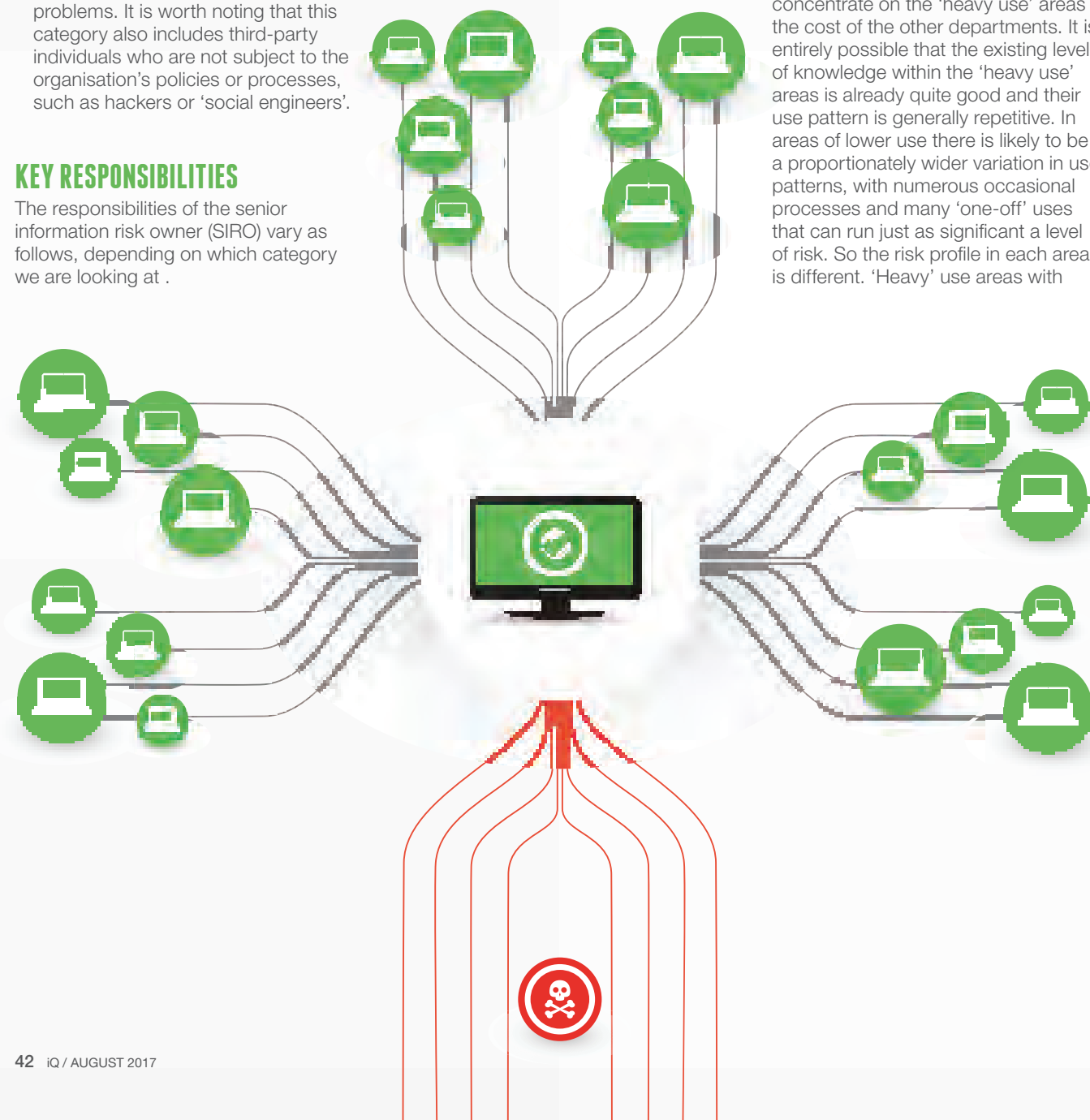
Other than what is colloquially known as the 'foul up', there are a number of other human behaviours to consider when setting up a framework to identify and manage risks to information assets.

Actions by staff that may lead to incidents can generally be categorised in three ways:

- ◆ **Erroneous** – such as selecting the wrong person to email data to
- ◆ **Uneducated/unaware** – where staff either have not been informed of their responsibilities or in a manner that did not ensure they understand
- ◆ **Malicious** – where individuals are driven by other motives to cause problems. It is worth noting that this category also includes third-party individuals who are not subject to the organisation's policies or processes, such as hackers or 'social engineers'.

## KEY RESPONSIBILITIES

The responsibilities of the senior information risk owner (SIRO) vary as follows, depending on which category we are looking at .



**Erroneous:** In terms of errors, the risk management framework needs to be robust enough to measure these and assess whether the level of error being made is acceptable? There is no doubt that an acceptable level must be very low, and it would be worth, when looking at incidents, determining if the error is preventable or not. This can be quite hard to determine – for example, if information is sent to the wrong person, simply because someone picked the wrong name from a contact list, was this purely an error, perhaps in haste, or does the email system in the organisation suggest possible contacts as you start typing their name?

**Uneducated/unaware:** Every organisation should have a continual program of education to ensure staff are aware of their responsibilities. This is covered in more detail later, but it is critical that it is tested for effectiveness, regularly updated and that where risks or incidents are identified or happen, that the feedback loop to learn from these is complete. The SIRO must be able to assure the organisation that the education program is sound, and that the level of provision to staff is adequate related to a variable set of risks across the departments.

Some departments will be heavy users of personal information, others not so much, however it is advisable not to just concentrate on the 'heavy use' areas at the cost of the other departments. It is entirely possible that the existing level of knowledge within the 'heavy use' areas is already quite good and their use pattern is generally repetitive. In areas of lower use there is likely to be a proportionately wider variation in use patterns, with numerous occasional processes and many 'one-off' uses that can run just as significant a level of risk. So the risk profile in each area is different. 'Heavy' use areas with



*To err is human,  
but to really foul  
things up requires  
a computer.'*  
(Farmer's Almanac 1978)

repetitive activity may require a number of awareness sessions, and light use areas may require some detailed specific assessment support.

There are also several ways to categorise the usage by a department. A department where virtually all staff access personal or sensitive data is likely to be a heavy use area, but another area where only a small number of staff access such data, but access it in significantly greater volumes, can be just as high profile a risk area, or in some cases higher. So, in categorising areas, look at number of users but also volumes of data handled.

**Malicious:** Someone with malicious intent can often be very hard to prevent from carrying out their actions, however the SIRO is responsible for ensuring that the organisation looks at the potential malicious threats that its data could be subject to, and puts in reasonable safeguards to reduce the risk. It will be necessary to establish potential external and internal threats. To see what external threats are likely requires understanding the value of the organisation's information to third parties. This can range from information that can literally be sold on a black market, usually to those who wish to provide false identities or conduct identity theft related crime, through to those who are targeting details on an individual, or as in a small but growing number of cases of 'cybercrime', where there is a desire to blackmail an organisation by threatening its reputation. It may well be the 'external value' of the organisation's data that leads to internal staff acting inappropriately. So, in terms

of controls, then technical and physical controls are required to prevent threat from external sources attempting to get in, and policy/process/audit controls required to reduce internal threats of data loss.

## RESPONSIBILITIES THROUGHOUT THE ORGANISATION

Within the NHS, the accountable officer is effectively the organisation's chief executive. In terms of information risk and assets, responsibility in this area is delegated to the SIRO.

To support the SIRO, there needs to be several levels of staff with key responsibilities, who then act as the 'eyes and ears' of the SIRO. These individuals are the key to establishing an effective risk management framework that is generally proactive in identifying and addressing the risks presented by threats and weaknesses, before they become incidents.

This framework cannot be established without the organisation knowing what information it holds, where it comes from and where it goes to. This may sound simplistic, but to establish this in any medium-to-large size organisation is effectively a continual task, undertaken by staff who, by default of their role know the information received, stored and sent from their area. The sum total of knowledge across staff in all departments gives the SIRO their 'information flow maps' and 'information asset registers' from which risks can be identified and addressed.

The general title for staff that have this knowledge is information asset owner (IAO). Generally operating at either a managerial or senior managerial level, they understand how information is used in their area. They know the systems (electronic and paper) and the impacts to their work if such information is not available. They also are best placed to assess risk in terms of context based around typical data uses and assets within their area.

Where an area handles large volumes of data, an IAO can be supported by an information asset

administrator (IAA). This is an individual, usually reporting to the IAO, who can support the required level of detail. ♦



### ABOUT THE AUTHOR

Adam Tuckett is director of Training and Consultancy, Dilys Jones Associates Ltd. Adam's team offers a variety of courses including SIRO, IAO and IAA training.

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I'm old! Some days I think I'm really old because waking up in the morning is already an achievement; especially after long nights sitting in front of the computer responding to ever increasing tender or request-for-information demands. More words, more functionality and an ever-increasing demand for instant information availability in the EDRMS world. But I'll get to that later.

'Stop thinking in A4' is a mirror I am holding in front of me every single day but I am getting better with it – slowly but steadily.

To explain this, I'd like to tell you a story...

In 2012, ELO acquired its first records management customer in Townsville. Our systems architect Ram V and I were travelling back home to Sydney from a visit to the Australian Institute of Marine Science. Due to a delay on departure, we missed our connecting flight from Brisbane and thanks to a budget carrier who shall not be named, we were shipped to a luxury accommodation south of Woop-Woop in the middle of nowhere. As we were craving for food we decided on a 5-star dining experience at a 'reputable' roadside establishment where we met some of our fellow passengers who were stranded as well.

# WANT PAPERLESS?

## Then stop thinking in A4!

Will there ever be a paperless world? Only when we stop thinking in A4... Our author explains how to achieve the goal of becoming paperless ...

By Rainer Krause

I remember having a conversation with the CEO of the Townsville Hospital that changed the way I work, I think and consult our customers. After explaining what we at ELO do, the CEO asked a very simple question: 'Will there ever be a paperless world?'

Ram replied very succinctly: 'Yes, when we stop thinking in A4'. As you can imagine, none of us old folks expected such an answer but, as we all thought it through, we began to understand the wisdom of that simple statement.

Even today, five years after the discussions, many of us are still sceptical that a true paperless world will ever happen and there is a chance that it may never.

In my view, there are at least three components needed to achieve the goal of becoming paperless:

- ◆ Establish affordable and working alternatives.
- ◆ Allow multiple sources of truth but allow only a single repository of truth.
- ◆ Learn from our children: Think information – not document.

### AFFORDABLE AND WORKING ALTERNATIVES

Despite all the available technology, it's fair to say that most organisations still find it a struggle to implement a paperless alternative that works across all age groups, business processes and skill sets.

Tablet computers with electronic pens, large screen mobile phones, collaboration tools and semi-automated workflows are all pointing us in the right direction – but they haven't achieved the same 'trust level' as paper has yet. And I agree just looking at my own tool set.

So here we are in 2017 and this great MD (me!) is carrying a laptop, a tablet and a smartphone with him and most recently he even bought himself a smartwatch. Oh, by the way, at the office he still has his PC too, but if you call him and want to leave your mobile number, he still has to find paper to write it down. Obviously, I have not fully worked out what I really need. There are pros and cons for each of the devices I carry and I am proud that I have reduced my paper consumptions by about 90%. Let's not think about the amount of money I have spent on getting all these devices – the ROI would take about 500 years.

Looking back, if I had a more coherent goal in mind, I would have executed it properly; I would have succeeded in reducing my costs and my reliance on paper. Tablets with pens have a really good battery life and if used properly, help keep notes and enables instantaneous information sharing. If they were a bit more powerful (or less expensive) I'd ditch my laptop. My choice of having a PC is a taste question; I personally like the tack-tack-noise of keyboards and big screens – referring to my first three words – I need big screens. But I guess if I really wanted to I could ditch the PC as well.

On the other hand, ditch the phone? Never! I'm dead without a phone.

To put this in perspective, I remember in 2001 when I became the CEO of a distribution centre. The board wanted me to have a mobile phone and I replied: 'If I am at the office, call my number and if I am not at the office then I am not available'. That was then and I readily admit I was very wrong.

A smartphone has dramatically increased my productivity – 24 hours a day, 7 days a week. It doesn't matter where I am, people can get hold of me, I can read my emails whenever I want and with the ELO for Smartphones (shameless self-promotion) I can even approve / decline workflows when visiting our team in Sri Lanka. In today's business environment speed is the name of the game!

All of the above outlines just the challenges one would encounter with an office employee. Before achieving a paperless goal we need to explore the business processes, individual users and their willingness to adapt to abundant new tools.

Last but not least the new tools need to be affordable. Spending \$1,500 on a tablet that needs to replace paper would allow me to print in excess of 20,000 pages. Many managing directors will ask for a Return on Investment and it will be hard to convince them just on the numbers alone.

But if we change the focus to a 'Return on information', we suddenly get the upper hand. Thinking in A4 means printing, means slowing down processes, means filing, means finding and it means not-finding. Thinking in A4 means so many things that aren't measurable. 'Return on information' changes the entire context and provides affordable and working alternatives throughout the organisation.

### ALLOW MULTIPLE SOURCES OF 'TRUTH' BUT ALLOW ONLY A SINGLE REPOSITORY OF TRUTH

The current global political landscape provides us with ample opportunities to choose what we want to believe in and alternative avenues to make decisions. There is an inherent risk in using many channels or media to get information, seeking to take educated decisions. The challenge is not in where we – as an individual – find the information, but how we turn the information into a collaborative pool of knowledge.

In an age where Fake News has more followers than Genuine News, we have to be careful in our selection of source. Feeding Alternative Facts into an EDRMS may completely alter the decision making process.

Again, paper appears to be different because we can touch it, paper is harder to spread indiscriminately and often is required to bear a signature. We feel comfortable with something that is tangible, has a signature and cannot be changed without everybody noticing the change. Yet, does this make paper the single source of truth? Surely it doesn't.

This is the moment when a modern EDRMS comes into play. All access rights aside, all encryption possibilities aside and all 'criminal behaviour' neglected, any system can only be as good as the content it holds.

To ensure that we have a way of auditing the records we need a tamper proof system that records all changes to the document, all activities by users and all metadata changes.

The amount of data we are creating or getting bombarded with is staggering. Again this shows my age. Although I'm running an IT company, I'm still puzzled how quick everything progresses, how much information I am consuming and how much Bullshit I am absorbing. But more importantly is the speed of change in the decision making process.

In the past, when I was a young fella, I received information, gathered more information, put it together, thought about it and made a decision. Often they were

*... this great MD (me!) is carrying a laptop, a tablet and a smartphone ... and most recently he even bought himself a smartwatch.*





the right decisions but on other occasions those decisions were wrong. But in the occasions where I took the wrong decision it was because I analysed the information incorrectly or a missing piece didn't show me the completed puzzle. Something fundamental has changed!

Today I have to take decisions far earlier because I have to test the data I receive whether they are Alternative Facts or as some call it Anticipated Reality. Thereafter all remains the same; you put it together, think about and make the call. Yet if the base information is wobbly, then your decision will contribute to the Post Truth World.

What many of us haven't yet been able to accept, is that there may never be a truly 'final' version of a document, file or piece of information – the one that is an accumulation of all facts and provides us the important 'that's it!' feeling – or the one singular piece where you can 'find it all'.

Recently we conducted a product demo and the Legal Counsel attending explained the shift in behaviour. Not long ago, parties were sending emails with PDF attachments that showed signatures. These attachments were often scanned copies of printed documents. A few days later you'd have it in the mail. Now, he says, 'we just receive the email with the same content as the PDF; it doesn't have a signature and there may be many in CC'. His question was simply whether he can call that email a record.

I said that I'm not qualified enough to provide an exact answer but I tried explaining to him in simple words 'my view'. And now I do have to be very careful because I may be wrong, I said that I personally classify any information as a record that may form the base to a decision. That could be a SMS, a WhatsApp message, an email or whatever and if I took a decision based on a piece of information, that information is – for me – a record. So really, a record is pretty much everything!

Putting this all into the context of the single repository of truth one could summarise it as the following:

The decision making process in a paperless world requires us to manage multiple sources of truth, which by their very nature can be challenging to digest. But it can be done. If we want to go paperless, we need a quantum leap in trust.

And by the way, as a German I am genetically preconditioned not to be funny. So, all you read so far is the truth.

## LEARN FROM OUR CHILDREN: THINK INFORMATION – NOT DOCUMENT

Last but not least, learning from our children is paramount for a transition to a paperless world.

Today, the majority of business processes have a starting point based on a document. The 40+ generation often can't remember the exact content of the information, but they can recall that it was 'somewhere in the middle of the page'. (Here is the reference to my first three words again: recall what?)

That's changing fast. Put simply, our children think differently because they communicate differently.

Look at it this way: information sent via Facebook's Messenger doesn't have a position; blogs are in running order; websites change content continuously; WhatsApp combines text with visuals; Twitter can create chain reactions; and all channels allow instant collaboration.

Our children absorb information based on its content and context, not based on the channel through which it was received or the visual position of information in a thread. That's an important difference to keep in mind when it comes to turning a challenge into an opportunity.

When you are young, it's easy: If it's on Google it must be true.

Those at the forefront of managing and preserving information in government have very clearly mandated that it must transition away from paper into digital formats; fortunately they've also provided some valuable context and straight forward guidelines.

The National Archives of Australia published three main statements in their Digital Continuity 2020 Policy:

- ◆ Manage information as an asset.
- ◆ Transition to entirely digital processes.
- ◆ Interoperable information, systems and processes must meet standards.

Only if we think 'information' instead of 'document' will we be able to follow the complete digital road.

Now, how do we put this all together:

If we want to achieve a truly digital environment we need to take a few things into account.

First and foremost, ignore your age and focus your behaviour with a defined outcome in mind. I'm getting there by providing my team and myself with alternatives that make sense. Only because I have challenges doesn't mean that the team have them as well. One needs to provide an environment where change is embraced, discussed and fostered.

Don't believe in a single source of truth but create a repository of information that the team can turn into a repository of knowledge.

And last but not least, don't be limited by your own skills but think as if you would work for your successors – your kids. ♦



### ABOUT THE AUTHOR

Rainer Krause is the Managing Director of ELO Digital Office and CEO of Document Managers; he has over 20 years of professional experience in business re-engineering, business development and management consulting.

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# Managing performance – getting the balance right

Our author proposes a performance management process, and accompanying matrix tool, to help identify and handle an organisation’s poorest performers, encourage the highest value-add performers, and skew the remainder in between to the positive end of the scale.

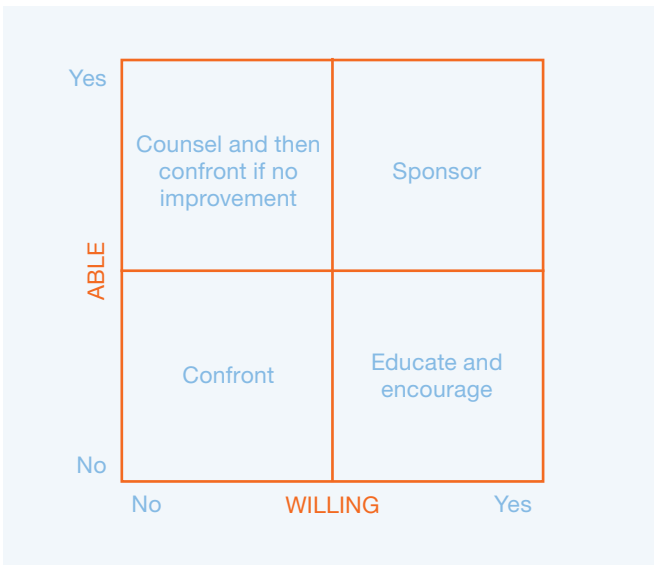
By Kevin Dwyer

I have observed over my working life a distribution of people’s performance exists such that something like 20% of people drive or deliver the value-adding activities of an organisation – that is, those activities which assist the organisation to deliver against its goal. I also have observed that about 10% of people drive value-destroying activities. The distribution of the other 70% is skewed in their value-adding or value-destroying behaviour, dependent on how the 20% value-adding and 10% value-destroying are rewarded for their behaviour.

Jack Welch observed the same and assiduously managed out the bottom 10% of performers. While not advocating such action is right for every organisation, my observations have led me to believe that we spend far too much time on the bottom 10% and not enough time with the 20%, giving them the head space and resources to do even better. We also do not spend enough time with the middle 70%, helping them understand the benefits of aspiring to do better and how they can achieve it.

## WILLING-AND-ABLE MATRIX

The willing-and-able matrix provides a standard thought process to managing performance of the 70:20:10 distribution prevalent in most organisations.



### Willing and able:

Sponsor people who are willing and able to help them further their development as a person and as an organisational resource. This includes but is not limited to:

- ◆ assignments in different functions of the business
- ◆ membership of cross-functional project teams tackling difficult issues
- ◆ elite training programs
- ◆ control over assignments in their area of expertise with stretch targets
- ◆ relieving duties for more senior managers while they are absent for extended periods of time
- ◆ assignment of a mentor.

### Willing but unable:

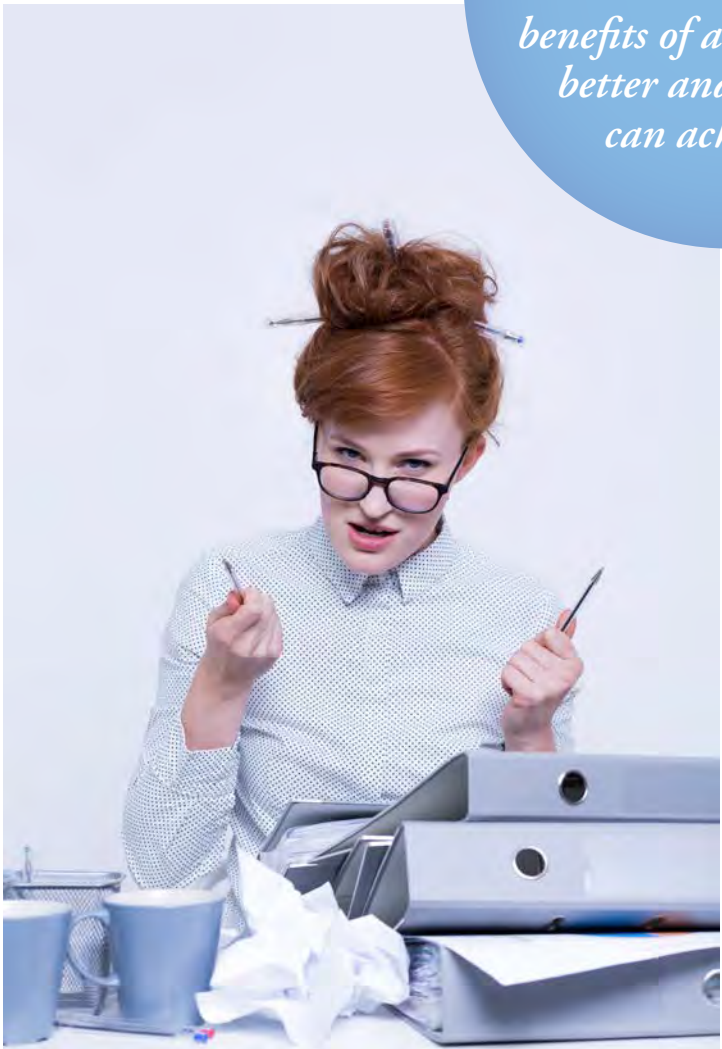
Educate and encourage people who are willing but unable to complete more difficult activities. This includes but is not limited to:

- ◆ corporate training programs
- ◆ on-the-job training programs
- ◆ assessment of knowledge and practical execution of processes and procedures to understand knowledge and skill gaps
- ◆ assignment of a coach to coach in skills and provide a role model for behaviour
- ◆ provision of reading materials assessed as being relevant to the behaviours required for their role.

### Able but not willing:

Counsel those who are able but not willing to use their talents and skills to make a better life for themselves and a better outcome for the organisation. If that does not work after several tries, move to confrontation. This includes but is not limited to:

*We do not spend enough time with the middle 70%, helping them understand the benefits of aspiring to do better and how they can achieve it.*





*... what is required is a performance management process that is clearly articulated ...*



- ◆ seeking understanding of their interests to ensure that they are in roles that match their interests – it is much easier to build skills when you are in a role that matches your interests
- ◆ determining if there are blockers to their performance and agreeing where possible to remove those blockers in return for a concerted effort to improve their performance
- ◆ determining if they feel valued or not, and seeking to improve their perception of their value
- ◆ agreeing on an action plan of mutually agreed actions to improve performance. If repeated attempts to execute an action plan results in insufficient improvement in behaviour and performance, move to confronting them on their behaviour and ask them what they are going to do about their problem, passing ownership of the problem from a joint between-you-and-the-employee to them alone.

#### Unable and unwilling:

Those who have shown themselves to be consistently unwilling and unable, or who have committed an act which has resulted in extremely poor performance or grossly affected the performance of others, must be confronted with their behaviour leading to the poor performance and asked what they will do to correct their behaviour. This includes but is not limited to:

- ◆ having a one-on-one meeting with the person and developing an action plan with clear timelines of what they will do to improve their performance with equally clear consequences for not doing so.

### GETTING THE BALANCE RIGHT

Using a model such as the willing-and-able matrix is a good approach to managing the performance of people across the 70:20:10 divides. The problem I observe is not people using such a model to guide their thinking, but that most of the effort of the human resources function and line management is directed at the 10% – the unwilling and unable – through some misguided sympathy for people in this position. The end result of the over allocation of resources and time to this group is that less effort is spent with the 20% – the willing and able. The result is a perception that more attention is paid to those that do not perform than those that do. When the 70% perceive this is clearly the case, their performance skews towards the 10% rather than the 20%. Additionally, usually more fuss and more noise are made of the 10% than the 20% magnifying the perception.

So what to do if my assertion is true?

In my experience, what is required is a performance management process, as described by the willing-and-able matrix, that is clearly articulated and in which supervisors and managers are well trained to execute. In addition, supervisors and managers, who it is known are affected emotionally, when it comes to counselling and confronting – and thus lose objectivity – should be assigned a coach, who has shown themselves to be able to remain objective in such situations. Further to this, the treatment of the 20% should be proactive and public, whereas the treatment of the 10% is necessarily reactive and should be kept as private as possible in a workplace. ◆

#### ABOUT THE AUTHOR

Kevin Dwyer, Director, Change Factory is a Change Management professional with more than 30 years' experience in the planning, design and delivery of change management programs. Since 2001, and the establishment of Change Factory, he has been involved in many Change Management projects ranging from re-engineering of customs processes to reduce risk to creating and revising performance management systems to improve customer service outcomes at five-star resorts. His first EDRMS project was as the Change Management partner for the REX project which was awarded the J.Eddis Linton Award for Excellence – Most outstanding group in 2010.

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# INFORUM: NOT TO BE MISSED LEADING RIM INDUSTRY EVENT

This year, inForum – the leading industry event presenting speakers from around the world and delegates from various industry sectors – is being hosted from 10 to 13 September in Brisbane, Queensland.

**A**s an information professional, you will understand the importance of staying up to date with the latest trends, challenges, focus points and emerging technologies.

Already the representation amongst delegates is diverse across many industry sectors, providing opportunity for chief information officers, managers, supervisors, academics, researchers and Industry leaders to exchange ideas and thoughts on technology, trends, strategy and best practice.

This four-day conference is an excellent opportunity to meet with industry peers from around the world, attend workshops, make new connections, share ideas and information and most importantly learn something new.

The supporting workshops and site visits provide a valuable opportunity for you to collaborate and learn. The social events allow you to network and share ideas with industry colleagues.

## STREAMS WILL COVER:

### DYNAMIC DIGITAL

*“How deep is the rabbit hole?”*

This stream covers social media, content vs context, being a digital champion, data capture, digital security, and so much more.

### BUSINESS BUY-IN

*“How do I get management to support RIM?”*

This stream covers demonstrating value, gaining support and management buy in through optimising Operations, Information Governance, Compliance & Risk and meeting Critical Business Needs.

### RIM 101

*“Have we got the basics right?”*

This stream covers defining records and information management, records frameworks, business classification systems, identifying requirements, implementing systems, user training, retention and disposal schedules, offsite and secondary storage, standards, etc.

### ABOUT ME

*“How can I improve my skills?”*

This stream covers leadership skills, how to stay motivated, performance management, networking skills, project management, managing a team, professional development and more.



## FEATURES OF THE PROGRAM

- 2 Queensland Museum Back of House Tours
- 2 Breakfast Presentations
- 3 Overseas Speakers (non-AsiaPacific)
- 5 Keynote Presentations
- 5 Optional Workshops
- 5 About Me Presentations
- 6 New Zealand Speakers
- 7 Business Buy-In Presentations
- 14 Dynamic Digital Presentations
- 15 RIM 101 Presentations
- 18 Hours of networking opportunities
- 23 Vendors in the Trade Exhibition

If you would like to know what the current data trends are, how to impress management in under a minute, get buy-in for your project, find out more about blockchain, or make sure you actually have your basics right – this is the event for you!

Whether you have been an information practitioner for 30 years or are new to the industry you are guaranteed to get value from inForum 2017.



## TRADE EXHIBITION OPEN TO THE PUBLIC

Whether you are attending inForum or not we encourage locals to take advantage of the Trade Exhibition which will be open to records and information management practitioners at **no cost** during the following times:

### Monday 11 September:

9.00am-12.00pm and 2.00pm-5.00pm

### Tuesday 12 September:

9.00am-12.00pm and 2.00pm-5.00pm

### Wednesday 13 September:

9.00am-12.30pm

Please register to attend using the Trade Visitor form on the inForum website.





# OUTSTANDING ACHIEVEMENT AWARDS 2016-17

The RIMPA Awards are to be presented at the Gala Awards Dinner at The Greek Club, Brisbane, on 12 September 2017 as part of inForum 2017, and will be posted online thereafter. Shortlisted nominations as follows...

## JIM SHEPHERD AWARD

This award was named in honour of one of the Association's founding fathers, Jim Shepherd. It recognises long-term value towards RIMPA, industry/profession development and/or industry/profession co-operation and is presented in two categories – RIMPA Branch and Vendor.

### Vendor Category

- ◆ Records Solutions
- ◆ EzeScan

### RIMPA Branch Category

The RIMPA Branch category winner is chosen based on the RIMPA Branch Balanced Scorecard which each Branch is required to complete annually. Every active Branch is eligible.

## J EDDIS LINTON AWARD

This award was named in honour of one of the Association's founding fathers, J Eddis Linton and was established in 1999. The J Eddis Linton Awards recognise excellence in records and information management in five categories: Student, Innovation, Collaboration, Implementation and Business Benefit.

## Information Proficiency / Sigma Data Innovation

The J Eddis Linton Award for Innovation recognises leadership through the practical application of innovative solutions for new and existing market needs resulting in a commercial, environmental and/or social benefit.



### Shortlisted nominees are:

- ◆ Edith Cowan University
- ◆ Logan City Council
- ◆ Australian Transaction Reports and Analysis Centre (AUSTRAC)

## EzeScan Collaboration

The J Eddis Linton Award for Collaboration recognises an exemplary skills development collaboration between a department, employer or industry body and, at least, one other stakeholder (including vendors and consultant).



### Shortlisted nominees are:

- ◆ Edith Cowan University
- ◆ Australian Transaction Reports and Analysis Centre (AUSTRAC)

## FYB Implementation

The J Eddis Linton Award for Implementation recognises organisations that have achieved outstanding results through excellence in implementation of a project.



### Shortlisted nominees are:

- ◆ Edith Cowan University
- ◆ Brimbank City Council
- ◆ Griffith University
- ◆ Coal Services
- ◆ Australian Prudential Regulation Authority (APRA)
- ◆ Australian Transaction Reports and Analysis Centre (AUSTRAC)
- ◆ Central Land Council
- ◆ Department of Industry Innovation & Research

## Information Proficiency / Sigma Data Business Benefit

The J Eddis Linton Award for Business Benefit recognises organisations that have achieved outstanding success for business improvement.



### Shortlisted nominees are:

- ◆ Edith Cowan University
- ◆ Logan City Council
- ◆ Australian Prudential Regulation Authority (APRA)

## Records Solutions Student

The J Eddis Linton Award for Student recognises students who have achieved excellence in educational studies in RIM.



### Shortlisted nominees are:

- ◆ Leanda Davis





## Directory

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## Iron Mountain IQ Article of the Year Award

All articles published in the last four issues of iQ – November 2016 to this August 2017 issue – written by RIMPA members or employees of organisations which are corporate members of the RIMPA, automatically go into the running for the award.

From a shortlist of three finalists, the winner will be determined by a panel made up of the Editor of iQ, Heather Millar, Lisa Read-White, Chairman of RIMPA's Board, and a representative of the award's sponsor, Iron Mountain.

The judges are looking for articles which are original, engagingly written, display a thorough grasp of the subject matter, and which contribute to industry information and debate.

Past winners have included a dramatic account of a famous RM legal case, case studies, an entertaining look at the future of recordkeeping – and last year's winner Alyssa Blackburn 'Why you need to think differently about information management'.

Articles eligible for this year's Iron Mountain RIM Professionals Australasia Article of the Year Award include:

### NOV 16

- ◆ The InfoTrain Great Big Repository Tour. By Kylie Welch
- ◆ All wrapped up in DNA. By Linda Shave
- ◆ Up-skilling for IM professionals in a changing digital world. By Chris Foley
- ◆ Managing dynamic research data at higher education institutions. By Frank Flintoff and Ben Brown

### FEB 17

- ◆ The value of information transformation. By Kate Cumming and Janet Villata
- ◆ Record keeping through the ages. By Suparna Chatterjee
- ◆ What you need to know – an intranet tale. By Lorien Mader
- ◆ Local Government RIM Benchmarking Survey. By Kye O'Donnell
- ◆ Your next assistant could be a robot! By Linda Shave
- ◆ Is machine learning the future of records management. By Nicholas Fripp
- ◆ EDRMS – better records and information management. By Beatrice Siu
- ◆ Brits Brexit babble smothers IM talk. By Mike Steemson

### MAY 17

- ◆ Records management and the governance of things. By David Moldrich
- ◆ Book review - Engaging with records and archives: histories and theories. By Marjorie Warry
- ◆ The power of a mentor. By Kylie Welch
- ◆ Education and professional development for the Fourth Industrial Revolution. By Linda Shave
- ◆ Good records management programs – saving your agency's records. By Beatrice Siu
- ◆ How to relocate your records successfully. By Molly Ap-Thomas

### AUGUST 17

- ◆ Goodbye ECM... Hello Digital Content Services: Getting RIM onto the enterprise radar. By Linda Shave



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