

Australian Taxation Office

Summary

The Australian Taxation Office (ATO) needs to ensure Record Keeping practice meets legislative and governance requirements as defined by the Australian Archives.

Consistent and easily understood communication of the policy for Record Keeping is essential if governance and audit requirements are to be met at all levels in the ATO.

Background

Holocentric Modeler provides government agencies the ability to ensure that stated Policy can be mapped to activity that matches the original intent of the policy. The ATO used Holocentric Modeler to build the Record Keeping process and published it to their intranet.

Australian Taxation Office

Locations: National

Solution Type: Corporate Governance

The Challenge

There are many challenges and requirements that need to be considered with Record Keeping in government organisations.

The challenge that faced the ATO was Corporate Governance, including issues such as:

- what to keep
- what must be destroyed
- consistency within the organisation
- consistent communication of policy
- meeting legal requirements

Some of these are in conflict, such as the need to destroy documents for reasons of privacy, and the need to keep documents for reasons of future reference and case management.

The ATO has the skills to ensure that record keeping is done effectively, however the challenge for the organisation is to take the knowledge of a few records' keeping experts and distribute it across the organisation. The need is for all staff at the ATO to consistently adhere to these complex guidelines.

The Solution

The ATO needed to ensure that the record keeping activities of all staff aligned with the Policy on case management and individual privacy.

To do this the ATO documented current business processes and identified gaps in current systems and processes. The ATO developed a common business language and a series of artefacts that have a relationship to the business. This was then published to the ATO intranet and is accessible from every desktop in the organisation.

The models provide a common business language for training and are published to the ATO online web-based help system. The published views can be used at a number of levels: staff utilise the processes identified; the internal help desk can assist these users at another level by stepping through decision trees etc.

Importantly, the models are used as a communications tool for senior managers in the agency. Instead of static images and manuals, the ATO use the dynamically-published intranet view to present the real processes and see the impacts of decisions in real time.

One of the key challenges in change management is the ability to communicate “what does it mean for me” scenarios. This is achieved with little cost or overhead for the ATO, saving both cost and time, whilst addressing the key objective of Policy communication and audit.



I believe that this exercise in the application of innovative technology to a core business issue provided the ATO the processes and a training tool for non-experts—so record keeping can be done effectively by all our staff.

Graham Bailey

Some of the benefits achieved during the project were:

- **Improved communication between the business people and domain experts in record keeping (ISO Standard 15489)**
- **A common model and standard documentation set for record keeping**
- **End-to-end solution—from process analysis through user requirements to implementation**
- **Re-use and sharing of process models that could be utilized on future projects**



Corporate
Governance



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