

# Digital Records Transformation Initiative – Sourcing Strategy Discussion Paper: Findings and Next Steps

## A new approach for records management technology sourcing

As outlined in the [Sourcing Strategy Discussion Paper](#) (Discussion Paper), the Department of Finance (Finance) intends to establish a Whole-of-Government arrangement for entities to procure technology that supports modernised records management capabilities. Finance, with guidance from the Digital Transformation Agency (DTA)'s co-Lab team, is proposing to explore an alternative approach to sourcing modernised records management products.

In November 2018, Finance sought the views of the private sector and Commonwealth entities on:

1. the use of a co-design<sup>1</sup> approach with industry and entities to determine the most appropriate sourcing arrangements and a statement of requirements; and
2. whether the capability maturity approach is a useful way to pursue modernisation of Australian Government records management.

Twenty-nine responses to the Discussion Paper were received from a range of stakeholders. Approximately 40 per cent of these responses were from Commonwealth entities. The majority of responses were from the private sector (technology sector including organisations from the records management technology sector, consultants and a professional association).

*This paper presents broad findings against the approach proposed in the Discussion Paper. It is not intended to be a comprehensive summary of all responses.*

## Key Findings

### 1. Using co-design techniques

The majority of respondents (21 out of 29) agreed with the proposal to undertake a co-design process involving the three main stakeholder groups:

- the vendors of records management products;
- the buyers of records management products; and
- the administrators of Government procurement activities.

Only two respondents disagreed with the proposed approach. The remainder (six) did not offer an opinion.

A number of issues were raised in relation to the co-design process including:

- the potential impact on resources (i.e. time, effort and contribution required) and, in particular, smaller entities/organisations;

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<sup>1</sup> Co-design is an open design and collaborative method increasingly being used by both Government and the private sector. This approach brings together different stakeholders, i.e. different perspectives and ideas, in the design process to deliver an outcome that meets user needs.

- probity<sup>2</sup> and transparency issues; and
- how intellectual property would be treated.

#### Next steps

Finance will work closely with the DTA co-Lab Innovation Hub throughout the co-design process (at the DTA premises in Canberra). The issues raised above will be addressed as a part of the co-design process.

The co-design process is expected to commence in February 2019. It is not an approach to market, but it will lead to a sourcing approach. The co-design process will include face-to-face user research sessions (individual meetings), communities of practice and workshops. Every effort will be undertaken to minimise the impact on participants.

In January 2019, the Digital Records Transformation Initiative (Initiative) team members will be in contact with those entities and organisations who have expressed interest in co-design through their Discussion Paper response. In the initial co-design sprint, the team will be engaging with a representative sample from this group of respondents. User research, consultations and co-design sessions will commence from early February 2019, and a further invitation to participate will be posted on the Finance website, and emailed to interested parties, at that time.

## 2. Using capability maturity for requirements

Sixteen respondents agreed that a capability maturity approach would be useful for pursuing modernisation of Australian Government records management. The remaining respondents did not provide views on a capability maturity approach.

In general, responses indicated that the capability maturity model should:

- acknowledge the current commitment and support for records management within entities;
- use common language for both Commonwealth entities and the private sector;
- not just be developed as another reporting mechanism;
- be forward-looking; and
- consider changes to the environment - human (behavioural) and technology.

#### Next steps

As outlined in the Discussion Paper, Finance is developing a maturity model based on several dimensions of capability with the aim of improving government's investment on information management, and enabling vendors to develop and offer solutions to meet the changing business requirements of government. This model is intended to describe the capability of the Australian Government and industry.

Requirements are expected to be further refined; and additional requirements added through the co-design process.

## 3. Other

A substantial number of comments proffered a view that the sourcing strategy would result in a single solution or "suitable solution", or that Finance was co-designing a solution for a platform. This is not the intent of the Initiative, as the Commonwealth is seeking to establish

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<sup>2</sup> See Commonwealth Procurement Rules, <https://www.finance.gov.au/procurement/commonwealth-procurement-rules/>. Paras 6.5-6.6.

a whole of Government sourcing arrangement with a number of vendors that have a range of appropriate capabilities.

Comments about requirements were included in several responses, indicating an interest in progressing the Initiative. Requirements will be explored through the co-design process. Other feedback noted the importance of aligning with the policies of the National Archives of Australia, in particular - Digital Continuity 2020.

The Digital Records Investment Alignment Process was highlighted in two responses – concerns raised focussed on process, timing and potential impacts on existing contractual arrangements.

In addition, two responses noted that the requirements identified could already be found in products on the market and that a Request for Proposal (RFP) should be the preferred mechanism going forward. A RFP will be one of the approaches considered during the co-design process.

## Further information

Information on the Initiative is available on the Finance website, <https://www.finance.gov.au/publications-reports/digital-records-transformation-initiative/>.

Should you have any queries about the Initiative, please email us at [digitalrecordstransformation@finance.gov.au](mailto:digitalrecordstransformation@finance.gov.au).