Vol 34 / Issue 2 / May 2017 / issn 0816-200x
AU $90.00 incl GST ($81.82 + GST) for four issues

iQ THE R·I·M QUARTERLY

Professionals Australasia

THE DIGITAL CHAMPION: CONNECTING THE DOTS

Education for the Fourth Industrial Revolution

The power of a mentor

RM and the governance of things

+ WHAT IS BLOCKCHAIN AND WHY SHOULD RECORDS MANAGERS CARE?

See more at www.rimpa.com.au

iQ THE R·I·M QUARTERLY
Professionals Australasia

VOLUME 34 / ISSUE 2 / MAY 2017

Official Journal of Records And Information Management Professionals Australasia

EDITOR: Heather Millar
Zest Communications
Professional writing and editing services
Web: www.zestcommunications.com.au
Email: editor.iq@rimpa.com.au
Post: Editor, *iQ* Magazine
PO Box 779, McLaren Vale SA 5171

ART DIRECTOR: Stephen Dibden
Paper Monster Design
Magazine and advertising design services
Email: stephen@papermonster.com.au
Stock images: Shutterstock

CONTRIBUTIONS & EDITORIAL ENQUIRIES
Articles, reports, reviews, news releases, Letters to the Editor, and content suggestions are welcomed by the Editor, whose contact details are above.

ADVERTISING
Wendy Morris
wendy.morris@rimpa.com.au

ANNUAL SUBSCRIPTIONS
AU $90.00 incl GST ($81.82 + GST) per annum for 4 issues (including postage), from:
Subscriptions, Membership & Financial Services
RIM Professionals Australasia
PO Box 276, St Helens TAS 7216
P: 1800 242 611 F: 1800 333 802

***iQ* ONLINE ARCHIVE**
Copies of articles published in *iQ* since 1984 are available at the Members Only section of the RIM Professionals Australasia website, in the *iQ* Article Archive. Complete back issues from February 2005 are available electronically at the Members Only section of the RIM Professionals Australasia website.

The Members Only section of the website can be accessed with RIM Professionals Australasia membership, or, outside Australia and New Zealand, with the purchase of an *iQ* annual subscription.

RIM PROFESSIONALS AUSTRALASIA WEBSITE
http://www.rimpa.com.au

CONTENTS

Kate Walker, Chief Executive Officer, RIM Professionals Australasia

Why continuing professional development is so important

Why is CPD important and why does it matter? Continuing professional development is important because it ensures you continue to be competent in your profession.

So you've finished your qualification… Check. You've completed all your practical experience requirements… Check. Your new job is all lined up and ready to go… Check.

It's fair to say the first part of your mission is well and truly accomplished. Sit back and give yourself a pat on the back. But don't take too long about it or you'll be lagging behind your colleagues. The same is true for professionals with many years' experience in the workplace.

Continuing professional development is an ongoing process which continues throughout a professional's career. The ultimate outcome of well-planned continuing professional development is that it safeguards the public, the employer, the professional and the professional's career.

THE BENEFITS OF CDP

Well-crafted and delivered continuing professional development is important because it delivers benefits to the individual, their profession and the public.

- CPD ensures your capabilities keep pace with the current standards of others.
- CPD ensures that you maintain and enhance the knowledge and skills you need to deliver a professional service to your customers, clients and the community.
- CPD ensures that you and your knowledge stay relevant and up to date. You are more aware of the changing trends and directions in your profession. The pace of change is faster than it's ever been – and this is a feature of the new normal that we live and work in. If you stand still, you will get left behind, as the currency of your knowledge and skills becomes out-dated.
- CPD helps you continue to make a meaningful contribution to your team. You become more effective in the workplace. This assists you to advance in your career and move into new positions where you can lead, manage, influence, coach and mentor others.
- CPD helps you to stay interested and interesting. Experience is a great teacher, but it does mean that we tend to do what we have done before. Focused CPD opens you up to new possibilities, new knowledge and new skill areas.
- CPD can deliver a deeper understanding of what it means to be a professional, along with a greater appreciation of the implications and impacts of your work.
- CPD helps advance the body of knowledge and technology within your profession.
- CPD can lead to increased public confidence in individual professionals and their profession as a whole.

The importance of continuing professional development should not be underestimated – it is a career-long obligation for practicing professionals.

Did you know that CPD is mandated by RIMPA for Certified Members? It is your personal responsibility as a professional to keep your knowledge and skills current so that you can deliver the high quality of service RIMPA and the industry expects to safeguard the public and meet the expectations of customers and the requirements of your profession.

Investing in your professional and career development requires planning, persistence, and the resources necessary to help place you in the best position to grow. With a clear focus and goals, you can become a leading individual in your industry. Start today and invest in yourself to pave the way for your success.

HOW A PROFESSIONAL DEVELOPMENT PLAN CAN ASSIST YOUR CAREER PLANNING

A great career doesn't just happen by itself. Like anything else you want to achieve in life, a successful career takes time, effort and most importantly, planning, to get right. For that reason, a professional development plan in the form of a written summary of your ambitions, aspirations and objectives can be extremely useful in helping to clarify your career goals and sharpen your focus.

A career development plan is designed to outline your interests, values and skills, and to help you think about the following:

- Where you are now, and where you want to be
- Your likes, dislikes, passions, strengths, skills, experience and personality, and how closely they align with your chosen job
- Your short-term and long-term career goals
- Any skills, qualifications and experience you might still need to acquire
- The current labour market, where the work is, and any other job requirements you might need to research.

Articulating a vision statement for your career is the first step in helping you get that dream job. By setting clearly defined career goals and mapping out the steps you need to take to get where you want to be, you can more easily navigate towards the vision you've laid out for yourself.

Writing your career plan out (rather than just having an abstract idea in your head) also gives you something to keep referring back to, and you can much more easily measure your progress. It's also a satisfying process to be able to tick each career objective off your list – and actually see the progress you're making.

Remember, there's more than one path to career success, and after you've developed your professional development plan you might realise that, in its current form, it's not the route you want to take – so flexibility is key. Don't be afraid to adjust your plan or even create an entirely new career objective, based on what you've learned. This kind of insight is one reason why making a career plan is such a worthwhile investment of your time. And importantly, be prepared to take opportunities when they present themselves, and not necessarily when you are fully prepared for them.

You need to take ownership of your career and its continuing development, as the job market is always changing and you may no longer be able to rely on your employer to identify and satisfy your development needs. The effect of such changes has increased the demands on professionals to maintain documentary evidence of their continued competence; and nowhere is this more important than in records and information management, where technology is advancing so swiftly. You should be developing a personal portfolio of your professional activities and their relevance to your current job and your continued career as well as future ambitions.

By taking ownership of your career and focusing your professional development you will:

- be better able to recognise opportunity
- be more aware of the trends and directions
- become increasingly effective in the workplace
- be able to help, influence and lead others by your example
- be confident of your future employability
- have a fulfilling and rewarding career.

Taking a structured approach to your professional development will enable you to demonstrate continuing commitment to your profession. What's more, the good practice of regularly reviewing your needs, and selecting appropriate learning activities to help you fulfil them, will give your career focus and meaning.

Maintaining records of your development will help you to focus on your career plan. As you progress with the process of planning, and recording, you will find it easier to review and amend as new options become available.

SO, HOW CAN RIMPA HELP YOU?

This varies and continues to expand, however, here a few ways to get started:

- Networking opportunities: Probably the most widely applicable of all the benefits listed here. Find out about events, get to know professionals in your industry, get advice from forums and more.
- News and updates: Get consistent, up-to-date information relating to your area of interest, which is essential in every career area.
- Grants and funding: RIMPA has grants and awards for which you can apply.
- Mentoring: RIMPA has a formal mentoring program which could put you in touch with an experienced professional in your chosen field.
- Status: Being an active member of RIMPA demonstrates your commitment to and motivation for the profession – key things employers are looking for in potential recruits. ❖

INDUSTRY NEWS

WORLDWIDE NEWS

Report on Australian Government progress towards digital information management published

Three-quarters of government agencies now manage their records digitally according to a new report by the National Archives of Australia.

The report on progress of the Australian Government's Digital Continuity 2020 Policy is now available on the National Archives website.

The report to Attorney-General, Senator George Brandis – on the integral role of information governance and digital information management in the Government's digital transformation agenda – draws on surveys undertaken by the National Archives in 2015 and 2016. It identifies achievements in information management capability and performance, as well as areas for improvement.

"Although agencies have made progress in digital information management, there is still more that needs to be done", Archives Director-General David Fricker said.

"The continuing potential for loss of valuable government information is one of our greatest concerns. We are working together with agencies to improve that and assist with their progress towards digital information continuity by 2020."

The Archives' Digital Continuity 2020 policy aims at integrating robust information management into business processes to ensure the best government programs and services. It enables information to be reused for economic and social benefits, while protecting the rights and entitlements of Australians.

"From 2010 to 2015, the number of agencies working digitally has increased by 44%, with almost three-quarters of agencies reporting they now manage most records


David Fricker

digitally," Mr Fricker said.

The new report outlines how the Archives is leading agencies to implement the policy, with a drive to improve information management across government.

Publication of this report was one of the recommendations of the Independent Review of Whole-of-Government Internal Regulation (Belcher Red Tape Review). Additionally, the Archives has published the 2015 Check-up Digital and 2016 Information and records management practices in Australian Government agencies survey reports online.

For more information, go to www.naa.gov.au.

New Treaty of Waitangi display opening

New Zealand founding document, the Treaty of Waitangi, will open to the public at a new 'permanent' site on 20 May, the Kiwi government announced early last month. The move, surrounded by controversy, will shift the treaty papers from its Constitution Room in Archives New Zealand's Wellington head office, to a newly-built exhibition space in the National Library just a couple of hundred yards up the road and that much closer to the Parliament buildings.

The project was launched with fanfare in 2012 but stalled a year later after $2.5 million had been spent on concept and exhibition space design.

Planners and consultants had been harassed with conflicts over the wisdom of the move and indecision over which documentary 'taonga' (treasure) should be included.

Then, Archives NZ management at the Government's Department of Internal Affairs announced it was unable to meet the planned opening date. A Government minister ordered a review and senior heads rolled in an internal reshuffle that ended in the appointment of, among other changes, a new Chief Archivist. No official explanation has been given for the planning blow-out.

The new exhibition space is called He Tohu, an imprecise Maori phrase with various meanings such as 'treaty', 'declaration' or 'petition. It has been applied to the new site meaning simply 'the signs'. The display is spun around the theme: 'Talking about our past to create a better future'.

The exhibition will consist of the large, well-known 1840 rat- and rot-damaged main Treaty document and its eight supplementary papers, plus its forerunner, the 1835 Declaration of Independence of the United Tribes of New Zealand, and the 30,000-signature, 1893 Women's Suffrage Petition that lead to New Zealand's world-first national votes for women legislation.

The new showcase will be launched by the NZ Governor General, Dame Patsy Reddy, the day before the public opening.

Privacy Commissioner's heads up on FoI management snags

Privacy Commissioner New Zealand
Te Mana Matapono Matatapu

New Zealand information managers are backing their national Privacy Commissioner's latest heads-up for Government agencies on how to make public information available and 'avoid problems down the road'.

In a lucky-for-some seven-point 'how to', the Privacy Commission sets out an ideal guide for records managers anywhere in government facing 'urgent' demands for Freedom of Information Act searches. The tips range from narrowing the field of inquiry to watching the clock.

One records manager urged iQ: "Get the word out. The Commissioner's 'how to's' well fit what I've been trying to tell my people forever. It'd be useful guidance to some private sector people, too."

Wellington-based information management consultant, Michael Upton, IM practice leader at Davanti Consulting, told the Records Management NZ Facebook group: "RM and privacy responsibilities often sit hand in hand in organisations, formally or otherwise. Their (the Privacy Commission's) advice seems pretty practical to me."

The Commissioner's tutorial urges "don't duplicate information" especially where legal professional privilege information has been redacted. Supplying duplicated pages with content blanked may give the impression that far more information has been withheld than was actually the case.

The report comments: "In our experience, human nature means that as soon as someone sees that information has been redacted, they automatically assume it is far more interesting than it is!"

It urges: "Think about plain English explanations for why information is withheld. Providing a reasonable explanation up front can save you time." It adds: "Good communications prevents complaint" and warns, pointedly:

"They won't need to engage with us if you are engaging with them."

Sex education material from early 20th century on display at National Archives

Do you remember how sex education was taught when you were at school? Now you can visit the National Archives and find out how sex education was approached last century.

According to National Archives researcher Emily Catt, sex education was not implemented in schools during the earlier part of last century because it was viewed as too explicit and community sex education lectures were implemented instead.

"The exhibition now includes a pamphlet advertising Dr Philpot's Intimate Lectures from 1943," she said.

"The lectures invited men and women of all ages to come along and learn about sex education."

You can also see posters displaying tombstones, licentious behaviour and comments such as "Venereal disease is a killer" hang on the National Archives' walls, part of a permanent exhibition called Memory of a Nation.

The exhibition is refreshed annually and this year one of the focal points is on 20th-century attitudes towards sex education.

Ms Catt said while many preferred not to talk about it, sexually transmitted diseases were a problem for the Australian Imperial Force (AIF) in WWI and WWII.

"The statistics vary from where you read them, but 10 to 15% of members of the AIF did contract venereal disease at some point during the war," Ms Catt told Louise Maher on ABC Radio Canberra.

Many young men travelled abroad to new environments for the first time during WWI, and as a result independent organisations and medical officers had to be put in charge of tackling their sex education.

The National Archives' free exhibitions are open from 9am to 5pm each day, and to 7pm each Tuesday.

Source: abc.net.au/news/2017-01-23/venereal-disease/8203890

Australian Record Retention Manual now online

The Australian Record Retention Manual (ARRM) – an authoritative tool for information retention compliance across the private sector – is now available online.

Subscribers of the ARRM, which provides an in-depth interpretation of Australian acts and regulations, have been keen to see the service go online.

"We have been listening to our clients and have spent time researching the best way to take this extensive resource into the online environment." said Shirley Cowcher, managing director of Information Enterprises Australia.

"The last print edition of the ARRM was our 16th edition and it totalled 952 pages and referenced more than 1700 pieces of Australian legislation. When a reference tool gets to that size, and with legislative change occurring as rapidly as it is, you have to look for methods of access that will provide ease and currency" Shirley said.

ARRM Online launched on 3 April 2017 as an online subscription service. Subscribers can get instant access to guidance on reducing information risk and improving compliance.

Legislation can be searched by title, subject and jurisdiction. ARRM online is the one-stop-solution to learning all about what information your organisation needs to keep, the length of time it should be kept and the penalty for not doing so.

Subscriptions are annual and available as a single user or a five-user licence.

Go to iea.com.au/australian-record-retention-manual-online.

Towards a new reality: Taking back control of our online identities

The General Data Protection Regulation (GDPR) provides individuals with increased control over how their personal data is collected and used online, but more can and should be done to ensure that individuals are able to take back control of their online identities, the European Data Protection Supervisor (EDPS) said, as he published his Opinion on Personal Information Management Systems.

Giovanni Buttarelli, EDPS, said: "Our online lives currently operate in a provider-centric system, where privacy policies tend to serve the interests of the provider or of a third party, rather than the individual. Using the data they collect, advertising networks, social network providers and other corporate actors are able to build increasingly complete individual profiles. This makes it difficult for individuals to exercise their rights or manage their personal data online. A more human-centric approach is needed which empowers individuals to control how their personal data is collected and shared."

The recently adopted GDPR provides for increased transparency, powerful rights of access and data portability, giving individuals more control over their data. However, it is not the final step in this process. Instead, it should be seen as the foundation for further efforts to improve how we enforce control over our online identities.

To read the full opinion piece, visit bit.ly/2fCalhl

Organisational complexity greatest threat to cybersecurity

A new global survey by the Ponemon Institute on IT security infrastructure has found that 83% of organisations believe they are most at risk for cyberattack because of organisational complexities.

"Employees are not following corporate security requirements because they are too difficult to be productive, plus policies hinder their ability to work in their preferred manner," the study noted. "It is no surprise that shadow IT is on the rise because employees want easier ways to get their work done."

The study, which was sponsored by Citrix, finds that employees are increasingly putting data on their personal devices, meaning key corporate information is accessible from any laptop, phone or tablet left sitting at a desk or coffee shop. And data assets are increasing, putting more information at risk, according to 87% of survey respondents.

The results also found that security and IT professionals are truly concerned about their current operations:

- 79% of respondents are worried about security breaches involving high-value information.
- The protection of apps and data is more critical than ever, with 74% of businesses saying that a new IT security framework is needed to improve security posture and reduce risk.
- 71% say there is risk from their inability to control employees' devices and apps.
- As for planning for the future:
- 73% say data management, 76% say configuration management, and 72% say app management are the keys to reducing the security risk over the next two years in building a new IT infrastructure.
- 75% say their organisation is not fully prepared to deal with the potential security risks resulting from Internet of Things (IoT).

"In every region of the world, businesses must accept the fact that security practices and policies need to evolve in order to deal with threats from disruptive technologies, cyber crime and compliance," according to Dr Larry Ponemon, chairman and founder of the Ponemon Institute. "The research reveals respondents' awareness of the need to challenge the status quo of their IT security strategies and consider a new IT security architecture to safeguard their organisations from cyber risks."

Source: Information Management.

£150,000 fine for insurance company that failed to keep customers' information safe

The ICO has fined Royal & Sun Alliance Insurance PLC (RSA) £150,000 following the loss of the personal information of nearly 60,000 customers.

An ICO investigation looked at the theft of a hard-drive device containing 59,592 customers' names, addresses and bank account details including account numbers and sort codes. The device also held limited credit card details of 20,000 customers, although CVC numbers and expiry dates were not affected.

ICO enforcement officers found that RSA did not have the appropriate measures in place to protect financial information by preventing the theft at its offices in West Sussex from happening. The device was stolen from company premises either by a member of staff or a contractor, the information on it was not encrypted and the device has never been recovered.

Steve Eckersley, ICO Head of Enforcement said:

"Customers put their trust in companies to keep their information safe, particularly financial information.

"When we looked at this case we discovered an organisation that simply didn't take adequate precautions to protect customer information. Its failure to do so has caused anxiety for its customers not to mention potential fraud issues."

Mr Eckersley added:

"There are simple steps companies should take when using this type of equipment including using encryption, making sure the device is secure and routine monitoring of equipment. RSA did not do any of this and that's why we've issued this fine."

veraPDF 1.0 released

The veraPDF consortium announced the release of veraPDF 1.0, an open-source industry-supported PDF/A validator. Led by the Open Preservation Foundation and the PDF Association, veraPDF validates all parts and conformance levels of ISO 19005 (PDF/A). The software is available under a MPLv2+/ GLPv3+ license.

Carl Wilson, Technical Lead, Open Preservation Foundation said: "Identifying a file's format and establishing that it conforms to the format specification is an essential step for memory institutions with responsibilities for long term preservation and access. veraPDF helps users to evaluate their files against the standard. A PDF feature reporter and a customisable policy checker allows organisations to enforce institutional policy beyond the scope of PDF/A."

Duff Johnson, Executive Director, PDF Association said: "The release of veraPDF 1.0 is a significant milestone for both the PDF industry and the digital preservation community. For the PDF industry, the project to develop veraPDF facilitated the identification and resolution of ambiguities in the PDF/A specification, improving interoperability and utility to end users. For the digital preservation community, veraPDF delivers authoritative information about the nature and long-term reliability of digital holdings while providing more tools to help preservationists advise contributors on their software and workflows."

Next issue

Strategic management: the value of RIM

The August 2017 issue of iQ will feature a section on strategic management and getting RIM onto the company radar – ie, gaining buy-in for supporting the functions of the company through strong RIM. It will also cover having RIM-based strategic and operational plans including disaster planning. Topics could include getting buy-in, change leadership, staff development, how to write plans, policies procedures and training materials, identifying stakeholders, etc. If you have an article on this or any RIM-related topic, we would love to hear from you.

Copy due: Wednesday 28 June

RECORDS MANAGEMENT AND THE GOVERNANCE OF THINGS

How operational aspects must change for the future of the profession.

By David Moldrich

Although the records management profession is facing challenges with an increasing focus on information governance, the reality is that its role and function has been in great need for more than 30 years and remains a necessity today.

Regarding the profession, many hold the belief that it is simply imploding on itself. There are parallels with the librarianship and health informatics professions, both of which were under immense pressure to be assimilated into the information technology profession. Both professions have now gone through a governance-led rebirth and have successfully integrated themselves into the broader discipline of information governance (IG).

Many perceive the librarianship industry as having successfully reconstructed much of its processes and services, resulting in an industry that is both required and well respected. It should also be noted that this rebirth has created a new breed of librarians that have profound skills in research and discovery, as well as the governing aspects of these information types.

EXPLAINING WHAT RM PROFESSIONALS DO

It is interesting that we as RM professionals have always struggled when it comes to explaining our industry and job responsibilities to peers. I have had people tell me that my job entails a variety of things, including looking after vinyl records to working in finance doing accounts payable. Obviously, we believe in what we do and its importance. However, within our own organisations, especially in IT, many often think they have discovered a new business function, when they suddenly realise there are legislation and regulations that require the IT service to retain a certain type of information for a certain period of time, only to then destroy the information. Once destroyed, one must update the metadata to reflect the destruction. Then the light bulb clicks on and most would realise this is simply retention and disposal.

CORE INDUSTRY IDENTITY PROBLEM

Our core problem has always been that our industry has always been considered the back office where the filing is done. The majority of what we considered to be our bread and butter is now being completed in an automated system that is much more transitional and transactional. Most importantly, we don't even know that it is being created, let alone managed. The blame does not fall on IT, as the business is requesting new ways for the creation, collection, management, access, analytics, usage and predictability of information assets.

Considering we are not skilled in these areas, the question that resonates with many is, 'Do we even want to go down that path and compete with IT?' The answer is no.

In the meantime, records are being created everywhere in business systems of engagement. In many organisations, we now have full digital engagement between businesses and their customers. A digital contract that allows for digital signatures has become a common part of the customer relationship management (CRM) process and the enterprise resource planning (ERP) system. How do we, as records managers, become part of this? We cannot convince businesses to put this in our records management system as an afterthought, considering the business does not have the time, money or resources to properly do so.

While we have been adapting as RM professionals from managing system of records that have replaced our manual records management process, the world has surged forward to systems of engagement.

Does this mean that if we are not identifying the record (evidence of business) as part of the process, we have lost our role as RM professionals? Unfortunately, most would agree we have already lost our roles. However, that does not mean that we have lost our jobs. In fact, it has given us a huge opportunity. The gap that is now being identified in most organisations is information governance (IG) and the strategic aspects of what we do as part of our norm.

As RM professionals, we do not need to manage the information objects as individual items anymore. The information objects and records will be managed by IT as a service in a repository that is also managed and serviced by IT professionals. We must ensure that they, the service providers, have the right strategies, frameworks, policies, procedures and governance in place to ensure that the business is collecting, managing, preserving, using and disposing of the right business information.

RM PROFESSIONALS MUST DO THE FOLLOWING:

- Understand from a governance perspective why and what the organisation needs to capture and manage in relation to the data, information and records
- Understand from a governance perspective how and when this needs to occur
- Persuade senior executives that it is imperative they adopt a management systems approach to their information assets with an overarching IG strategy and framework
- Understand that our new mandate is to manage information processes, architecture and frameworks
- Coordinate the IG strategy and associated frameworks
- Put in place adequate change management (CM) strategies to ensure the business adopts the IG strategies, frameworks, architectures, policies, procedures and guidelines. Critically the CM strategies need to be embedded into business culture, permanently.

Our roles as records managers and custodians must change. The operational aspects of our jobs must also change. We will never have enough resources, money or time to manually manage every piece of information.

Our roles as records managers and custodians must change. The operational aspects of our jobs must also change. We will never have enough resources, money or time to manually manage every piece of information.

However, the functional aspects must not change. In the digital age, records need to be managed holistically across the enterprise, and RM professionals need to participate in multi-disciplinary governance teams that include stakeholders from legal, IT, internal audit, risk and compliance and the business, as a whole. ❖

This article was first published by Information Governance ANZ, www.InfoGovANZ.com.

ABOUT THE AUTHOR

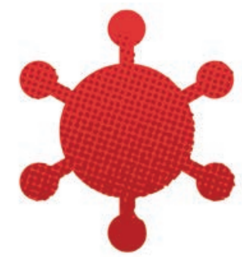
David Moldrich OAM FRIM is an information asset management advisor. David was chair of the Australian Standards IT 21 Committee on Records Management for 23 years. In 2006, he received the Medal of the Order of Australia for his services to the development of national and international standards in the field of Information Management.

The top five security threats to your business

Cyber security breaches are more common now than they have ever been, affecting businesses every day. What exactly are these threats? How are they carried out and how can they impact business? The Level 3® threat intelligence team has identified the top five most common security threats that you should know about.

CYBER THREAT

1



NETWORK AND APPLICATION LAYER ATTACKS

- Disruption or suspension of servers and network resources connected to the Internet.
- Easy attack for anyone to launch, very difficult for businesses to resolve on their own.
- DDoS attack packages available to anyone on the black market for very little money.

Also called: Denial of Service (DoS) or Distributed Denial of Service (DDoS)
Frequency: Very common

2

SOCIAL ENGINEERING

- Fake email or other electronic communications used to acquire access or information.
- Difficult to detect, often the source appears legitimate.
- Critical information about your enterprise falls into the wrong hands.

Also called: Phishing or spear phishing
Frequency: Common and ongoing

3

ADVANCED PERSISTENT THREATS

- 'Backdoor' to your systems is established using vulnerabilities.
- Gather administrative credentials and exfiltrate data.
- Attackers use custom malicious code, remain undetected for as long as possible to continue to do damage.

Also called: APT
Frequency: Increasing every year

4

ORGANISED CYBERCRIME

- Risk of intellectual property theft, confiscated bank accounts, and loss of customers as a result of business disruption.
- Ultimately easier to prevent than to fix, cyber criminals specialise in selling personal information on the black market, using ransoms and blackmail.

Also called: Cybercrime syndicates
Frequency: On the rise

5

MAJOR DATA BREACHES

- Through a variety of methods, sensitive information about enterprise companies in every industry is exposed.
- Business is disrupted, customer and company data is compromised, and recovery costs are enormous.
- Financial, media and entertainment, health care, retail and many more are vulnerable.

Also called: Hacked, accidentally published, poor security, lost/stolen media, inside job
Frequency: In the news every month

ABOUT THE AUTHOR
Level 3 pairs network defense strategies with Unified Threat Management (UTM) services for monitoring traffic irregularities, and network firewalls. Level 3 can help secure your most sensitive, private data.
For more information, go to level3.com.

Information governance is FREE!

Information governance is your path to improve business efficiency and lower costs.

By Craig Grimestad

Some years ago – in 1979 – during the time when quality was not yet integral to the manufacturing process of manufacturers, Philip Crosby wrote a book entitled *Quality is free* [McGraw-Hill Book Company]. At the time, the title was provocative as companies spent a lot of money on their quality programs to make sure that their customers received 'quality products'. Companies regularly produced a mix of good product and bad product, and spent a lot of money to separate the good from the bad and to turn the bad product into good product. Sometimes the product was so bad that it was not possible to rework it into a good product, so product had to be thrown away or scrapped. All of this inspection, rework and scrap cost a lot of money. It was obvious that to consistently produce quality product cost companies a lot of money. So how could someone seriously assert that quality is free?

Well, the answer of course was to make the process robust and statistically controlled, so that even with all of the manufacturing variability, all parts would still be within specification (NOTE: no part is perfect, but all are to specification). Quality was no longer inspected into the parts, it was the natural result of a statistically controlled process. Having the process statistically controlled saves inspection, rework and scrap costs, yielding the lowest cost manufacturing solution. So yes, QUALITY IS FREE! – it's built into the process. Full disclosure? Using statistical process control goes beyond being 'free'. Statistically controlling processes does not add as much cost as it saves, so actually – it SAVES YOU MONEY!

There are many parallels between quality for manufacturing and information governance (IG) for company records. Companies spend a lot of money on the lifecycle of records – to create, use, store and dispose of records. Almost every employee has a part in one or more stages of the records lifecycle for one or more records. The resultant variability and inconsistent practices yield a mix of good records management practices and wasteful records management practices. As IG is applied, the variability and inconsistencies are reduced as the processes become defined with more effective use of resources. As IG matures, the variability tends toward zero, and the efficient use of resources is maximised. For the employee tasked with a role in a mature process under IG, there are no individual liberties, no place for individual expression – unless one is asked to be creative in a specific situation. Otherwise, the objective is clear, the task is defined, the path is established, the result is certain. No waste – no lost energy.

As you are discerning, when I say governance, I mean governance, in the broadest, fullest and most comprehensive sense, across the entire business. I mean defining the data and information to be acquired or created; establishing a process that manipulates or processes that data and information, creating records in a prescribed way that satisfies the business requirements; storing those records in a predetermined location; providing appropriate access to individuals; and then directing their disposal once the lifecycle has reached its end. All with minimum cost.

There are many examples of non-efficient practices ripe for improvement. Here are some tip of the iceberg examples:

CREATION

When developing a report or presentation, do individuals start with a fresh canvas, or is there a template where new or updated data/information can be applied?

Are reports generated with extraneous information that has no value for its recipients?

USE

Are there multiple individuals entering the same or similar information into different locations, such that the same data and information (or at least it should be the same) is found in multiple repositories or applications? Do individuals need to take the time to figure out which information is the most current?

STORAGE

Is there a designated place (an approved records repository) for the storage and retrieval of all data, information and records? Or does each individual have their own storehouse of data, information and records, in combination with departmental and company storage locations? I digress, but it is said that individuals commonly spend 20% or more of their time searching for records and information. Say for starters, as IG is applied, that time is reduced by 5%. How much is 5% of your company's payroll? Some will say the savings can't be realised by freeing up a fraction of an individual's time. Well, maybe at some point the job activities can be consolidated, but even if not – do you have some projects that you never quite have time for? Maybe you just freed up the time!

DISPOSAL

Are all records disposed of per the records retention schedule requirements, along with all courtesy copies? If not, you are incurring extra storage and maintenance costs.

IG will do for the business, what statistical process control did for the factory. In truth, IG also goes beyond being free – it will save you money. It is an endeavor that will improve the efficiency of your business operation and help guide the optimal use of people and resources. You want to have the lowest costs in your business sector? IG is your path. Perhaps not yet, but one day IG will be an imperative to successfully compete in your business sector. In the meantime, do you want to lower your costs and enjoy the benefits, or watch your competitors lower theirs and suffer the consequences? ❖

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.

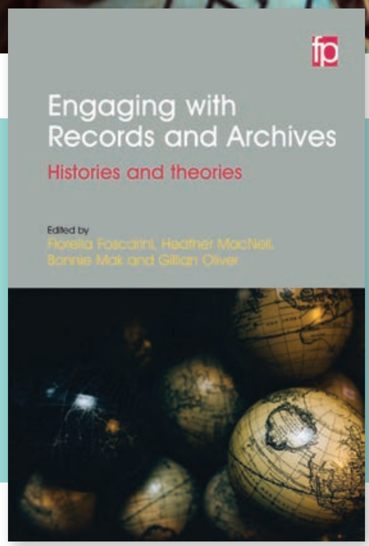
➲ He blogs to: infogoto.com/author/cgrimestad

BOOK REVIEW

Engaging with records and archives: histories and theories

Presenting a modern version of the archival world through a selection of essays, *Engaging with records and archives histories and theories* connects the past with the present, through the eyes of both emerging and internationally renowned scholars from the 7th International Conference on the History of Records and Archives (I-CHORA7).

Review by Marjorie Warry



THE EDITORS

- Fiorella Foscarini is an associate professor in the Faculty of Information at the University of Toronto. She taught previously at the University of Amsterdam and holds a PhD in archival studies from the University of British Columbia in Vancouver
- Heather MacNeil is a professor in the Faculty of Information at the University of Toronto where she teaches courses in the areas of archival theory and practice and the history of record keeping
- Gillian Oliver is an academic at the School of Information Management, Victoria University of Wellington, New Zealand. Her PhD is from Monash University, Melbourne
- Bonnie Mak is an associate professor at the University of Illinois, jointly appointed in the Graduate School of Library and Information Science and the Program in Medieval Studies. She has previously held the title of Visiting Fellow at the Coach House Institute at the University of Toronto.

Each of the essays in *Engaging with records and archives histories and theories* presents an entirely original view of records, archives, archival functions, involving different regions, communities, time periods and disciplines.

A profile of each of the authors has been included at the beginning of the book. There are 11 essays which take us from Poland, where contemporary grassroots archival activism begins (1989 – 1990), to 20th-century England where two outstanding Englishwomen brought forth the voice of archives into the community.

In the opening essay – Jeannette Bastian's 'Moving the margins to the middle: reconciling "the Archive" with the Archives …' – the archivist wants to treat the records she has stored as a whole record or a collection of archive data. Unless the records can be woven into the one archive, it (the archive) will lack real discipline, and meaning. To reach the proper perspective of the archive data, the latter must be kept as a whole selection in itself – and be viewed as such, becoming its own storage entity.

In 'Organisms, Skeletons and the Archivist as Paleontologist: Metaphors of Archival Order and Reconstruction in Context', Juan Ilerbaig explores the archive from the surface 'organismic' state, and traces it back through the processes, sedimentary, language, objectives and events that have occurred in its life-time that would have had an effect. The Dutch regarded the 'Naturalistic' state of the archive as the most important feature in its history.

In 'Records in context: a brief history of data modelling for archival description', Jonathan Furner looks into the history of data modelling for archival description. No one system is the right one… except that the most useful, cohesive and simplest of processes may be the ones that produce the right benefits. The nature of the archive will determine its future.

This unfolding of archival mysteries becomes clearer in the next chapter – 'Mapping archival silence: technology and the historical record' by Marlene Manoff. Technology is a very important component in this field of work, where new assumptions about what has been missing in the past can be made and tested, then matched up to known data to help make the archive more informed. Much of what was not known can be searched by computers – just look at the internet which is mobilised by huge mechanisms, and black boxes which can make equations and calculations the human brain cannot detect unless engineers are employed to solve the algorithms for what is going on beneath the surface.

The mysteries of the past come to mind in the final section of the first part of the book – 'Hidden voices in the archives: pioneering women archivists in early 20th-century England...' by Elizabeth Shepherd. This essay tells the stories of Joan Wake and Ethel Stokes, who devoted their lives

to building archives collections for their communities and social organisations in England. They became widely known and respected, building records rooms and holdings to accommodate the huge amount of data collected. Their work was a great source of influence and power in people's lives, building strength, character, insight, resilience and ideas for the future into the families and the community.

Part 2 of the book looks at the past to gain an understanding of what has changed leading to archives becoming what they are today.

'The use and reuse of documents by chancellors, archivists and government members in an early modern republican state…' by Stefano Gardini looks at the archives of Genoa in Italy from the 16th century, where the traditional rules and laws were set in place. Even though there were changes and revisions, the constant threads remained the same, thus keeping the kingdom stable and safe.

In 'The bumpy road to transparency: access and secrecy in 19th-century records in the Dutch East Indies', by Charles Jeurgens, a different process of administration and archival processes is outlined. The Dutch wanted to maintain control of their colonies by allowing only limited publication of their laws. (A Royal Decree was issued in 1854). But publication didn't seem to work, due to lack of equipment, professional staff and proper communication with the Home (Netherlands) government. Public servants could be dismissed for disclosing government information to any member of the public. It was looked upon as a crime. Therefore, it was a bumpy road for the Dutch government to transparency – access was granted by the early 1900s.

Public servants could be dismissed for disclosing government information to any member of the public. It was looked upon as a crime.

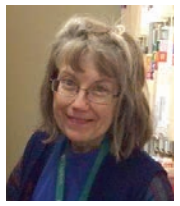
The next essay – 'Archival ethics and indigenous justice: conflict or coexistence?' by Melanie Delva and Melissa Adams – looks at colonialism in Canada, which faced similar administration problems to the Dutch and did not allow the people of the country a voice in the rule of the day, because the white population wanted to keep a foothold on the government of the country. The laws of the land that the Indian people had known and practised for years were not included in the colonial laws, which meant the native people were not given a say about land, language or law. It was an Anglican priest, John Antler, who sailed up the east coast of Columbia with his son in a yacht, who realised that the spirit of the land was not being cared for outside the stone walls of his church. So the Columbia Coast Mission (CCM) was set up to provide medical, dental and pastoral care to remote logging, mining and fishing and First Nation settlements.

The next essay – 'History and development of information and recordkeeping in Malawi' by Paul Lihoma – looks at the four epochs of record administration – pre-colonial, colonial, post-colonial one-party, and post-colonial democratic administration – in this African nation. Once the British left, atrocities returned, and the system became an instrument to hold repression tactics and cruel practices. Written manuals were lost, as were methods of communication through the tribes, from one king to another king.

'The history of community archiving in Poland' by Magdalena Wisniewska looks at the 'Community Archives' in Poland in 1989-90, following 200 years of repression and foreign rule, two World Wars, the Holocaust, and the Iron Curtain. Anything that was Polish had to be saved undercover, so it wasn't until 1989-90 that the records that had been saved surfaced. This was described as a huge wave of 'Memorialism' – war records, music, museum collections, exhibitions, and events – all Polish. Now in the modern era, the element of change has developed in the historical activity; the future is uncertain, but there is a will to conserve the past, and preserve the present.

The last essay – 'Reflecting on practice: artists' experiences in the archives' by Sian Vaughan – the question of the artist and where he fits in the modern day of archival records comes to light. The Art Gallery of Walsall in England was commissioned to rebuild its history. It had been a gallery in a poorer suburb of London, and held much material that expressed the feelings, thoughts and aspirations of the poorer and needier people. The gallery took a painting by Epstein (which was of his daughter) and commissioned the artists Bob and Roberta Smith to work with the archivist to present an exhibition of the life of Epstein. The exhibition re-constituted the Archives and, through an intelligent approach, the presentation made terrific public appeal. ❖

ABOUT THE AUTHOR



Marjorie Warry is an administration officer in the Human Resources Branch of the Queensland Department of Education and Training.

She can be contacted at marjorie.warry@dete.qld.gov.au

THE POWER OF A MENTOR

Having the right person as your mentor at certain times during your career can take you to new levels of success and help you to become more effective, influential and efficient than you could ever have imagined you would be.

By Kylie Welch

Throughout my career, I have had career mentors, personal mentors and mentors who inspire me to work towards the 'big picture' goals they know I have set. Having mentors encourages accountability and growth. Accountability in that your mentors should cause you to stretch your knowledge, capability and capacity to learn more than you initially thought you would. Growth in that, with someone on your side who knows your strengths, weaknesses and long-term goals, you will have someone to encourage you to achieve your goals successfully.

When I started out in the information and records management sector, I had a marvellous manager who was a project manager by trade. She was managing the project to implement a records management office in the organisation I was working for and I was the record manager. I learnt more under her management than I had in the previous 10 years. It was hard. She wasn't a manager who let me sit idly by. She had me writing policies, procedures, reports, audit documents, creating workshops, public speaking and training staff all within a year. Things I never dreamed I could ever do confidently. The important aspect of my relationship with this manager/mentor was that she believed I could do what she was asking me to do. She understood the value of learning and professional development and she knew that I would succeed and, where I didn't immediately succeed, she gave me the grace and space to keep trying until I did. That is a sign of a good mentor.

A GOOD MENTOR BELIEVES IN YOU AND YOUR VISION – THEY ARE ON YOUR SIDE

A good mentor will know your 'big picture' vision and will know you well enough to help you head towards that vision in your own unique way. They will know you well enough that they won't let you pretend to be someone you aren't and they will encourage you to use your natural gifts and talents to head towards that big picture goal. A good mentor will make sure you are being authentic. If you have a goal or idea that is somewhat too big for you or out of your natural capacity, they will be honest about it. They may give you advice on how to achieve the goal but they will be honest about how much of a stretch it will be. On the other hand, when your goals and visions line up with who you really are, with your many talents and gifts, you will thrive under their guidance.

THEY WILL ASK THE RIGHT QUESTIONS

Sometimes a mentor will ask you questions that make you think. This will often lead to a plan and your goals will naturally get closer from there. A mentor's questioning is going to be based around your goals and, by asking the hard questions, you will be digging deeper into the detail of your journey, which is where the good work happens. If your mentor asks you to investigate something, it will be beneficial for you to do it. That's where the learning happens. Questions like "How many people have you approached to help you get a new, better paying job?" or "How much time have you spent this week writing your new best seller?" A good mentor will ask these types of questions to help guide you to where you need to go next.

THEY WILL USE THEIR OWN NETWORK TO HELP YOU

A good mentor will sometimes pull in favours for you. They should have more experience in the field than you, which usually means that they know people who can help you reach your goals. If you have a goal to move to another country for work, the mentor may be able to call people she knows in that country to let them know you are available. If you want to be a best-selling international author, they may guide you to a good publisher, editor or printer. When this does happen remember to show your gratitude (maybe even a small gift or buying them lunch would be appropriate).

THERE ARE MANY TYPES OF MENTORS

Mentors help you learn something new, whether it be to branch out and strive for a promotion at work or achieve a personal goal; they have walked the path you want to walk and they have the teaching and coaching skills to help get you there with perseverance, dedication and patience. So it makes sense to have different types of mentors at different times in your life. When you choose a mentor, make sure they fit with the vision. You wouldn't ask a financial guru to help you get fit. You can have many different types of mentors at the same time (financial, fitness, career, personal life, vision).

OFFICIAL AND UNOFFICIAL MENTORS

Some mentors charge; most are usually adopted unofficially. I have unofficially adopted many mentors over the years and many of them aren't even aware that I admired something in them and modelled an aspect of my life to fit to that in my own unique way.

IN SUMMARY

Your mentor should have experience, and they should be authentic and encouraging. They should know you really well (at least in the specific area you are wanting help with). If they do help you by calling in a favour, remember to show your gratefulness and, when you achieve a significant milestone don't forget to celebrate your success with them.

Having a mentor or many different mentors at once really will help you reach your goals. Remember to be grateful for their input, listen to their guidance and advice and enjoy the journey with them. Some mentors will be around for a long time, some only once a month, but they will always help you reach your goals. Remember, you can be a mentor too. There are areas where you are more experienced and knowledgeable where you can mentor others. It's a win-win situation.

I am always happy to mentor on an official or unofficial level, and there are many others out there who can help you reach new heights in your career, personal life and health and fitness journey.

Let me know how you go and in the meantime, enjoy reaching your goals for 2017! ❖

… a mentor will ask you questions that make you think. This will often lead to a plan and your goals will get closer from there.

ABOUT THE AUTHOR

Kylie Welch is principal consultant of InfoTrain Limited. InfoTrain delivers RIM workshops and consulting, and offers resources to help with professional development.

For queries, email kylie@infotrain.co.nz or visit www.infotrain.co.nz

ARE WE READY?

Education and professional development for the Fourth Industrial Revolution

Today's enterprise education and professional development strategies continue to be focused on preparing employees for jobs that will not exist in the future. It is time to rethink our approach to education and professional development to meet the needs of the digital workforce of the future and to support the next industrial revolution, which the World Economic Forum has labeled the 'Fourth Industrial Revolution'.

By Linda Shave

Currently, we live in a role-based society where most employers, recruiters and human resource managers – when defining and designing job role instruments, education and professional development strategies – typically believe that employees are only adept to fit one role.

For example, an information and records management professional cannot become a data scientist; a data scientist cannot become a cyber-security specialist and so on. This myopic view is a major concern in a dynamically changing world where artificial intelligence, robotics and sensor-driven technology are driving the next industrial revolution.

However, the Internet of Everything (IoE) is challenging traditional education and professional development paradigms.

CURRENT AND EVOLVING DIGITAL DRIVERS

The IoE builds upon the era of networked connection of people, process, data and things. IoE is where objects will be connected with other objects and the use of intelligent process automation. IoE will see artificial intelligence, machine learning, robot virtual workforces and drones become common place. IoE will fundamentally drive change in how organisations operate, the future of work and the skills needed for the new digital workforce.

Professional institutes, employers, recruiters and human resource managers need to start creating new educational and professional development approaches to meet the digital talent needed to support the next industrial revolution – termed the 'Fourth Industrial Revolution'.

THE FOURTH INDUSTRIAL REVOLUTION AND THE WEB EVOLUTION TO THE IoE

The Fourth Industrial Revolution will change today's workplace and workforce as dramatically as the second industrial revolution changed the factory floor. The point of difference might be the speed in which the Fourth Industrial Revolution will evolve; further, that the Fourth Industrial Revolution is fueled by a connected omnipresent-web that delivers a constant flow of data to feed a people-oriented digital economy. Diagram 1 provides an industrial revolution time line.

It is interesting to note that 30 years into the Third Industrial Revolution we saw the start of Web 1.0 and the birth of the electronic Government 1.0 in 1996 (see Diagram 2). It took some 45 years to move from the Third Industrial Revolution to the Fourth Industrial Revolution and only 18 years to move from Web 1.0 to Web 3.0 semantic web – the internet of things (IoT) in 2014.

However, three years later in 2017 we are already experiencing the digital transformation to Web 4.0 – the internet of everything (IoE), connected intelligence, omnipresent and the birth of digital Government 4.0 and a new digital workforce (See Diagram 2).

Perhaps one needs to consider whether the industrial revolution and web evolution will continue to advance with shorter time frames between each evolution and, if so, how do we respond?

Diagram 1: Time Line – Industrial Revolution

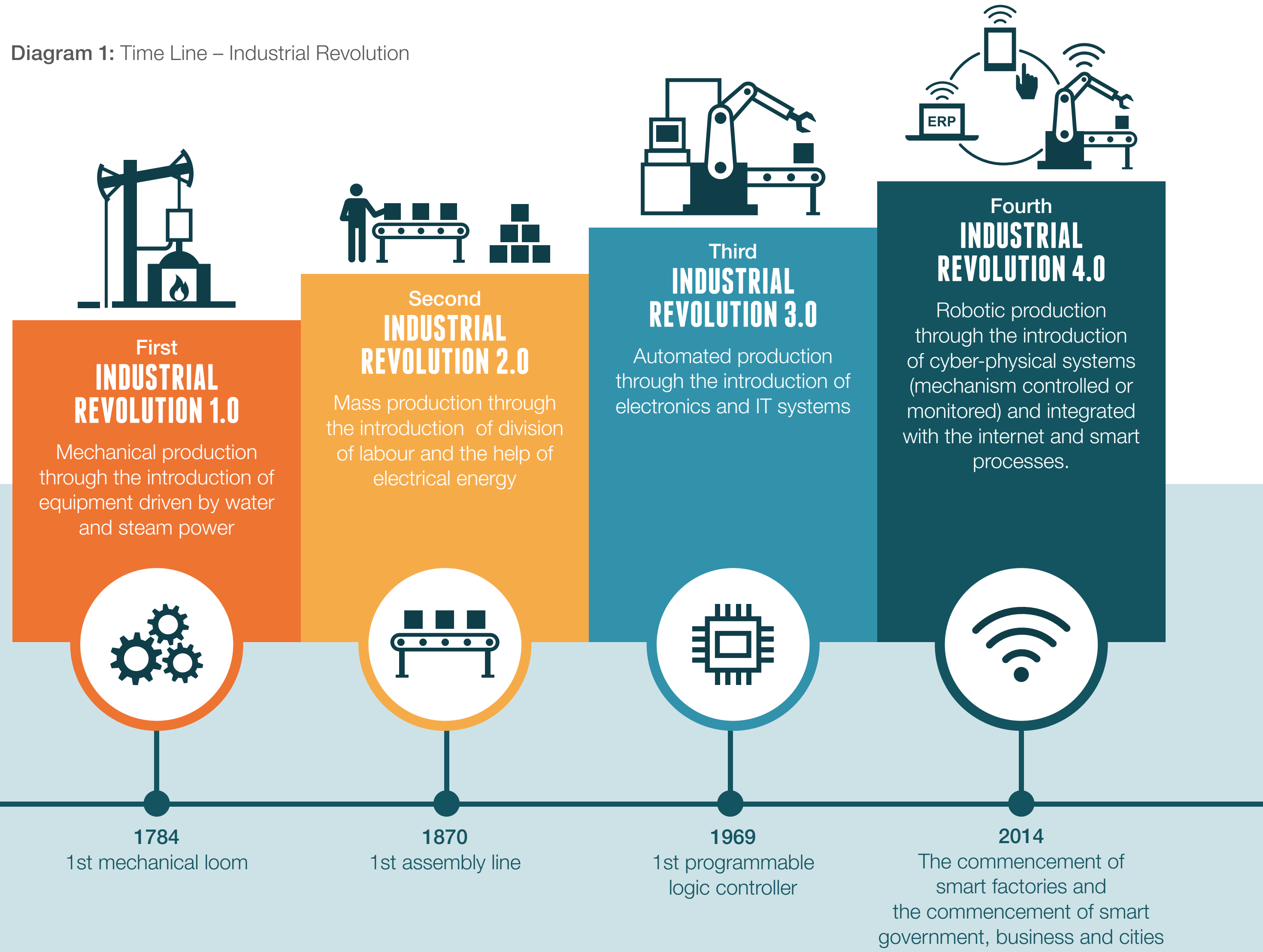


Diagram 2: Time Line – Web Evolution

Government 1.0 (eGov 1.0) WEB 1.0	Government 2.0 (eGov 2.0) WEB 2.0	Government 3.0 (eGov 3.0) WEB 3.0	Government 4.0 (digital Gov 4.0) WEB 4.0
Government-Oriented	Community-Oriented	Personal-Oriented	People-Oriented
Connecting Information	Connecting People	Connecting Knowledge	Connecting Intelligence
One-way Communication	Two-way Communication	One-way Personalised	Machine to Machine
Personal Visit	Internet	Internet of Things	Internet of Everything
Web/Email	Social Web	Semantic Web	Intelligent Omnipresent-Web
1996-2006	2006-2013	2013-2016	2016-?

Transitioning

SKILLS FOR THE DIGITAL ECONOMY

With the onslaught of the Fourth Industrial Revolution and Web 4.0 – IoE, digital skills requirements may vary from one organisation to another based on their digital maturity and digital transformational capability. Depending on these factors, the digital workforce may require a fusion of technology, business, adaptability, critical thinking, problem solving, communication, entrepreneurialism, innovation, interpersonal and leadership skills.

Providing a digital workforce with these digital transformation skills will require understanding future educational and professional development needs and packaging these components into three general categories: 'working', 'thinking' and 'tools'. Table 1 provides a sample breakdown for each of these three categories.

Table 1: Sample skills for the digital workforce

Working	• Business savvy • Agile – Adaptable • Entrepreneurialism/ Intrapreneurialism • Leadership • Communication • Interpersonal, collaboration, teamwork • Lifelong learning, personal management and well-being
Thinking	• Creativity and innovation • Critical thinking, problem solving and decision making
Tools	• Technology • Information literacy • Digital and technology literacy • Analytics

Another factor for consideration is that the digital economy may require workforce mobility. For example, in order to move displaced workers into new digital roles within the digital workplace mobility barriers need to be overcome. Such barriers include a lack of recognition of current work experience, education, certifications and discrimination (covert and overt) all of which need to be addressed. Moreover, there is a need to realign competencies to meet new and evolving digital skills for the future. Some displaced and transitioning workers may have transferrable technical, business or soft skills that could be utilised in these new digital roles, yet they are rarely recognised if at all.

DIGITAL LEADERSHIP

The digital transformation will be challenging and will require strong digital leadership to navigate and drive the evolution of these new digital jobs. Digital leaders may need to take on an entrepreneurial mind-set to successfully drive these changes and manage to persuade, encourage, support and enthuse the embryonic digital workforce through this period of upheaval. Table 2 provides a sample of some digital leadership skills.

Table 2: Sample digital leadership skills

Digital leadership Digital transformation	• Redefine workforce roles for the new digital workforce • Identify the digital skill gap within the workforce • Produce a digital skills catalogue • Redesign organisational structures • Redesign, develop and communicate new educational and professional development models and packages • Reconsider traditional diversity thinking in the era of intelligent automation and a growing robotic virtual workforce • Enable cross-functional collaboration
Digital leadership Digital skills advocacy	Embracing and promoting the three general categories: working, thinking and tools. See Table 1: Skills for the digital workforce.
Digital leadership Entrepreneurial/ intrapreneurial	• Persuade, encourage, support and enthuse teams • Become the instrument of change • Manage, organise and solve current problems and relevant issues • Take a concept and convert it into a reality • Become the champion of the new digital project, policy, process, product or solutions • Share and collaborate • Learn from mistakes

The digital transformation will ... require strong digital leadership to navigate and drive the evolution of these new digital jobs.

DIGITAL DILEMMAS

Without new agile educational and professional development approaches, it will be difficult to recognise and map transferrable skills to the competencies required for digital transformation and the new emerging digital workforce. One might need to consider the following questions:

- Are employers, recruiters and human resource managers, professional industries, academia and educational institutions prepared and ready for the onslaught of the Fourth Industrial Revolution and Web 4.0 – IoE?
- Will current recruitment and human resource methodologies be agile to support the business, the new evolving digital workforce and the needs for workforce mobility?
- Will current employment, professional development, education, academia, teaching methodologies and curriculum lifecycle development be agile to change and meet the needs of the digital workforce for the new jobs or will educational courses continue to focus on jobs that will not exist in the future?
- Will current practices such as policies, procedures, standards and best practices support the Fourth Industrial Revolution and Web 4.0 – IoE?

These are interesting questions and warrant being raised for further round-table discussions. These and other pertinent questions should be considered now, so that we can benefit from the opportunities that Web 4.0 – IoE and the Fourth Industrial Revolution have to offer. ❖

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.
She can be contacted at linda.shave@bigpond.com

RECORDS MANAGEMENT

Good records management programs – saving your agency's records

One of the great security risks for agencies and organisations is the ineffective management of records. The best advice is to invest in a good records management program to minimise risk.

By Beatrice Siu

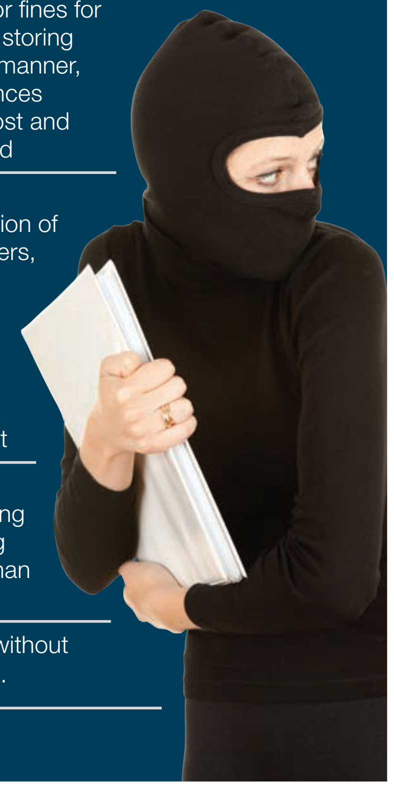
Throughout my contracts and working for clients in various agencies, I see high level documentation like policy for records management, but I don't see many ongoing records management processes being practised. Sure, staff are saving and storing their records within a computer's hard-drive, an EDRMS or other system, or physical filing, but then what happens? Do the staff appreciate why information is being kept, who will want it in the future and why? Do records simply accumulate, only being dealt with once storage begins to run out OR after an audit, at which point the organisation is pulled up for not complying with current record standards and practices?

Here lies the security risk for agencies and organisations: the ineffective management of records. It's a topic that we all consider is important and agree it is a high priority in any given company, agency, or organisation.

SECURITY RISKS CAUSED BY POORLY MANAGED RECORDS

The greatest security risks that come with poorly managed records include:

- legal liabilities arising from an inability to produce required records
- financial costs and/or fines for losing or improperly storing records in a secure manner, including circumstances where records are lost and need to be recovered
- leaks of sensitive or confidential information of any person, customers, or the organisation itself
- damage to the organisation's reputation and the resultant loss of trust
- vulnerability to organisations retaining potentially damaging information longer than required
- destroying records without proper authorisation.



The list in the box (above) provides some idea of the implications and consequences of poor records management. Having a high-level records management policy is not enough to address an agency's secure records management needs. There are inadequate record programs where staff are not regularly putting record management practices to work. So what next? How do we deal with this?

Generally, the best advice to begin with is to invest in a good records management program. What is a records management program? Think of it loosely as insurance for your records – and this applies to all forms of records regardless of their format, whether physical, electronic, photographic or otherwise. It is basically an operational plan and process for people to follow in their daily, weekly, and even monthly work process during creation, storing, securing and disposal of records. A good records management program maps out not only where you should be saving your files but also how you should be looking after them for future purposes. This means implementing a program that addresses the issue of minimising security risks concerning:

- the loss of records
- protecting sensitive and confidential records on individuals and/or the agency
- sharing information
- ensuring business and knowledge continuity
- compliance and legal accountability.

The second thing is to provide staff training. There is importance in educating people on safe and secure practices because it makes staff realise how their work and records can be compromised when mishandled. It becomes a stark reality when a staff member becomes personally liable for not being able to retrieve or provide details of the records themselves. Also, we don't want a records program to be ineffective – just another policy document that doesn't get put into practice. Through training, we can help staff to understand why there is a need for good record practices – and it starts by getting people to cultivate good record-keeping habits.

If you want to save your organisation time and money and, most importantly, gain better security for your records, start thinking about:

- setting up a good records management program
- working on top management to provide training support
- getting the right expert advice.

A good records management program should be implemented immediately with proper training sessions. Before the worst fears become a reality, lay down a solid foundation so you can reap the benefits sooner rather than later. Secure your organisation's work and legacy before it is damaged or, worse still, lost entirely. ❖

ABOUT THE AUTHOR

Beatrice Siu is Squadron Leader (2-i-c) of the Flying Filing Squad, Wellington, New Zealand – Private and Public Sector consultancy for Records Management.

She can be contacted at bea@filing.co.nz

Creating buy-in

Around the world, 60 to 70% of change projects fail because they fail to engage people in the process. Change leadership is about inspiring people and creating buy-in through genuine collaboration.

By **Bram Lagrou**

People often tell us how hard it can be to influence key stakeholders in the business. They want to make changes for the better, but struggle to secure the necessary buy-in from other departments or select individuals.

In step one (below), you will learn a behavioural model that will enable you to have more meaningful and engaging conversations with stakeholders, so that you can deepen trust and obtain support through genuine collaboration.

As soon as people align behind the same cause, everyone is automatically driven to achieve the desired outcome. Often though, people communicate in ways that make sense to them personally – but disenfranchise the other parties involved!

Knowing this: learn to convey your message in ways that others can relate to. Read people effectively, and it is so much easier to influence, persuade and win.

STEP 1: RELATING TO PEOPLE EFFECTIVELY

For every possible stakeholder, ask yourself:
"Is this person people or task oriented (first and foremost)?"
"Is this person slow or fast paced (detail oriented or big picture like)?"

The answers crystallise in four quadrants:

1 Task + Fast = D

2 People + Fast = I

3 People + Slow = S

4 Task + Slow = C

Each communication style wants to be related to differently, in a very specific way. Most of us treat others by default in our own operating style. As long as people treat others the way they personally want to be treated, they disenfranchise the others up to 75% of the time. Is it then 'strange' that they either do not get along or fail to secure the support of key stakeholders?

The opposite is true as well: as soon as people communicate in ways that others relate to, it is so much easier to deepen trust, rapport and collaboration. In essence, it is a matter of 'language'. And to be absolutely clear: there are many sublanguages within the English language!

If you speak them all, good for you! You will be influential! If you speak one or two, you will only be partially effective until you learn proven ways to relate to communication styles that are different to you.

By tuning in more with people, by becoming a good 'judge of people' and leveraging the psychology of creating buy-in, you get ahead as an influencer and bring people with you on the journey.

STEP 2: INSPIRING CHANGE

Most probably you had people trying to change you. How did it make you feel?

This is a great starting point, because we often 'forget' how it feels and then expect others to be okay with us trying to change them.

Psychologically speaking, if the change expectation comes from the outside, we cannot expect people to be driven on the inside to make it happen. Which is why great leaders and influencers have only one way to drive change successfully: by inspiring people to lead the change.

If you want to bring people closer to you, as opposed to disengaging them along the way, there are a few points to weave into your approach (see over page):

Great leaders ... have only one way to drive change successfully: by inspiring people to lead the change.

1 Start on equal footage. No one is better than the other. Experience or age do not equate to superiority. Get over yourself! Ensure to talk as equals and welcome their comments wholeheartedly.

2 Free yourself from holding grudges, judgement and negative sentiment from the past (if any). Clear your emotional household, because this often gets in the way. Heal the past.

3 It is about positive intent. Honestly want the best for them. It means that you may need to alter your expectations. Sincerity will be heartfelt. Trying to trick people will backfire (as I am sure you have experienced before).

4 Be willing to collaborate. A shared outcome from a change leadership perspective is better than a solution solely produced by you. Be guided by the motto "whatever people co-create, is what they support".

5 See yourself as a resource to them. Someone who acts as a facilitator or coach, instead of acting like a decision maker. Be a go-giver instead of a go-getter, without expecting anything in return.

6 See 'them' as a gift to you. Often people press our hot buttons and we judge them for it. The sooner you start embracing 'challenging people' as resources to help you become the best version of you, the sooner you get ahead in life and business.

7 Last but not least: accept people for who they are; not who you would like them to be. Find ways to tune in with their heart's desires, call them out during conversations, bring them to the surface. We all have them, but we often push them away in an attempt to live someone else's values. We comply until we finally break free and speak our own truth. If you happen to be the one who helped people assume their life's purpose and live fully, you have made your impact. Change leadership is about inspiring people to do what they always wanted to do, be what they always wanted to be, by reconnecting them with their purpose – not yours. The purpose needs to speak to them. As soon as people see the WHY, the HOW appears and triggers massive outcomes.

In terms of time management: where are you spending most of your time as a leader and influencer: working on the how, or working on the why?

Read more on this topic in Bram Lagrou's book *Selling is out. Create buy-in.*

Bram Lagrou is a speaker at this year's inForum in Brisbane in September (see page 45). ❖

ABOUT THE AUTHOR

Bram Lagrou is a Belgian born psychologist and the founder of Lagrou Partners. Prior to his move to Australia in 2010, Bram was a business leader and international trainer at Watkins Manufacturing Corporation, a Fortune 500 Company. His experience spans across 25 countries where he has mentored numerous teams to increase revenue and profit margins while making a positive difference.

Personal development plays a dominant role in Bram's life. He has been personally trained by global leaders such as Brian Tracy and Brendon Burchard. In 2013 and 2014, Rob Chapman, former CEO of St George Bank, acted as a coach to Bram to keep him truthful to his purpose. Currently, Bram collaborates with international best-selling author Dr John Demartini. Over the years, Bram obtained several sales achievement and innovation awards. Clients often attribute his motivational abilities, deep psychological insights and creative approach as reasons for their success.

He can be contacted at bram@lagroupartners.com

THE DIGITAL CHAMPION:

Connecting the dots between people, work and technology

A digital champion is a catalyst for technology-driven business improvements that encourage more efficient, timely and accurate management of information – a role that records and information management professionals are uniquely positioned to fill.

By Simon Waller

I'm not sure if you've noticed, but across organisations of all sizes, people are becoming increasingly frustrated with the seemingly endless number of information searching, gathering, reading, synthesising, compiling and sharing activities they are asked to complete. Pure hearsay, I hear you shout from your information management chair. Maybe, but I hear it time and time again from my clients: the endless stream of information is overwhelming, even crippling.

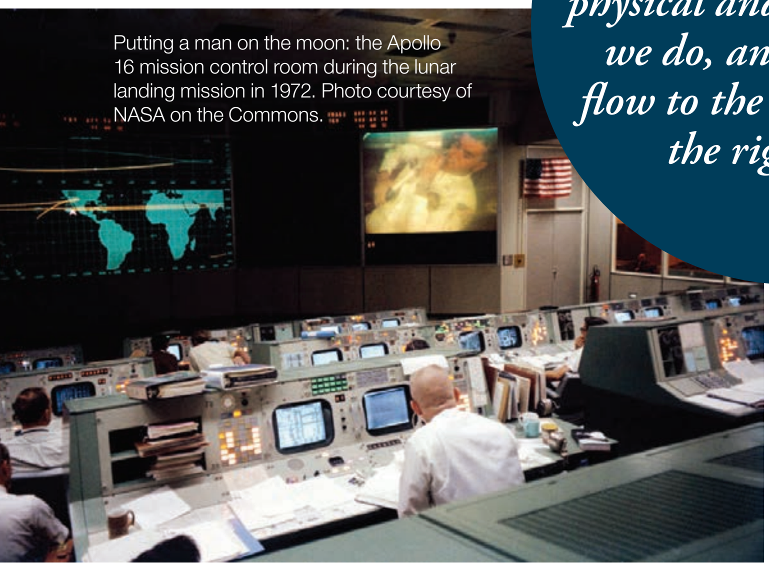
INFORMATION – AN ORGANISATION'S LIFEBLOOD

Information underpins all of the physical and mental work we do, and it needs to flow to the right place at the right time. But the way people go about accessing information is frequently inefficient, ineffective and downright wasteful. People are spending more and more time on low value and often unenjoyable activities when there is more important work to do. And at the risk of preaching to the converted, many of these low value activities can be done cheaper, faster and better using modern technology tools.

So why aren't they?

TECHNOLOGY: A LOOK BACK IN TIME

To understand why so many people are currently struggling with technology, we need to go back in time. This story starts in the 1960s and the mainframe era of technology, not long after



Putting a man on the moon: the Apollo 16 mission control room during the lunar landing mission in 1972. Photo courtesy of NASA on the Commons.

IBM president Thomas Watson was famously misquoted as saying, "The global demand for computers is no more than five". We laugh about this now but we need to remember that during this era the computers were significantly larger than they are now (the size of a small car), were incredibly difficult to use – in fact, you had to be a specialist computer scientist to operate one – and they were also inconceivably expensive ($15 million wouldn't get you the same computing power as you get in a USB stick). This excluded their use from all but the largest and most valuable 'moon-sized' projects. Quite literally, if you weren't putting a man on the moon, you probably didn't need a computer.

Fast forward 20 years and we had made a bit of progress. Computers had shrunk to a more manageable 'PC-size' and also reduced significantly in cost.

We started to identify other valuable opportunities in the gaps between the billion-dollar moon-sized projects. These smaller PC-sized projects included accounting software, spreadsheets, word processing and eventually email. These projects were worth millions instead of billions, but there were many more of them.

> *Information underpins all of the physical and mental work we do, and it needs to flow to the right place at the right time.*

TECHNOLOGY AS A COMMODITY

Then something weird happened. Somewhere around the turn of the millennium it seemed that many organisations shifted their focus from identifying new technology opportunities to reducing costs. We started treating technology as a commodity, squeezing resources internally and outsourcing where possible. As we well know, technology has continued to improve at an exponential rate, ushering in a new era of cloud, social and mobile tools. With it have come thousands of new opportunities that have emerged in the gaps between the PC-sized projects.

Once again, the value of these projects might be smaller, worth hundreds of thousands rather than millions, but many organisations had lost the resources required to proactively identify and implement these new opportunities.

On top of that, the centralised IT function that was a prerequisite in the PC era, when technology was slow, unreliable, expensive and difficult to use, is now completely overwhelmed. Often located in the basement (no really), with no direct connection to the everyday needs of the business, the centralised IT team is often unable to keep up with the vast number of valuable technology opportunities that their organisation could (and often should) pursue. What is more, the usability of modern technology and the digital savvy of users means that in many cases the high-level technology experts we find in our IT departments may not even be required for solutions to be implemented. Yet without IT 'permission', users can't pursue these options.

THE NEW ROLE OF THE 'DIGITAL CHAMPION'

If organisations are going to have any hope of maintaining relevance in a technology-rich world, we need to diffuse responsibility for undertaking these smaller, technology projects. Of course, we can't just open the floodgates and let people choose any app/platform/solution that suits them. In this space between the control of the PC era and the ad hoc of people going it alone is where we need to establish the new role of the 'digital champion', a role that records and information management professionals are uniquely positioned to fill.

For me, a digital champion is a catalyst for technology-driven business improvements that encourage more efficient, timely and accurate management of information. The digital champions are the people in your organisation who get the business first and the technology second. They help others who may otherwise be unaware, unwilling or unable to improve their productivity and effectiveness by identifying the right opportunities and helping them implement simple technology solutions.

CHOOSE THE RABBIT-SIZED PROJECTS FIRST

Much of this speaks to the heart of what it means to be an information management professional, with perhaps the most significant shift in thinking being the size of projects we choose to work on. When organisations are under-resourced they tend to focus on the highest value projects first. This seems logical, except these 'rhino-sized' projects often require more work, have higher costs and come with greater complexity and risk. The digital champion's approach on the other hand is that we should actually work on the smaller 'rabbit-sized' projects first. Small projects can be completed faster and cheaper and can be easily dropped if things don't work out.

That being said, digital champions still need to operate within a structure that enables repeated success. This involves ensuring their energy and effort is targeted on the right opportunities and that the opportunities are undertaken in the right order. In addition, there needs to be rigour in how technology solutions are assessed and delivered. Finally, digital champions need to be appropriately supported and resourced to undertake the work they are doing.

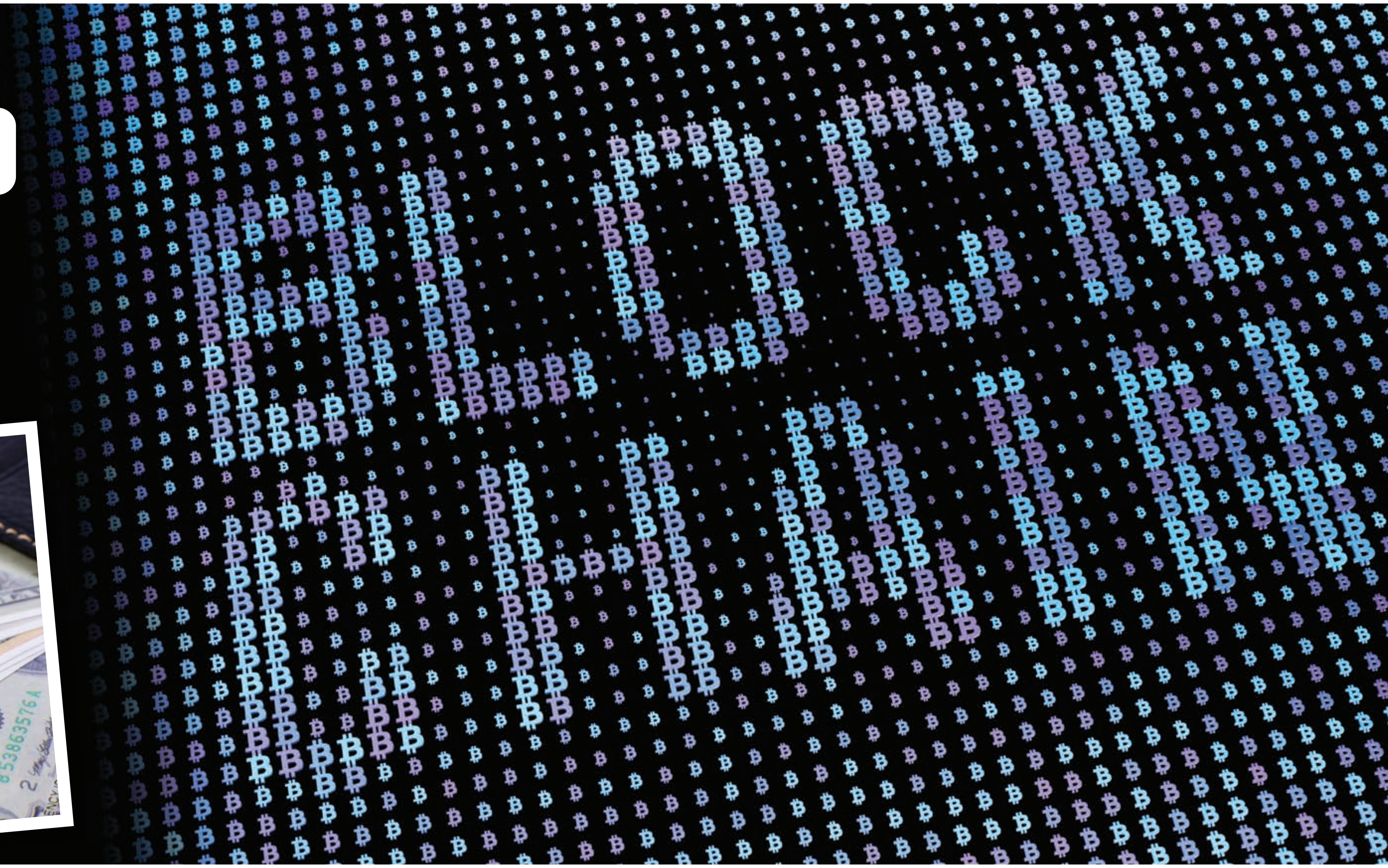
Of course, doing the little projects doesn't excuse us from doing the larger ones. We will still need to update our ERP system and implement new CRMs, but at the same time we need to understand that these rhino-sized projects are more likely to further overwhelm people in our organisations rather than engage them. People generally hate large, irregular change but will happily accept small changes made often. If we want to genuinely help our people to get the most out of their information, we are also going to have to help them get the most out of their technology. And the best way to do this is by delivering one small, valuable project at a time.

Simon Waller is a speaker at this year's inForum in Brisbane in September (see page 45). ❖

ABOUT THE AUTHOR

Simon is the author of two books, *The Digital Champion: Connecting the dots between people, work and technology* and *Analogosaurus: How to avoid extinction in a world of digital business.* He developed his expertise working in business improvement and strategy development at Rio Tinto. In addition, he holds qualifications in futures thinking, commerce and leadership.

✉ He can be contacted at hello@simonwaller.com.au.



WHAT IS BLOCKCHAIN AND WHY SHOULD RECORDS MANAGERS CARE?

Widely known as the technology underpinning the digital currency bitcoin, blockchain has acquired a new identity in the enterprise. Today, more than 40 top financial institutions and a growing number of companies across industries are experimenting with distributed ledger technology.

You may have heard of bitcoin, a digital currency that is shaking up the financial world by making it possible for parties in a transaction to exchange money without the need for intermediaries like banks or credit card processors.

However, it's less likely you've heard of blockchain, the technology that underlies bitcoin. Blockchain is an important technology for records management professionals to understand because it has broad implications for securing and authenticating intellectual property at lower cost and higher efficiency. Here's what you need to know.

There are many ways to verify the authenticity of paper documents, including watermarks, signatures and embossed seals. But digital assets present a problem. Documents in digital form can be modified and copied with no one being the wiser. That makes them difficult to trust. There are many products and services that provide secure and verified document management, but they can be expensive and often require the involvement of a third party.

Blockchain is a digital mechanism that enables people who don't know each other to engage in trusted transactions with full confidence in the integrity of the assets being exchanged.

It does this by embedding authentication into the document itself and using a closed loop tracking system to protect against tampering or modification. If you've ever used a synchronized file-sharing system like DropBox or Microsoft OneDrive, you know basically how the process works. Those services enable people to share files and retail local copies by synchronizing the files between everyone who shares them. If one person changes a document, the new version is automatically copied to everyone else's local folder.

Blockchain works the same way, but it adds a layer of code called a block to the process. A block is just a sequence of unique letters and numbers protected by a highly secure form of encryption called public key. The use of public key encryption is important because it enables the owner of the information to control it without giving up personal information like names or Social Security numbers.

Every party in a blockchain network gets a 'golden copy' of the document containing the embedded block. If the document changes, a new block is added and the revised file is synchronised throughout the network, a process that usually takes just seconds. As more changes are made, new blocks are added, forming a chain. That blockchain is both an audit trail and a version tracking system. Each block represents an earlier version of the document, enabling anyone to backtrack to see what was changed.

Blockchain also uses a distributed record-keeping system called a ledger that keeps track of changes to assets within the chain. Unlike a bank or financial accounting system, the ledger isn't centralised, but is distributed to all the computers in the chain. As long as all documents have the same blockchain signature, everything is fine. However, if a version of a document is introduced that doesn't match the blockchain signatures of the others (which are tracked in the ledger), it's rejected. This ensures against fraud or manipulation.

ADVANTAGES OF BLOCKCHAIN

Blockchain has several unique advantages. One is anonymity. Parties who come to a blockchain can engage in trusted exchanges without revealing their identities, which cuts down on time. Another is blockchain's distributed structure. Any two or more people can create a blockchain without going through the process of registering with a central authority. They can even create private blockchains that have different custom security definitions that limit what participants in the chain can do. In all cases, the parties to the blockchain decide what the rules are.

It's important to note that blockchain doesn't apply just to documents. It can be used with any kind of digital asset, such as images, video files and email backups. Blockchain is becoming particularly popular in intellectual property businesses. For example, professional photographers can use it to manage licensing rights to their creations and even to enable royalty payments.

WHY IT MATTERS

Here are some reasons records management professionals should become familiar with blockchain:

Cost savings – This is the most obvious benefit. Because blockchain transactions don't require intermediaries, processes can be made more efficient and less expensive. There's no need for auditors or legal professionals to validate the authenticity of information, so those costs come out of the process.

Efficiency – Fewer people means faster turnaround. Transactions that might take days waiting for multiple sign-offs can be concluded in seconds.

Security – The fewer participants there are in a transaction, the less risk there is that something could go wrong. Handoff points are a prime vulnerability, and blockchain effectively eliminates them.

Flexibility – Any digital asset can use blockchain, including difficult-to-protect items like multimedia and email records.

Competitive advantage – Companies in the intellectual property space – such as law firms and stock photo agencies – can consider using blockchain to offer new services that benefit both buyers and content creators.

Blockchain is likely to get a boost from the recent move by a group of more than 70 of the world's largest financial institutions to make their co-developed blockchain platform freely available under an open source license. The banks hope the move will unleash a gusher of innovation around new products and services based upon this technology. ❖

This article originally appeared at ironmountain.com/Knowledge-Center/Reference-Library/View-by-Document-Type/General-Articles/W/What-is-blockchain-and-why-should-records-management-professionals-care.aspx

There will be a session on blockchain at this year's inForum in Brisbane this September, with speaker Frances Flintoff: 'Blockchain, records management and Dark Net 101 – the who, the what and why does it matter?'

SECURITY

The ripple effect of identity theft

As data breaches increase and account takeover schemes gain prominence, fraud detection and prevention efforts need to focus on behaviour. Behavioural analytics provide the intelligence needed to stop fraud before it starts.

By Ryan Wilk

A recent report found that it took just 12 days for the account information of 1,500 'employees' to travel from California to 22 countries and five continents.

As a society, we hear about data breaches all the time, but we rarely hear about what happens to the stolen data afterwards. We may not think much of losing one username and password combo or having to cancel a credit card, but each piece of data doesn't just disappear. It gets collected and combined into the tool of choice for today's fraudsters – one that's so difficult to overcome that we've had to rebuild how we do internet security.

DATA PRIVACY IS DEAD

Since 2005, more than 675 million data records have been involved in data breaches in the US alone, according to the Identity Theft Resource Center. These records include incredibly personal data such as a person's social security number, name, address, phone number, credit card number, name of local bank branch and so on. Data thieves sell this information to aggregators, who cross-reference and compile full identities – called 'fullz' on the data black market. This increases the value and usefulness of the stolen data, which may have been gathered from multiple data breaches.

With this level of information, fraudsters can create new bank accounts or take out loans under an actual person's name. These actions cannot be traced back to the fraudster and can cause all kinds of problems for the fraud victim for many years down the road.

In a recent *New York Times* article, a reporter details how a recent healthcare data breach exposed his child to identity theft that could hinder her for the rest of her life, because her social security number was stolen.

BAD NEWS TRAVELS FAST

A recent report found that it took just 12 days for the account information of 1,500 'employees' to travel from California to 22 countries and five continents. In that time, it was viewed over 200 times and clicked on over 1,100 times. Fortunately, in this case, these accounts were fake, set up for fake employees, and then intentionally 'breached' in order to determine the speed at which compromised data travels. This is especially disturbing when you consider it takes an average of 200 days for most corporations to detect a breach has taken place.

The experiment didn't just show how quickly stolen information gets circulated. It determined that the false information was being tested for validity too. Had the fake data actually been real accounts, fraud attempts would already be underway.

It's the ripple effect. Small data breaches look on the surface to be minor losses of data, but they expand out across the digital waters faster than ever before, converging into a wave of personal information so detailed that undoing the damage is next to impossible.

THE RISE OF ACCOUNT TAKEOVER (ATO)

What can you do with all of that stolen information? Depends on how much of it is amassed. There is a hierarchy of value on the dark web for stolen data. Stolen credit cards can cost mere cents and are labour-intensive and low return for fraudsters. It takes many attempts for a fraud scheme to work as cards are tested and cycled through. With so many data breaches last year, credit card numbers flooded the black market, lowering their value.

Fullz sell for $5 apiece, but require a more in-depth and risky scam to be fully utilised. Working user accounts with a payment method attached, an easy-grab scam with lucrative results, go for a mere $27 each and can translate into hundreds to thousands of dollars in stolen money and merchandise.

As a result, account takeover is growing quickly in the fraud world. NuData Security monitors more than 18 billion user interactions across the internet annually, and we are seeing 112% year-over-year increases in account takeover attacks.

In account takeovers, fraudsters attempt to hijack valid user accounts instead of creating new accounts with stolen credit cards. ATOs can be automated, including scripted attacks, or can be done with small teams of human operators posing as account holders. Helping out the scammers are middlemen who play a key role in testing the login credentials before they are used again to commit actual fraud.

We are seeing, based on our behavioural analysis, that there are on average, three high-risk logins for every high-risk checkout. The first login is to verify if the account works. The second time is to gain intelligence and third time is when the fraudster attempts to commit actual fraud. The transaction is no longer the point of focus for fraud – it is the login. This shift creates an imperative to look at the login and account creation – rather than the transaction – in order to stop fraud before it happens.

In a sea of available data, account takeover pirates have their pick of digital credentials. Organisations must not only secure their own data, but also be ever vigilant against people using stolen data on their websites as well.

By protecting the login pages of your sites, you cut fraudsters off at the source. You stop them from being able to take control of the account in the first place.

THE GENIUS OF BEHAVIOURAL ANALYTICS

How can you protect login pages from data thieves? This is where behavioural analytics shines. Let's take a look at what user behavioural analytics means. Most merchants look for a username and password match. Some use device ID or check for password resets. But the newer, more sophisticated criminals are skilled at bypassing these mechanisms.

And as we've seen, full packages of user information – full identities – are prevalent and cheap. If you are not confident that you can separate account testers and fraudsters from legitimate users, then the real question you need to ask yourself is, "Do I understand my user in enough detail?"

Rather than a simple checklist, behavioural analytics focuses on observed characteristics of who the user is, not just who they tell you they are. User behaviour analytics are aimed at observing and understanding how the user behaves, in an effort to answer bigger questions, such as the following:

How did the user behave previously when they logged in? Are they behaving the same now?

When the user is inputting data, is it similar to how they've interacted on the same device before, or is it completely different?

Is their behaviour repeated? Repeated behaviour can tell us a lot. If the behaviour is the same every time they visit, perhaps we can say it's a good user, acting the same as always. But if it's the same behaviour that 1,000 users are all repeating, it could indicate that this behaviour is part of a crime ring that could be a distributed, low velocity attack – the kind of attack that exposes you to massive amounts of loss.

Observing user behaviour in detail enables the best chance of beating fraud.

A recent research note from Gartner indicates that perimeter-focused security isn't keeping malicious actors out when it comes to enterprise security controls.

A NEW ERA IN FRAUD DETECTION

A recent research note from Gartner indicates that perimeter-focused security isn't keeping malicious actors out when it comes to enterprise security controls.

Merchants are beginning to realise they can no longer rely on basic data validation measures anymore, because when it comes to account takeover, all of the data may be compromised and will be correct regardless of who logs in – legitimate user or imposter.

Instead, the key is to look at the behaviour at login and connect it to checkout. Behavioural analytics digs under the surface of matching usernames and passwords to truly understand user behaviour. These behaviour patterns reveal details that fraudsters can't hide despite their best efforts. As account takeover schemes gain prominence, fraud detection and prevention efforts need to be focused on behaviour. Behavioural analytics provide the intelligence needed to stop fraud before it starts. ❖

This article first appeared in the IRMS Bulletin*, in November 2016.*

ABOUT THE AUTHOR

Ryan Wilk is Director – Customer Success at NuData Security.

He can be contacted at nudatasecurity.com

How to relocate your records successfully

With careful planning and good communication across the organisation, your records move can be both successful and a catalyst for positive change.

By **Molly Ap-Thomas**

I have been involved in relocating a large volume of physical records between work sites on multiple occasions in the last five years.

For one organisation I relocated approximately 300 shelf metres of active files, located in multiple compactus and tambour units as part of an office relocation. At a later date, I was given responsibility for dealing with an abandoned damp shipping container. The container was slowly decomposing in the back corner of a bus depot, filed with mould-affected delights.

In my current role, we are presently preparing to relocate floors within the same building. We have minimal paper records, probably less than 30 linear shelf metres of hard copy records which are distributed across business units. This relocation coincides with a change towards activity-based working.

My experience with these relocations has taught me a number of lessons which may come in handy to others in a similar situation.

START PLANNING AS SOON AS YOU CAN

- Consider developing a communication strategy for the records move. If you have limited resources from a records team (like most of us) you will possibly need to enlist the support of the rest of the organisation.
- Communicate with the organisation to encourage them to begin assessing their records well ahead of any move.
- If possible, develop a post-action conversion (back-scanning) plan. This plan could be applied by non-records staff and may reduce the volume of paper to be moved.
- Prepare guidelines for non-records staff to determine if records can be sent to offsite storage. Enable each business unit to do the initial boxing and preparation of records for sending to offsite storage.
- Where time allows, consider leveraging the move as a catalyst to improve business processes – ie, new electronic processes and workflows for the new space.

CLEAR THE DECKS – LEGALLY AND COMPLIANTLY

- Encourage staff to assess records in their workspace, and where possible dispose of records in accordance with Normal Administrative Practice (NAP). This may require more frequent secure bin collection and clear guidance as to the principle of NAP.
  More information about NAP as it applies in Victoria at the State and Local government level can be found in Public Record Office Victoria's PROS 10/13 Disposal Guideline 3 Destruction
- Encourage business units to use the post-action conversion plans to scan permanent or long-term temporary records at suitable image quality (ie, 200 DPI minimum etc). Once records have been scanned, business units can perform quality checks and then capture records into an approved electronic information system. Utilise records staff to randomly sample/quality check the scans and data quality.
- Where hard-copy records are unlikely to be actively used by the business, but must be kept for short-medium term for legislative reasons, prepare these records and transfer to offsite storage.

ASSESS FOR HEALTH AND SAFETY

- Consider whether there may be health and safety issues related to the move:
  - Are records dusty, mouldy or damp?
  - Could the move expose staff/contractors to vermin/insects etc?
  - Do staff need protective clothing?

ASSESS THE VOLUME OF FILES

- Walk the floor, examine tambour units and compactus, and assess desks – there may be secret caches of records that have either been forgotten or that no one wants to deal with. Better to deal with these treasures sooner rather than later.
- Estimate the volume of physical records (I estimate in shelf metres) that will require a home in your new space. I have found walking around my office with measuring tapes and entering data about shelf metres into spreadsheets is useful.
- Measure up storage space available in the new premises – on paper and if possible on site – there may be differences between how the storage space measures on a plan versus the reality.
- Meet with project coordinators, space planners or architects to discuss storage.

Public Record Office Victoria's PROS 11/01 Storage Standard Guideline 5 – Records Storage has some good advice about appropriate storage areas.

MAP OUT WHERE RECORDS ARE PRESENTLY LOCATED AND WHERE THEY WILL MOVE TO

- Meet with a representative of the removalist team to determine how the move will operate; ensure that you are on the same page in relation to where files will be positioned and how the move will occur.
- Give clear instructions to removalists documenting where records should be positioned in the new premises.
- Be mindful that moving volumes of records from one shelf location to another after the move is a costly process which can disrupt business.
- Make sure you have contact phone numbers of key people involved in the move.

- Do records need specialist treatment such as vacuum freezer-drying/cleaning?
- Does the floor need levelling before a compactus unit is installed? A slight floor deviation in the new premises could mean your compactus units will roll shut and pose a hazard.
- Could locating a mail processing area at the centre of your floor plan be a safety issue?

DETERMINE REQUIREMENTS FOR THE PHYSICAL MOVE

- Are contractors/removalists required to shift records?
- Do contractors/removalists have file moving expertise?
- Are there information privacy concerns – if so what can be done to reduce the risk of a privacy breach during the move?
  - Oversight by internal staff
  - Shrink wrapping record trolleys, like they do for suitcases at the airport
  - Moving locked cabinets
  - Requiring contractors to sign confidentiality agreements
- Can records be moved on file trolleys or must they be moved in boxes?
- Who will shelve files at the new location?
- Is there some benefit to locating particular records in a particular location in the new premises (ie, close to a particular team)?
- Confirm that any building lifts and loading bays can be utilised at the time of your move, and that any trucks will fit into the building.
- Have toast racks/wire racks been organised for new compactus or tambour units? These are hard to get in bulk at the last minute!

ON THE DAY OF THE MOVE

- Wear comfortable shoes and prepare to get dirty. On the day of my last office move my pedometer suggested I had walked 11km (and only within the office!).
- Tag team with another staff member to ensure someone is located at the old premises and someone is located at the new premises.
- Over-see contractors and be available to direct them.
- Assign responsibility for checking that all items have been moved from storage in the old location, and responsibility for checking items have arrived at their destination.
- Check for any strays – confirm all records have been removed from the old premises and are not hiding under compactus or in tambours.
- Assess whether files are in correct locations – consider random checks.
- Consider labelling tambour units or compactus with file number ranges.

FOLLOWING THE RELOCATION

- Be prepared to relocate some files after the initial move – hopefully only a handful.
- Give guidance to staff as to any new site specific records procedures (where to return records etc).
- Ensure you capture contractors and relocation project records into your information systems!
- Consider walking the floor to assist staff with new processes and procedures.
- Most importantly, celebrate your successes, both with your team and with the organisation! ❖

ABOUT THE AUTHOR

Molly Ap-Thomas MRIM is a Records and Information Management Specialist at the Victorian Auditor General's Office. Molly has worked in information management since 2001. In both her professional and personal life she has moved too many times in recent years.
She can be contacted at molly.ap-thomas@audit.vic.gov.au

WHY PRIVACY?

Here's why privacy matters... why it is a fundamental human right, and why the right to our identity is a fundamental part of who and what we are …

By **Ralph T O'Brien**

The other night I got into an argument with my friend over dinner. He gave the same argument I hear over and over again when discussing privacy: "Most would find me very boring, why should I care if they look at my stuff?" Meaning – "If you've got nothing to hide, why should privacy concern you?" I find this apathy infuriating, and it goes against all of my passions. Apart from the temptation to ask for all of his internet accounts and history so I could publish it online (my usual answer), it has inspired me to begin to start writing this article from the fundamentals – why privacy?

I should start by saying that I am no nay-sayer. I don't want to live in the dark ages. I love the modern era and all that technologies do for us; I embrace them. I use a mobile phone… I bank online… I have an online presence… I use cloud technologies to store data… I collaborate with global colleagues in ways not possible only a few years ago. But it also has given me a keen awareness of the risks. Privacy is a risk decision, something we give away in degrees, rather than a binary state of complete privacy or transparency. I appreciate that when I get something, there is a price to pay, and part of that price is my personal information. What we should all be asking ourselves though is this: "Is the trade-off worth it?"

I belong to a lucky generation which has seen this rapid advancement, but also one that remembers, through a veil of rose tinted glasses, a childhood without mobile phone or email or computer. A childhood where my friends and I made dens, played in the mud and biked around together outside. Somehow we survived, criminals had faces, were caught and locked up, and the sun still rose and set.

Enough living in the past, here's just a few (of the many) arguments of the relevancy of privacy today:

Permanent, digital records without carefully policed retention periods can ruin lives, as the mistakes of the past can come back to haunt us …

CONNECTION MAKES SEPARATION HARDER TO ACHIEVE

I welcome people finding me on LinkedIn for business purposes, but I don't want them being able to reach me at home and intruding on my family time. We may want to present ourselves differently or reinvent ourselves as we grow. We may want to move away and start again after a difficult relationship. I want to carefully craft and market my business identity; I don't want to have to think about doing this in my personal one, to be looking over my shoulder and monitor how I speak. We may want to manage our identity. We now use the same devices for work and home, and systems track and monitor our movements, payments, preferences, on a truly global scale. We are connected in our activities, and we leave digital footprints wherever we go. To me, true freedom is separation, a rare moment of camping in the woods, with no phone, no laptop and no wi-fi.

ACCESS IS EASIER, DATA FOOTPRINTS ARE PERMANENT

When I was nine, I stole some sweets from a shop, and my mother and the local policeman taught me a lesson by putting me in the police cells for a few hours. It taught me the consequences of my actions. I was punished for it, and I never re-offended. This fact (until now) was unofficial; it had no record. I was rehabilitated; I was taught a lesson. We learn by our mistakes. This fact has never impinged upon my character and I was able to live a life free from this blocking my progress. I'd like to think that we should be allowed to move on from the mistakes of our youth when we move to adulthood. Permanent, digital records without carefully policed retention periods can ruin lives, as the mistakes of the past can come back to haunt us, and now can be much more easily shared and spread. I'm not saying we have a 'right to be forgotten', more of a 'right to learn'.

SURVEILLANCE CHANGES AND INHIBITS US

The 'Snowden' debate is all about freedom of speech being a right too. We should be free to discuss and debate and to have an opinion. Where privacy is not a social norm, when we know we are under scrutiny – multiple psychological studies (see Jeremy Bentham) show that our behaviour changes to compliancy. We make decisions based on mandate or shame, and try and hold ourselves to the expected norm. The human desire to avoid shame and fulfil expectation is a powerful one… a panopticon of the mind, a prison with no room for identity, individuality, innovation and flair. It is a police state based on social orthodoxy, tyranny without the guns. We cannot act freely when we perceive we are being watched. With unaccountable mass global surveillance on the internet, our greatest hope for connection and our ability to find other like-minded people and express and discuss our subversive desires healthily – and free from shame – is gone. Our ability to challenge power, be adversarial to wrongdoings – and to hold authorities to account for potential abuses – is gone. It is my belief that our success as a society is not how we treat our compliant masses, but how we treat and respect the whistleblowers, the activists, and advocates for change.

DATA IS NOW BIGGER, SOCIAL, GLOBAL AND MOBILE

This means that the damage is bigger. Systems never used to be interconnected. People have never been so connected. We never put our innermost thoughts and communications in electronic records before; we never stamped these with our location; we never carried with us in our pockets our photo albums, private videos, interests, finances, medical records, loves, hates, likes, dislikes, preferences together. We've never connected data from so many devices and sensors before. We've never brought them into the privacy of our home, in our toys, fridges, lights, power supplies, music, cars – the race is on to connect everything, everywhere and to gather data from it. Big data may bring never-before insights and advantages. But technology evolution is an arms race, and with each leap the potential damage grows exponentially. Just as the stick was replaced by sword, gun, bomb, nuke – so too is our capability to harm with data exponentially growing at a scale like never before. And attackers always find a new route before defenses are raised; we can only block a specific vulnerability after the breach has been identified.

CHOICE IS SOMETIMES AN ILLUSION

Often privacy is dictated by consent. New technologies become the norm, and our risk appetite changes. My grandfather never had a bank account; I am penalised by paying more for services if I don't pay electronically by direct debit. Consider using a mobile phone contract or an operating system licence agreement. We could argue it is our choice whether to have one or not, but in the modern world we increasingly are assumed to have one, and cannot access services without them. We have to sign or accept a legally binding contract, and this comes with certain conditions that we sign the contract and 'consent' to. In the commercial world, we have two choices: we can disadvantage ourselves by not having one (I miss out on so many parties by not being on Facebook or WhatsApp!), or we can find (for example) another cell phone provider. But, surprise, surprise – they have exactly the same terms and conditions. No choice at all. As companies are increasingly large, global and coming together, and we sign up to allegiances with Apple, Google, Twitter, Facebook or Microsoft, we have to accept their terms. And all of these terms will be the same – take what you are given, we're bigger than you.

WE SHOULD REFUSE TO BE TERRORISED

After 9/11, we sleepwalked into a society of fear. Measures were introduced that have spread fear in the face of visible heightening of security to make us 'feel' more secure. Whether they make us more secure in reality is difficult to prove, as incidents are so rare (as the great privacy specialist Bruce Schneier points out, our Unicorn defences are obviously working fine). My greatest feeling of pride was in the UK after 7/7, the day after the underground attacks, when everyone was back on the underground trains going to work. Keep calm and carry on, refuse to be terrorised. The more we hear about things in the media, the less we have to worry about (or else it wouldn't be newsworthy). Yes, these things happen, but now these rare events are spread around like never before. If it causes real change to our lives by increasing wholesale mass market surveillance, increasing false positive IDs, and making us all live in fear – the terrorists have succeeded in spreading terror. Game over.

A ROGUE ELEMENT IS NO BAD THING

Of course, I believe that criminals should see justice, but I also believe that in any society a rogue element is necessary to allow us to invent and be imaginative and to grow. Not all rebellion is bad and, in many cases, it's a great agent for positive change. For example, consider the suffragettes who protested for the female vote, or the protest struggles for racial equality, or students facing down the tanks in Tiananmen Square. We now laud the bravery of these people who were, in their time, criminals. Mutations allow us to evolve. Psychologists have long known that the more humans are denied small moments of deviation and rebellion, and the more they are stifled in their creativity, the bigger and more damaging the built-up outlet will be. The tighter the rules, the more explosive the eventual rebellion. Of course, 'bad guys' should be put in jail, and not allowed to cause harm, but to accept Orwellian levels of control will stagnate and stop our human progress or, worse, cause those same humans to become the bad guys themselves.

So, in conclusion, we all have things to hide. This might not be criminal activity, but it could be embarrassing pasts, medical conditions, beliefs that don't conform, and other things that will destroy our reputation. We should be free to make these mistakes, have these beliefs, and to express them or keep them quiet as we choose. We all have conversations with our spouse, or our best friends, that we don't want our television sets in our living rooms to listen to. We all have passwords, and keys and security measures that need to be kept to ourselves. If information is power, whoever can access the most of it can control the world. Companies and governments will naturally flock and fight to control this new data era. Privacy is for those who are not afraid to stand out and innovate, those who do not want to submit and be controlled, for those who want to be truly free to express themselves as they choose. ❖

This article first appeared in the IRMS Bulletin, *in November 2016.*

ABOUT THE AUTHOR

Ralph T O'Brien is Principal Advisor, Privacy at KPMG LLP in London, UK.

✉ He can be contacted at ralph.obrien@kpmg.co.uk

inForum 2017 – *Registration is now open*

- One great program – four streams: RIM 101, About Me, Business Buy-In, Dynamic Digital
- 10-13 September 2017
- Brisbane Convention & Exhibition Centre
- Website: www.inforum.net.au

MAKE THE CASE TO ATTEND INFORUM 2017

Given the current economy and reduced financial support for travel and professional development, how can you obtain support to attend inForum 2017? Here's how…

The key is to understand the professional benefits of attending and ultimately what this means from your employer's perspective. The question will then shift from "Can I afford to attend?" to "Can I afford to miss it?"

1. EMPHASISE THE BENEFITS OF ATTENDING

Talk to your supervisor about how your organisation can profit from the new ideas, information, connections and innovations you'll acquire as a result of attending. Here are some key points you could make:

- ***"inForum is the premiere education event for Records and Information Management (RIM) professionals."***
  The sessions are presented by experts and colleagues who provide current information on challenges and solutions that are impacting RIM today. Multiple programs running concurrently allow you the flexibility to tailor an education experience that meets the specific needs of your company.
- ***"I can make connections and gain insights from people who understand the exact issues we face."***
  Meet your counterparts from across the world – or meet others in your area that you can stay in touch with throughout the year. With the many networking opportunities offered, you're bound to meet someone interesting who can help advise you on an issue, compare notes on a topic or just make a friendly connection!
- ***"We can solidify our relationship with the companies who are already doing business with us."***
  By getting to know your suppliers better, you can build collaborative partnerships that result in enhanced service, more responsive solutions – and bigger savings.
- ***"What I gain from the time here would take months to acquire any other way."***
  Piecing together an experience that's equivalent to attending inForum would be almost impossible – and would keep you out of the office much longer and cost much more.
- ***"Our entire team will benefit."***
  Is your expertise different from your colleagues? Are there overlapping sessions and events that you can tag-team? inForum networking opportunities benefit professionals at all levels, and can provide an excellent opportunity to advance your RIM performance across the company.
- ***"I need to learn the ropes."***
  If you're new to the RIM field, this event is the best way for you to make connections that can help you be more effective in your position.

2. DEMONSTRATE HOW YOU INTEND TO SPEND YOUR TIME

Put your plan on paper to show your supervisor that your trip to inForum will be productive:

- Use the Schedule at a Glance to build an agenda that includes keynotes, breakout programs, networking functions and time to visit with vendors.
- Study the conference programs and choose the ones that apply to your position as well as your organisation's specific objectives.
- If you purchase products and services for your company, check out the exhibitor list for suppliers that offer what you need. Include the vendors you'd like to visit in the written plan that you show your supervisor. Even if you aren't responsible for purchasing, time is well spent gaining an understanding of new technology and products to keep up on new trends.

3. CRUNCH THE NUMBERS TO ILLUSTRATE THE VALUE

Your boss will not only want to know what it costs to send you to the conference, but what it's worth. Important considerations:

- Your registration expenses will depend on your goals. Do they require that you attend the entire conference or will a single day of sessions meet your objectives? Or perhaps visiting the vendors is enough.
- Is money the make-or-break issue? If so, see if you can quantify the value of certain aspects of attending. For instance, can you attach a dollar estimate to the savings you negotiate with vendors? How about the cost-cutting or program-building techniques you learn in the education sessions? Can you gather information that can be shared with other staff when you return? Or share a registration?

4. FOLLOW UP AFTER INFORUM

Assure your supervisor that you will give a full report on inForum activities upon your return.
Your report should include the following:

- The sessions you attended, along with your evaluation of each
- The vendors you visited
- The products and services you learned about
- The savings you realised by taking advantage of early bird discounts
- News and information that you collected through networking, plus specific ideas and strategies you learned at inForum that will help your RIM department better serve the company and save money

Attending inForum is one of the best things you can do for the future of your business, yet many professionals within the industry ignore this valuable resource every year. inForum is designed to give you a plethora of usable content on a variety of relevant subjects, and will be sure to keep you up-to-date with the latest changes that are occurring within the industry – which we all know happens on an almost daily basis now-a-days.

inForum offers the opportunity for you to be introduced to numerous industry experts in a short amount of time and most importantly allows you to network with others who work in your field. An industry expert who's a good seminar speaker – which most tend to be – will provide you with a magnitude of usable content that will be beneficial to your work and industry insight almost immediately.

THE 10 BENEFITS OF ATTENDING INFORUM

1. Learning new information from presenters
2. Networking with new people within your field
3. Sharing your ideas and getting immediate feedback from credible individuals
4. Evaluating the latest technologies that can potentially help grow your business
5. Getting answers to your business questions and challenges from credible individuals
6. Collecting presentation materials to take home with you for later reference and study
7. Learning about free resources you can try
8. Learning about facts and statistics that will help you to better understand the market and industry
9. Increasing your email lists and lead generation by receiving other people's business cards
10. Building traffic to your website by passing out your business cards or brochures

NEW RIMPA EVENTS APP

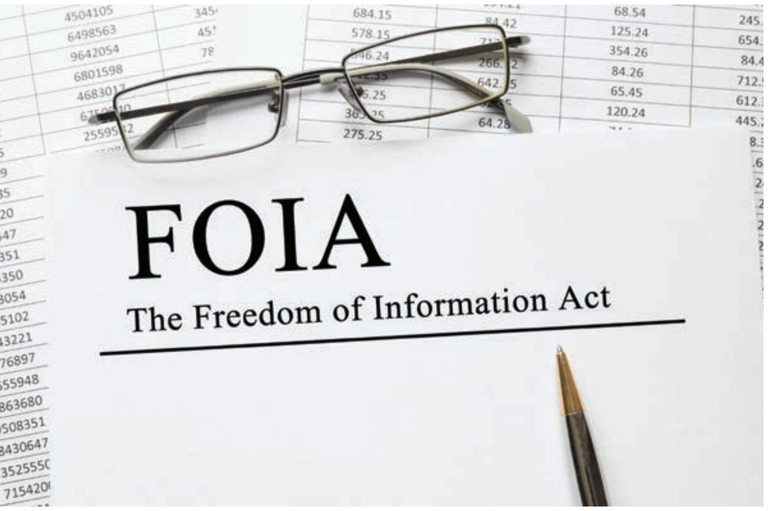
Now hosted by HelloCrowd the app features inForum and will also include major Branch Events.

It can be downloaded to Android or iOS compatible devices through Google Play Store or iTunes as a free download, or by using the following link: **http://hca.io/a/XK2CXH4KC**

Bad RM no excuse for stonewalling FOI: Information Commissioner

Australian Information Commissioner Timothy Pilgrim has slammed 'poor record-keeping practices' by the Australian Securities and Investments Commission (ASIC) leading to its exorbitant charges for a Freedom of Information request.

Story courtesy **IDM**



The Australian newspaper had sought correspondence between ASIC and the National Australia Bank (NAB) following reports that ASIC had allowed NAB to check and alter one of the regulator's press releases, to determine whether this was a one-off or a regular occurrence.

The FOI request was made in February 2015. Three months later, on 1 May 2015, ASIC responded that the request would cost $A4,380 to process and claimed it required "228 hours search and retrieval time and 45 hours of decision making time."

ASIC submitted that '[a]s the Scope of the request covered multiple matters over a long period of time, collating relevant documents required considerable coordination and input'.

In his decision to strike out the $4380 fee, Mr Pilgrim noted: "While the FOI Act does not mandate particular methods of storage of documents by agencies, in processing an FOI request an agency cannot shift its costs resulting from an inefficient records management system to an FOI applicant.

"ASIC's own detailed breakdown of work done demonstrates the inefficiency of its document handling system.

"An underlying assumption in calculating search and retrieval time is that the agency or minister maintains a high quality record system. Search and retrieval time is to be calculated on the basis that a document will be found in the place indicated in the agency's or minister's filing system (reg 2(2)(a)) or, if no such indication is given, in the place that reasonably should have been indicated in the filing system (reg 2(2)(b)). The 'filing system' of an agency or minister should be taken as including central registries as well as other authorised systems used to record the location of documents.

"Time used by an officer in searching for a document that is not where it ought to be, or that is not listed in the official filing system, cannot be charged to an applicant. In summary, applicants cannot be disadvantaged by poor or inefficient record keeping by agencies or ministers."

ASIC had submitted that its search and retrieval estimate included 25 hours for one officer of the Financial Adviser team to:

- search his own email in-box and relevant folders
- request three executive assistants to search three email in-boxes and provide to him any relevant documents, which he then 'perused'
- liaise with IT to obtain access to a former staff member's inbox and conduct a search of it
- save 49 relevant documents

According to ASIC's own published Guidelines on records retention, all "emails messages and correspondence documenting discussions with senior management, external agencies, businesses, industry professionals and other individuals that involve decisions and advice regarding financial or legal issues or other key work processes and courses of action" should be captured in the corporate record-keeping system.

Mr Pilgrim observed that "While the scope of the request is specific, in that the applicant is seeking various background documents relating to 12 nominated ASIC media releases, it is clear from ASIC's submissions that documents relating to the preparation of each media release were not filed together nor were they effectively categorised and readily retrievable through an appropriately configured records management system.

"Rather, on receipt of the request it is apparent that ASIC had to discuss with a significant number of officers the likely locale of relevant documents and carry out searches of many separate electronic storage areas (and in one case hardcopy notes). This includes searches of a large number of particular employees' email accounts, at least one of whom had left the organisation.

"It is therefore apparent that many of the documents at issue were not integrated into a records management system which could readily identify and collate relevant documents.

"I consider that efficient record keeping could have documents relevant to each media release located either together in a single file or effectively categorised and readily retrievable through an appropriately configured records management system. Had this been done, it is apparent that much of the manual search and retrieval work that ASIC had to undertake in response to the request could have been avoided."

... it is apparent that ASIC had to discuss with a significant number of officers the likely locale of relevant documents and carry out searches ...

A 2016 advertisement for an information governance manager at ASIC highlighted a "significant technology transformation" underway at the Federal Government agency in a number of areas such as virtualisation, mobility, cloud and roll out of Microsoft applications in the enterprise such as Microsoft Dynamics, SharePoint and SQL services.

In 2007 ASIC received increased funding of $A116.7 million over four years to "invest in essential business support tools including electronic document and records management systems and data warehousing."

Mr Pilgrim also ordered ASIC to entirely waive the fee because the request, which *The Australian* filed two years ago, was in the public interest.

"The FOI request was lodged following reports in February [2015] that ASIC allowed NAB to check and alter a media release dealing with serious problems with its Navigator wealth management platform.

"These reports came amid a crisis of confidence in the financial services industry and ASIC's enforcement of the law regulating financial service licensees, especially big banks.

"The question that therefore arises and underpins the FOI request is: was this a one-off or has ASIC regularly allowed the regulated population, especially large institutions, to edit its output?

"This is self-evidently a matter of wide public importance. The documents deal with ASIC's administration of the law covering hundreds of thousands of customers and hundreds of millions of dollars," said Mr Pilgrim.

"The documents in this case relate to ASIC's regulation of major corporate financial institutions. The applicant is seeking access to documents that would potentially provide insight into ASIC's relationships with those institutions. Specifically, whether, or to what extent ASIC has allowed those institutions to contribute to the content of its media releases.

"I agree with ASIC that there is a general public interest in the matters to which the request relates. I also agree with the applicant that 'ASIC's administration of the law covers hundreds of thousands of [financial institution's] customers...', which is a substantial section of the Australian public. In my view, giving the applicant access to the documents in this case may serve to better inform the public of ASIC's regulatory processes and would likely contribute towards increasing scrutiny, discussion, comment and review of the Government's activities."

The full judgement is available at austlii.edu.au/au/cases/cth/AICmr/2017/18.html ❖

Republished with permission from Image & Data Manager (IDM), the bimonthly magazine and weekly enewsletter dedicated to enterprise and government collaboration and records and information management for Australia and the Asia-Pacific region. https://idm.net.au

MANAGING PERFORMANCE: THE PYGMALION EFFECT OF LEADERSHIP

It has been shown that when the bar is set high, and encouragement is given by management, people tend to raise their performance levels to meet that expectation. So start with the premise that people can do almost anything with the right leadership and support, writes Kevin Dwyer, an expert in change management.

By **Kevin Dwyer**

"OK, that was not good. I want you try it again… with passion. This time, I want to feel what you believe, rather than hear what you believe. I want you to forget what you have learned the content to be and give to me, raw, what you believe in about the content of your presentation," I said. "I know you can do this."

The turnaround was amazing. From a stilted presentation that was hard to listen to and harder to believe – let alone get excited about – to a presentation that was passionate, gripping and held my attention for every moment, even though I knew the content intimately. Our consultant had just become a presenter. Prior to this, she had been willing, but unable. Afraid of the audience and self-critical of each word as it came from her mouth, she was afraid of presenting.

I knew she had the capability and the capacity to present. In the office, when she strayed on to a topic that she was passionate about, she could easily hold the room.

Without provocation and guidance on what she had to do to present well, she would never have crossed the Rubicon of fear of presenting in large groups of intelligent people, who held opinions about the content she was delivering.

A "good effort" from me, on the other hand, delivered without conviction and no intent to use her as a presenter and develop her into a facilitator as she gained experience, would have left her underwhelmed and lacking even more in confidence.

Worse still would be if I used extreme language and suggested that she "always looked nervous" or "never engaged her audience", or if I used a label like "stupid" or "useless". The end result would have been not only a lack of confidence in herself, but also a justifiable lack of confidence in me as her manager.

When we have expectations of people and communicate them, more often than not those expectations will be met. If they are not met, we can generally be assured that the people's behaviour and attitude is much more positive than when we do not have expectations, or do not communicate them.

Not only that, the more we – as leaders – engage our people in learning activities, the higher our expectations become and, in turn, our people engage in more learning behaviour.

PYGMALION EFFECT

The effect of setting high expectations on people, coined the Pygmalion effect, was first postulated in a study of teachers' impact on students (Rosenthal & Jacobson, 1968). In the study, students at an elementary school took intelligence pre-tests. Rosenthal and Jacobsen then informed the teachers of the names of 20% of the students in the school who were showing "unusual potential for intellectual growth" and would bloom academically within the year. Unknown to the teachers, these students were selected randomly, with no relation to the initial test. When Rosenthal and Jacobson tested the students eight months later, they discovered that the group of randomly selected students scored significantly higher.

In the workplace, a study on the Israeli defence forces (Eden, 1992) revealed two effects of setting expectations:

- Leadership mediates the Pygmalion effect. Raising manager expectations improves leadership, which in turn promotes subordinate performance.
- Managers allocate leadership resources to subordinates in proportion to their expectations.

The implications of the first effect are that setting expectations, and setting them high, improves our leadership capabilities and our people's performance.

The implications of the second effect were reported as follows: "Evidently, high expectations bring out the best leadership in a manager. This suggests the hypothesis that if managers would treat all their subordinates to the same quality leadership that they lavish upon those of whom they expect the most, all would perform better."

CREATING A PYGMALION EFFECT IN THE WORKPLACE

So what does this mean for leaders in the workplace? How do leaders motivate themselves to become better leaders by setting higher expectations?

REMOVE NEGATIVE EXPECTATIONS OF PERFORMANCE

As leaders we need to remove any cultural, personal, gender, age or other stereotypes we and our peers might hold.

When I was general manager of Shell Fiji, I lost count of the number of times I was told what Fijians could not do. Ad-nauseum I heard about it being almost impossible for Fijians to arrive on time, to deliver against their goals and be capable of complex thinking. Hogwash! Refusing to accept the cultural crutch of 'Fiji time' in the workplace and setting different cultural expectations in the workplace was the beginning of a tremendous growth phase in the business and the people.

It is imperative that we start with the premise that people can do almost anything with the right leadership and support.

WIPE THE SLATE CLEAN

If there has been a history of underperformance in individuals, it is important to consign discussion about those performances to the dustbin of history. Give everyone the chance to make a change to find their purpose and understand their responsibilities and what is expected of them in terms of performance.

SET HIGH EXPECTATIONS

Don't aim low or set small incremental gains in performance. When people are given incremental performance improvement targets, there is a high risk that their thinking will fit the norms of 'work harder', when what is definitely needed is 'work smarter'. When people are given seemingly difficult goals, it forces them to think differently, especially if we help them with that different thinking.

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.

He can be contacted at Kevin.Dwyer@changefactory.com.au

R·I·M Professionals Australasia

Directory

Chair
Lisa Read White
Email lisalex@iinet.net.au

CEO
Kate Walker FRIM
Email kate.walker@rimpa.com.au
Mobile 0409 250 795

Membership & Customer Services Manager
Maree Cooper
Email maree.cooper@rimpa.com.au

Finance Officer
David Webb
Email david.webb@rimpa.com.au

Marketing & Convention Officer
Kristen Keley MRIM
Email kristen.keley@rimpa.com.au

Branch Manager, & Sales & Sponsorship Coodinator
Wendy Morris
Email wendy.morris@rimpa.com.au

Address for all:
PO Box 276
St Helens TAS 7216

SET THE RIGHT EXPECTATIONS

Setting expectations of people can have a negative effect if we set the wrong ones, so some careful analysis and thinking is required before we set off on our journey of getting people to achieve things they thought were not possible. The law of unintended consequences applies to everyone setting performance indicators and goals.

For example, when I ran a production centre, the prevailing goal for staff involved in blending, filling and warehousing products was to achieve a minimum productivity rate. Initially, I set higher productivity targets. They responded and achieved higher productivity, but at the expense of medium and small runs of products, which were slower to blend and fill. They constantly ran out of stock. Customers and the marketing team were always unhappy, extra stocks were held 'just in case' and the warehouse was too small to house the increase in inventory we carried. When I changed the goal on reflection to having low levels of out of stocks, productivity actually improved, all stakeholders were happier and the warehouse space required reduced by more than 25%.

TRAIN AND COACH OUR PEOPLE TO BE SELF-EFFICACIOUS

After setting our ambitious goals, it is important that we support our staff in being able to reach these goals. This may include skills or knowledge training and workplace coaching or mentoring. Our people must feel it is very important to try and that we will support them through a few missteps and, where necessary, assist directly in building their skills.

GIVE FEEDBACK

Even our most able and most willing people, who need little skill or knowledge building, need feedback on how they are doing. Even if they seem embarrassed by positive feedback, it is crucial that people who have accepted the challenge of higher expectations feel that warm inner glow of having delivered something difficult.

For those who are struggling, we must at first give positive feedback on their level of effort and give constructive feedback on how they can improve their performance. ❖

This article was first published at changefactory.com.au/our-thinking/articles

References

1 Eden, D (1992). Leadership and expectations: Pygmalion effects and other self-fulfilling prophecies in organisations. Leadership Quarterly, 3(4), 271-305.
2 Rosenthal, R & Jacobson, L (1968). Pygmalion in the classroom. New York: Holt, Rinehart and Winston.a

RIM Professionals Australasia supports members' professional development throughout their careers

R·I·M Professionals Australasia

Career website
careers.rimpa.com.au

Recognised Courses & CPD Scheme
rimpa.com.au/professional-development/