

	Victorian Office PO Box 260 Melton Victoria 3337 T (03) 9747 3077 F (03) 9747 6599	New South Wales Office 119 Willoughby Road Crows Nest NSW 2065 T (02) 8987 1926 F (02) 9439 2157	Queensland Office PO Box 4286 Elanora Queensland 4221 T (07) 5525 7733 F (07) 5525 7744	<h1>Case Study</h1>
<small>Records Solutions is a business of Kramenna Pty Ltd ATF the Kramenna Trust ACN 105 354 292 ABN 60 668 604 588 Email: enquire@rs.net.au Web: www.rs.net.au</small>				

Queensland Treasury Gateway Review

1. The Organisation

The Queensland Treasury Document and Records Management (DRM) Program was initiated to improve the way Treasury staff create, capture, share, use, archive and dispose of documents and records through the review and implementation of a new document and records management (DRM) regime consisting of quality recordkeeping policies, standards, procedures and tools (including an electronic document and records management system (eDRMS)). The DRM Program followed the UK Office of Government Commerce (OGC) Gateway™ Process which examines projects at key decision points in their lifecycle to provide assurance that they can progress successfully to the next stage.

The DRM Program was not dealing with a single entity organisation. A level of complexity was added by the requirement to implement a relatively standardised Program into around eight 'stand-alone' portfolio offices.

2. The Challenge

Records Solutions was engaged to conduct Gateway™ Review No. 4 – *Readiness for Service* which investigated and reported on the organisation's readiness to make the transition from the eDRMS solution development and pilot phase to production implementation.

Specific aspects investigated included:

1. Business Case, Benefits Management and Stakeholders;
2. Risks and Issues;
3. Review of Current Phase (including Pilot)
 - a. Suitability and Acceptance of Solution
 - b. Project Management
 - c. Migration and Transition Planning;
4. Readiness for Next Phase
 - a. Readiness for Transition from 'project' to 'service'
 - b. Support Plans and Contracts
 - c. Ongoing performance management
 - d. Post Implementation Review Planning;

3. The Process

Methodology

The review was undertaken using the OGC Gateway™ Process methodology and involved consultation with relevant staff as well as a review of documentation and products developed to support the Program.

Consultation took place using a pre-determined series of questions relating to various aspects of the Program. This included questions such as:

- Will the DRM Program meet Treasury's business needs?
- Is Treasury ready for the implementation of the new DRM regime?
- Do you believe all risks and issues have been identified and mitigation strategies developed?
- Do you believe all the necessary components (including the eDRMS) of the new DRM regime have been developed to an acceptable implementation standard?
- Does the new DRM regime meet business and compliance requirements?
- Is the DRM Program being properly planned, governed and controlled?
- Are there appropriate Business Continuity, Disaster Recovery and Roll-back Plans in place?
- Is there an appropriate business readiness/transition strategy?
- Is there an appropriate support plan and program in place?
- Is there sufficient budget allocated to proceed with production implementation in each office?

In posing all the questions to around 20 people involved with the DRM Program at various levels including those within and outside of the Program itself, it soon became obvious where the strengths and weaknesses of the Program were.

A review was also conducted of Program documentation (e.g. Business case, Project Plans, Budget and Reports, Pilot Post Implementation Review Report, Log of Risks and Issues, Qld Treasury Strategic Recordkeeping Implementation Plan) as well as the eDRMS solution which was based around the Open Text eDocs product.

Review Report

The Gateway™ Review No. 4 – *Readiness for Service* Report provided detailed answers to the questions posed and a summary of findings based on the information gathered. It also provided an Executive Summary and Recommendations.

It was recommended that the DRM Program continue although certain aspects of the program needed to be re-considered and/or more fully developed before moving to the production implementation of the eDRMS.

The Program was well managed and was keeping within timeframes and budget. The recent Pilot had proven successful and the eDRMS product was stable and operating effectively. It was also acknowledged that the DRM Program had a hard working and dedicated team who were doing the best they could and doing it well.

The main drivers for improving the management of Treasury's information resources continued to exist and indeed were becoming greater as more resources were created. Treasury is both a central and a lead agency for Queensland Government, and it remained critical that Treasury's information resources were managed effectively to enable Treasury itself to be accountable and transparent in the delivery of its services.

It was noted that an eDRMS alone could not meet all of Treasury's DRM business needs and it was important that implementation of the technology was not seen as the sole or even the main facilitator of improved DRM outcomes. For the new DRM regime to be successful, an effective document management and recordkeeping culture needed to be embedded within Treasury with

staff trained, committed and motivated to adhere to best practices in document management and recordkeeping.

4. Outcomes

Qld Treasury's DRM Program took on board the main recommendations of the Review and undertook further development and re-consideration of aspects of the program before successfully moving from the pilot to the production phase.