The Organisation IS the System

An information management framework

Compliance and Risk – 3 Legislation Library

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About the Author:

- Allen Woods, retired several years ago….
- Ex British Army (1971 – 1995) Taught Arctic Warfare, Several Years On Operations, Funded Himself through College to Study IT
- Chartered Member of the British Computer Society for 20 years
- Member of the Chartered Status Interview Panel for BCS
- In 2010, Finalist of UK “Developer Of The Year” Competition for MOD HSIS
- Primarily Employed in UK Defence Supply Chain and Logistics IT since 1995 until 2019
- Credits: MoD Health and Safety Information System, Various Internal to Defence P&G Portals, CATMIS, IQB Oversight to Defence Voyager Programme IM Transformation and more…

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Introduction

Nowadays, there is a lot of legislation, there always has been. In the UK there is primary legislation on the statute book going back centuries, the UK "Bill of Rights 1688" being a case in point

Much of the authors work in information management focussed on providing support to the organisations he worked for, in respect of regulatory compliance, its monitoring and operational impact.

One of the useful capabilities developed over time, was to provide the means to deconstruct primary legislation (and other regulatory forms) such that key clauses could be given greater context to operational areas through the medium of a digital organisation map.

This deck provides an overview of the nature of the effort involved in the building of a legislation librarian that supported the contextual requirement set out above.

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Index

This deck is part of a series.

The other decks in the series are:

Compliance and Risk – 1 Introduction

Compliance and Risk – 2 The Point of a Portal

Compliance and Risk – 3 Legislation Library

More detail on the nature of the tools illustrated in this series can be found here

In addition, viewers may find it useful to review the series on document management which can be viewed here

The Old Geek

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Revision

For the purposes of revision, the preceding two decks in this series should be viewed before continuing with this deck

“Part 1 - The Introduction” can be viewed here

“Part 2 – The Point of a Portal” can be viewed here

In addition, given the design considerations taken into account in developing a Legislation Librarian, viewers make like to view the introductory slide deck on Document Management, which can be viewed here if it is available in the viewers operating environment

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Caveats

This deck describes an exercise in providing regulatory documentation of various kinds in a manner that took into account “context”, with the legislation librarian providing an authoritative information feed into an organisation element profile which formed part of a web portal.

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In short, there is more than one way to skin this particular problematic cat. “Pathfinder Not Gospel” as a result!

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What Does a Legislation Library Hold

For the purposes of this exercise, Any form of regulation that affects business operations should be made available across the organisation where possible, that includes the following types of documents:

International treaties of relevance to the organisation that have an impact on business operations that the organisation has to abide by

Any and all national level primary regulation that the organisation is obliged to observe and comply with

Any and all local level regulation imposed by local government agencies that the organisation is obliged to observe and comply with

Any and all relevant professional standards that the organisation is obliged to observe and comply with

Any internal policy and governance standards imposed by the organisation board

The Legislation Library, for the purposes of internal management control will be operated and maintained by the Head of Quality Assurance

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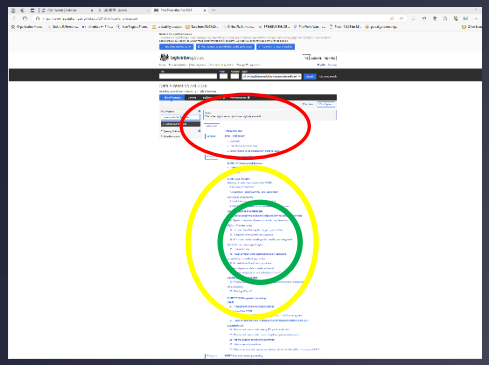
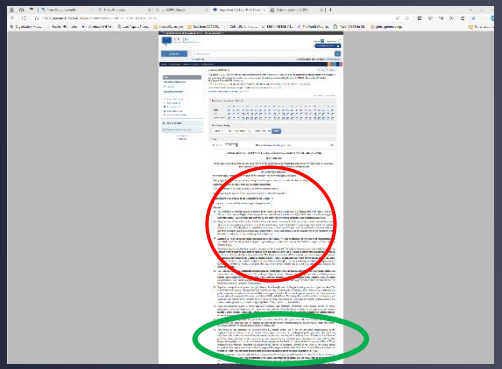
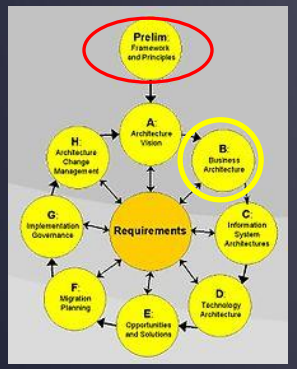
The Way Regulation Is Written Has Structure…







For Example…

The UK Data Protection Act 2018

The EU GDPR

Or Professional standards like TOGAF, ISO 27001 etc

All have a similar structure as documents which includes:

Some form of “preliminary” section

A level of subdivision into “Chapters” or “Sections”

A level of subdivision into paragraphs or “articles”

A level of subdivision into clauses

With supporting documents sometimes referred to as “recitals” or Appendices

Noting that there will be variations on a theme.

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File Format and Copyright

Copyright being something that should be respected….

Legislative and regulatory documentation is often “free to download”

A typical file download format is “PDF” but there will be other file formats in use

PDF’s can be read electronically

With practice, the structure can be detected and programmed for, such that a “legislation reader” can be built that can be used to document transfer content into a suitable database container.

Bear in mind copyright material should not be read into a database without permission from the copyright holder.

Noting too, that any read in exercise, with the aim of being able to segment content, may need manual adjustment!

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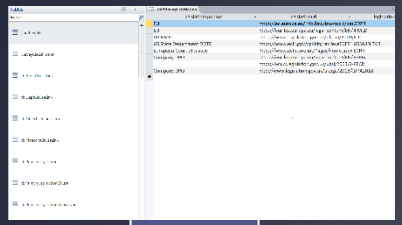
Legislation Library In The Dataverse



Legislation

Governance

Finance

HR

Infrastructure

Infrastructure

UI Config

Org Chart

Site ID, Site Navigation

Business Rules

Value Translation

OLAP

Predictive

Business Intelligence

Librarian

Documents

Inventory

Assets

Transaction

Line of Business

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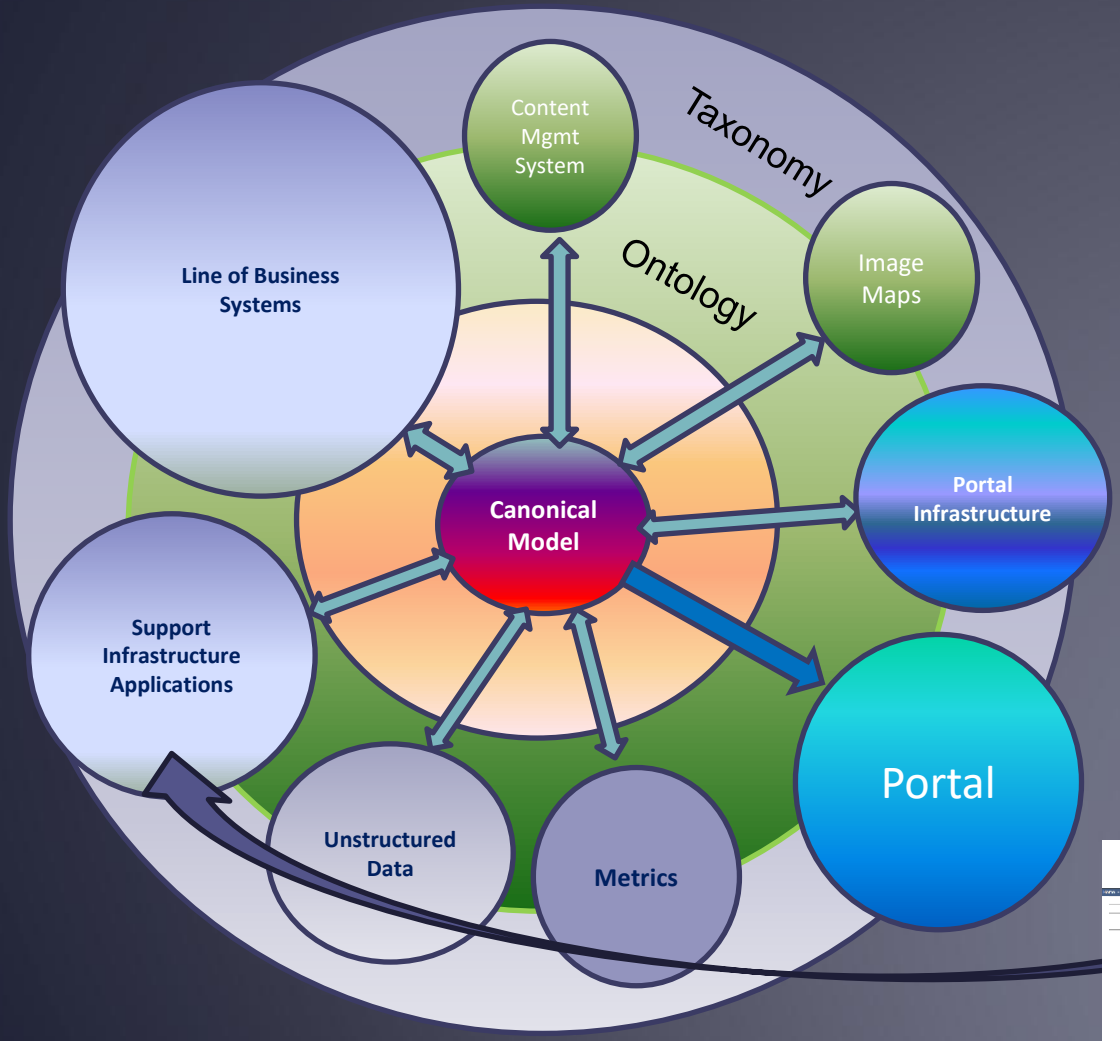
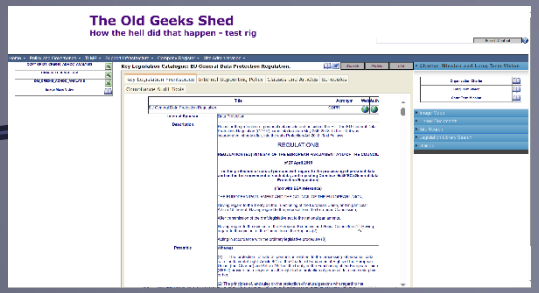
Legislation Library As A Gateway



Given that it is likely that the organisation as a system will be obliged to abide by multiple rules and regulations, once constructed, the legislation library is an infrastructure capability that should be capable of being cross referenced by other architectural components



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The Business Advantage

Assuming an integrated legislation library available to all within the organisation as a system then it becomes a practicable matter to integrate primary and other regulation into the information architecture as “living documents”.

As “living documents” documents held in your information management architecture, then in respect of providing context to your own internal quality assurance efforts, then the legislation provides THE authority in respect of “why things are the way they are”.

As “living documents” documents held in your information management architecture, then primary legislation can also be one of the core justifications for your own quality assurance efforts including audit, both internal and external (should circumstances require it)

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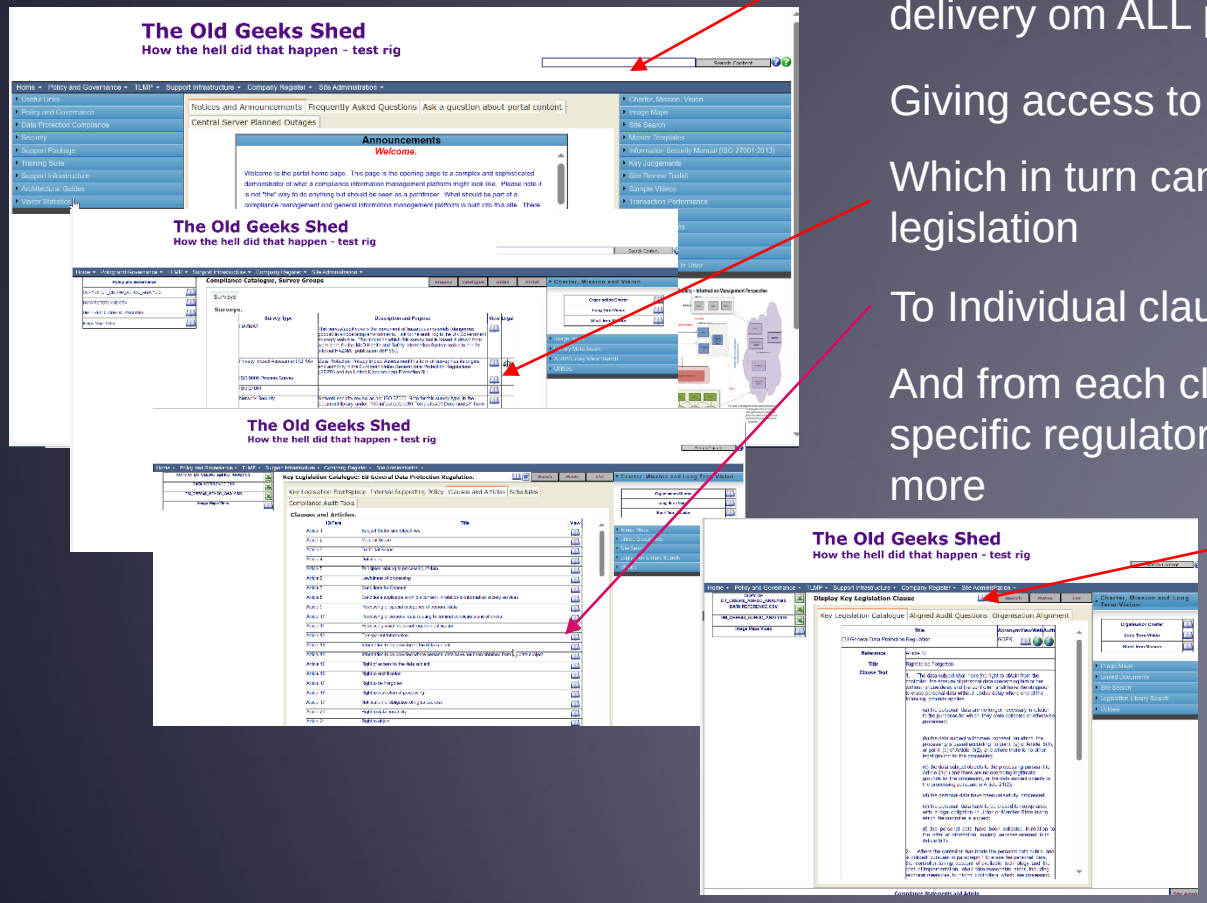
Legislation Library As Search Results



Once integrated architecturally as a gateway, with legislation read in, the legislation library can be made to form part of integrated search results delivery om ALL portal pages.

Giving access to the legislation library

Which in turn can support access to specific legislation

To Individual clauses

And from each clause, access to context specific regulatory audit survey capabilities and more

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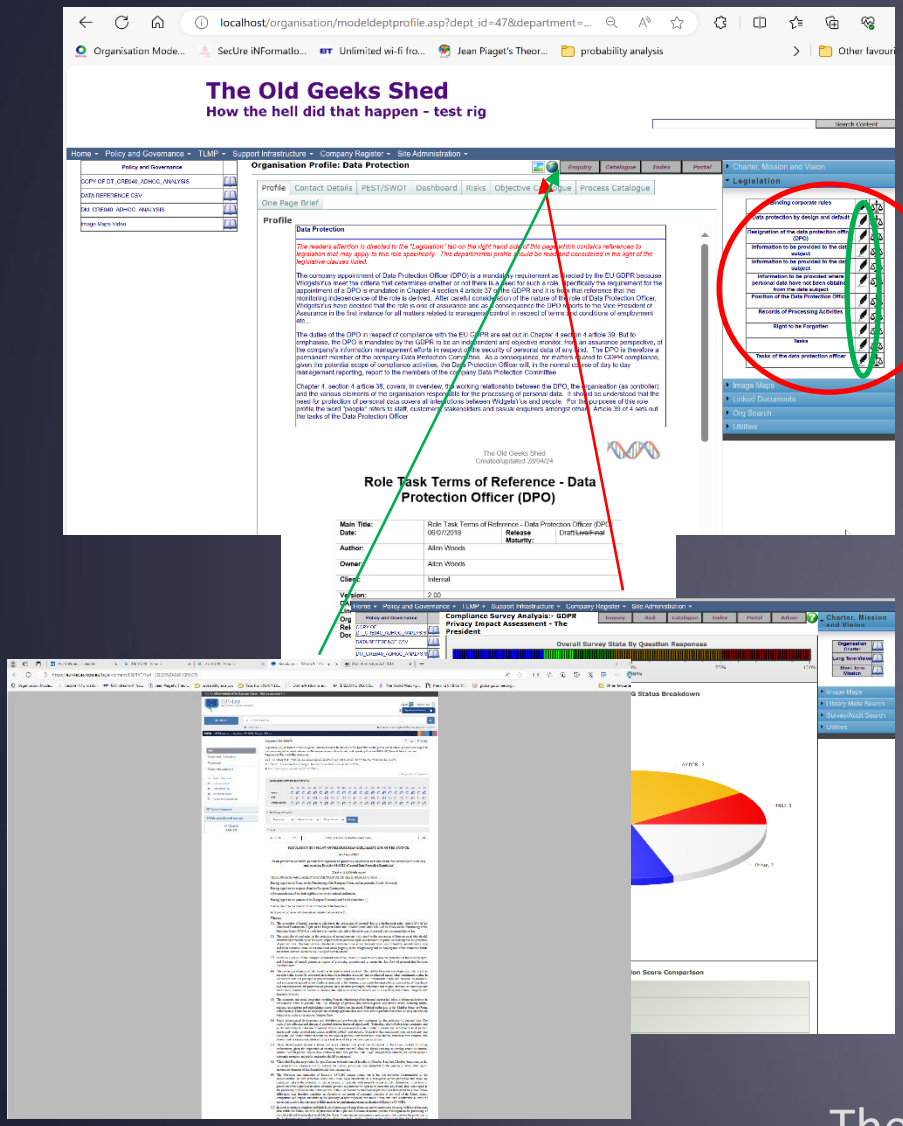
Or, Refine Context Granularity



In this case, the role of DPO as defined by the EU GDPR

Giving visibility to both the complete legislation

Or.. Individual clauses

AND supporting documentation like role Task Terms Of Reference

As well as role or department specific compliance audit results

And access to authoritative source material, but within the context of the role

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That's All Folks…

The next deck will take things a stage further to include support for internal and external audit and associated quality assurance.

The ultimate aim?

To bring primary legislation and external standards into your organisation as a risk mitigation planning tool.

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That's all folks…..

The original deck and others, are available on request, free, using any of these means to get in touch:

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