

# **Murdoch University**

## **RECORDKEEPING PLAN**

### **2024**

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## Introduction

This document is presented to the State Records Commission in accordance with Section 28 of the *State Records Act 2000, (WA)* (the Act). Section 28 (5) of that Act requires that no more than 5 years must elapse between approval of a government organisation's Recordkeeping Plan and a review of it.

State Records Commission (SRC) Standard 1 – Government Recordkeeping requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – Recordkeeping Plans comprises six recordkeeping principles each of which contains minimum compliance requirements.

The purpose of this Recordkeeping Plan (RKP) is to set out the matters about which records are to be created by Murdoch University and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the University, including information regarding the University's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice recordkeeping within the University.

The objectives of the Murdoch University RKP are to ensure:

- Compliance with Section 28 of the *State Records Act 2000 (WA)*;
- Recordkeeping within the University is moving towards compliance with State Records Commission Standards and *Records Management Standard AS ISO 15489*;
- Processes are in place to facilitate the complete and accurate record of business transactions and decisions;
- Recorded information can be retrieved efficiently, accurately and cost effectively when required; and the
- Protection and preservation of the University's records.

In accordance with Section 17 of the Act, Murdoch University and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all:

- Murdoch University Employees.
- Murdoch University consultant and contractors:
- Organisations performing outsourced services on behalf of Murdoch University; and
- Australian campuses of Murdoch University.

This Recordkeeping Plan supersedes 2018014 and applies to all records created or received by any of the above parties, regardless of:

- Format.
- Storage location; or
- Date created.

For the purposes of this RKP, a record is defined as meaning "any record of information however recorded" and includes:

- a) anything on which there is writing or Braille;
- b) a map, plan, diagram or graph;
- c) a drawing, pictorial or graphic work, or photograph;

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- d) anything on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
- f) anything on which information has been stored or recorded, either mechanically, magnetically, or electronically.”

[State Records Act, 2000 (WA)]

### **Attachments presented to the State Records Commission:**

The policy documents listed below can be found on the University's Policy and Procedure management system available here <https://murdochuniversity.sharepoint.com/sites/PPM>

If you require access to any other documents listed below please contact the Manager Records and Archives via [Universitysecretary@murdoch.edu.au](mailto:Universitysecretary@murdoch.edu.au).

Attachment 1 - Example of Murdoch University Information Asset Register line item

Attachment 2 - Business Information Systems

Attachment 3 - Information Management Policy

Attachment 4 - Information Management Procedures

Attachment 5 - Information Classification Policy

Attachment 6 - Information Classification Procedure

Attachment 7 - ICT Security Policy

Attachment 8 - ICT Security standard

Attachment 9 - Password Policy

Attachment 10 - Digital Media Disposal Standard

Attachment 11 - IT Conditions of Use Policy

Attachment 12 - Vulnerability Management Procedure

Attachment 13 - ITS Project Management Policy

Attachment 14 - Murdoch University Recordkeeping Procedures Manual

Attachment 15 - Email and Electronic Messaging Policy

Attachment 16 - Murdoch University Web Content Recordkeeping Guideline

Attachment 17 - Policy Governance and Management Policy Attachment

Attachment 18 - Policy Governance and Management Procedure

Attachment 19 - Sample of the classification scheme

Attachment 20 - Business Classification Scheme

Attachment 21 - ITS Disaster Recovery Plan

Attachment 22 - Risk Management Policy

Attachment 23 - Risk Management Framework

Attachment 24 - Critical Incident Management Plan

Attachment 25 - Counter Disaster and Recovery Plan - University Records

Attachment 26 - IT Infrastructure Policy

Attachment 27 - IT Services Server Backup Standard

Attachment 28 - Murdoch University Property Risk Report

Attachment 29 - Restricted Access Archives

Attachment 30 - Recent disposal list - RDA2024 002 - Survey Records

Attachment 31 - Records Disposal Authorisation Form

Attachment 32 - Staff Announcement

Attachment 33 - Compulsory Compliance Modules

Attachment 34 - Murdoch University 2023 Annual Report Extract (Page 161)

Attachment 35 - State Record Clause in Contracts

Attachment 36 - Murdoch University Recordkeeping Plan Review Report - 2023

# 1 Principle One: Proper and Adequate Records

*Government organizations ensure that records are created and kept which properly and adequately record the performance of the organization's functions and which are consistent with any written law to which the organization is subject when performing its functions.*

## 1.1 Historical Background

Murdoch University was established by an Act of State Parliament. The *Murdoch University Act 1973* received Royal Assent on 6 June 1973 and came into operation on the date of its proclamation, 29 June 1973. The University was formally constituted on 25 July 1973, the date on which the Governor appointed the first members of the University Senate. The Murdoch University has three Australian campuses: its main campus on South Street in the suburb of Murdoch, and campuses at Rockingham and Mandurah. The Murdoch campus is located fifteen kilometers south-west of the Perth central business district and 8 kilometers from the port city of Fremantle.

The campus at Rockingham is located 49 kilometers south of the Perth CBD and situated on a 75-hectares site. The first students were enrolled at the campus in February 1996 for degree programs in Engineering and General Arts. The Rockingham campus ceased offering undergraduate courses from 2015 and now the focus is research and university pathway programs.

The Mandurah campus is located 72 kilometers south of the Perth CBD, comprises a joint facility between Murdoch University, Challenger Institute of Technology and John Tonkin College. The campus received its first students in 2004 in the School of Nursing.

Murdoch University's strong international orientation has seen the University establish partnerships for the delivery of University courses and research activities offshore, in Singapore, Dubai and Malaysia. The University began offering courses of study in Singapore in 1994, in 2007 in Dubai and in 2023 in Malaysia.

The partnership agreements contain clauses in relation to records that are created by the partners on behalf of Murdoch University which include requirements to comply with principles and standards advised by the University and ensuring that any disposal of records is notified to the University prior to ensure compliance with this Recordkeeping Plan.

## 1.2 Our Shared Purpose and vision

The University's Strategy 2023-2030 *Ngala Kwop Biddi* sets out the purpose of Murdoch University as being: *To change lives and society for the better through accessible education and research, contributing to the solution of societal and environmental challenges and providing an inclusive, caring community in which everyone can realize their potential.*

Our vision is to be widely recognised as the university of choice for people who care, who value inclusion, curiosity, and innovation, and who desire to make a positive social impact.

## 1.3 Strategic Themes

*Ngala Kwop Biddi* sets out three strategic themes which will guide and shape our activity over the lifetime of the Strategy.

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- Sustainability – Be a leading university in education, teaching, and translational research in sustainability, nurturing mindsets and creating solutions for a better and more sustainable world, a university renowned for its commitment to and expertise in, sustainability and environmental, social, and corporate governance (ESG), providing a model and the tools for behaving and operating sustainably.
- Equity, diversity & inclusion - Build a welcoming, diverse, and inclusive community and environment that is equitable and safe, and that provides a culturally safe and supportive environment where all members of our community can realize their potential.
- First Nations - Become the university of first choice for First Nations peoples, and an exemplar in embracing and promoting and benefiting from Indigenous knowledges and cultural inclusivity.

## Enablers

*Ngala Kwop Biddi* sets enablers which will underpin our ability to achieve our vision and support the achievement of the six objectives outlined in this Strategy.

- Empower and develop our people.
- Improve systems and processes.
- Develop and enhance facilities.

The pursuit of excellence in these priority areas is considered essential to the growth of the University's international reputation and resilience. The University operates in a highly competitive and dynamic environment where higher education is now a global enterprise incorporating international student recruitment, research collaborations, and expansion in the form of overseas branch campuses. The need to develop coherent strategies to meet the challenges posed by competition and the transformations underway in the higher education sector is therefore a crucial and ongoing process and a central consideration in the University's strategic planning processes.

## 1.4 Core Activities

The primary business activity of Murdoch University is teaching higher education and supporting a productive research culture.

(1) The functions of the University [as listed at s. 6(1) of the Murdoch University Act 1973] include the following:

- (a) to provide courses of study appropriate to a university, and other tertiary courses;
- (b) to encourage and participate in the development and improvement of tertiary education to meet the needs of the community;
- (c) to undertake and support scholarship, pure and applied research, invention, innovation, education and consultancy, and to apply those matters to the advancement and application of knowledge -
  - (i) to the benefit of industry, business and government; and
  - (ii) to the benefit and wellbeing of the Western Australian, Australian and international communities;
- (d) to commercially develop or commercially use, for the University's benefit, any facility, resource, or property (real or personal) of the University or in which the University has a right or interest (including, for example, study, research, knowledge and intellectual property and the practical application of study, research, knowledge and intellectual property), whether alone or with others;
- (e) to generate revenue for the purposes of funding the carrying out of its functions;

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(f) to serve the Western Australian, Australian and international communities and the public interest by -

(i) enriching cultural and community life; and

(ii) raising public awareness of educational, scientific and artistic developments; and

(iii) promoting critical and free enquiry, informed intellectual discussion and public debate within the University and in the wider society;

(g) to provide the facilities that are necessary or conducive to the attainment of the objects of the University and the performance of its functions.

(2) The University has all the powers, rights and privileges that are reasonably necessary to enable it to conduct its functions.

(3) The University may carry out its functions and exercise its powers, including the power to enter business arrangements, within or outside the State.

The core activities of Murdoch University, set out in *Ngala Kwop Bididi* are:

- Education - Deliver contemporary, accessible, and inclusive education, with a high quality and engaging student experience, producing graduates who are adaptable and have fresh perspectives and a social conscience.
- Research - Increase our impactful and progressive research in our areas of strength and excellent research across our disciplines.
- Engagement - Build engagement with our local community, our State, our Nation, and our global society, creating mutually beneficial partnerships at all levels.

## 1.5 Outsourced Functions

Refer 7.1 for a list of outsourced functions at Murdoch University.

## 1.6 Major Stakeholders

Murdoch University recognises the following as its major stakeholders:

- Australian Government (funding by) through the Department of Education and Training (Commonwealth).
- Courts.
- Employees.
- Entities that do business with Murdoch University.
- Government agencies (WA) including the Auditor General, FOI Commissioner and Ombudsman.
- Graduates
- Management.
- Parliament of Western Australia.
- Professional bodies.
- Independent Contractors.
- Public.
- Research funding Organisations.
- Researchers including historians, political scientists, and members of the community.
- State Records Office of Western Australia.

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- Students
- Universities Australia (peak industry body representing the Australian university sector).

## 1.7 Enabling Legislation

Murdoch University was established under and operates in accordance with the Murdoch University Act 1973, most recently amended in 2016.

## 1.8 Other Legislation

Other legislation and regulations affecting the functions and operations of Murdoch University, or administered by Murdoch University includes:

Aboriginal Heritage Act 1972 (WA)	Aboriginal and Torres Strait Islander Heritage Protection Act 1984 (Cth)
Heritage of Western Australia Act 1990 (WA)	Agriculture and Related Resources Protection Act 1976 (WA)
AgVet/AVPMA Scheme, including: <ul style="list-style-type: none"> <li>• Agricultural and Veterinary Chemicals (Administration) Act 1992 (Cth)</li> <li>• Agricultural and Veterinary Chemicals Act 1994 (Cth)</li> <li>• Agricultural and Veterinary Chemicals Code Act 1994 (Cth)</li> <li>• Agricultural and Veterinary Chemicals (Western Australia) Act 1995 (WA)</li> <li>• Biosecurity and Agriculture Management Act 2007 (WA)</li> </ul>	Animal Welfare Act 2002 (WA)
	Anti-Discrimination/Equal Opportunity Legislations
	Disability Discrimination Act 1992 (Cth)
	Disability Services Act 1993 (WA)
	Equal Opportunity Act 1984 (WA)
	Racial Discrimination Act 1975 (Cth)
	Sex Discrimination Act 1984 (Cth)
Anti-Money Laundering and Counter Terrorism Financing Act 2006 (Cth)	Workplace Gender Equality Act 2012 (Cth) (previously Equal Opportunity for Women in the Workplace Act 1999)
Australian Charities and Not-for-Profit Commission Act 2012	Age Discrimination Act 2004 (Cth)
Australian Code for the Care and Use of Animals for Scientific Purposes (8th edition 2013)	Australian Human Rights Commission Act 1986 (Cth)
Australian Code for the Responsible Conduct of Research	Australian Research Council Act 2001 (Cth)
Autonomous Sanctions Act 2011 (Cth)	Biosecurity Act - Biosecurity Act 2015 came into force on 18 May 2017
Telecommunications Act 1997 (Cth)	Building Act 2011 (WA)
Building Energy Disclosure Act 2010 (Cth)	Charitable Trusts Act 1962 (WA) and Trustees Act 1962 (WA)

Child Care Services Act 2007 Child Care Services (Child Care) Regulations 2006 and Child Care Services Regulations 2007	Commercial Tenancies (Retail Shops) Agreements Act 1985 (WA)
Competition and Consumer Act 2010 (Cth) and Fair-Trading Act 1987 (WA)	Conservation and Land Management Act 1984 (WA)
Copyright Act 1968 (Cth)	Corporations Act 2001 (Cth)
Corruption, Crime and Misconduct Act 2003	Defence Controls Act 2012
Environment Protection & Biodiversity Conservation Act 1999 (Cth)	Environmental Protection Act 1986 (WA)
ESOS Scheme including: <ul style="list-style-type: none"> <li>• Education Services for Overseas Students Act 2000 (Cth)</li> <li>• The National Code established under that Act</li> <li>• Education Services for Overseas Students Act (TPS Levies) Act 2012 (Cth)</li> <li>• Education Services Providers (Full Fee Overseas Students) Registration Act 1991 (WA)</li> </ul>	Exotic Diseases of Animals Act 1993
	Financial Management Act 2006 (WA)
	Freedom of Information Act 1992 (WA)
	Gene Technology Act 2000 (Cth) and Gene Technology Act 2006 (WA)
	Health Act 1911 (WA)
Health Practitioner Regulation National Law (WA) Act 2010	Higher Education Support Act 2003 (Cth)
Human Anatomy Act 1930 (WA)	Human Tissue and Transplant Act 1982 (WA)
Industrial Relations legislative schemes, including: Fair Work Act 2009 (Cth) and Industrial Relations Act 1979 (WA)	Liquor Control Act 1988 (WA)
	Migration Act 1958 (Cth)
National Health and Medical Research Council Act 1992 (Cth) and National Statement on Ethical Conduct in Research Involving Humans 2007	Work Health and Safety Act 2020 (WA)  Work Health and Safety (General) Regulations 2022
Other industrial relations/employment matters including: <ul style="list-style-type: none"> <li>• Long Service Leave Act 1958 (WA)</li> <li>• Public and Bank Holidays Act 1972 (WA)</li> <li>• Superannuation Act 1990 (Cth)</li> <li>• Superannuation Guarantee Charge Act 1992 (Cth)</li> <li>• Workers' Compensation &amp; Injury Management Act 1981 (WA)</li> <li>• Defence Reserve Service (protection) Act 2001 (Cth)</li> <li>• Juries Act 1957 (WA)</li> <li>• Emergency Management Act 2005 (WA) – Emergency Management leave (paid and unpaid)</li> <li>• School Education Act 1999 (WA) - Employment of Children</li> </ul>	Occupiers' Liability Act 1985 (WA)
	Other Intellectual Property schemes, including: <ul style="list-style-type: none"> <li>• Circuit Layouts Act 1989 (Cth)</li> <li>• Designs Act 2003 (Cth)</li> <li>• Patents Act 1990 (Cth)</li> <li>• Plant Breeder's Rights Act 1994 (Cth)</li> <li>• Trademarks Act 1995 (Cth)</li> </ul>
	<ul style="list-style-type: none"> <li>• Privacy Act 1988 (Cth)</li> <li>• General Data Protection Regulation</li> </ul>
	Public Health Act

Payment Card Industry Data Security Standards	Personal Property Securities Act 2009 (Cth)
Public Interest Disclosure Act 2003 (WA)	Quarantine Act (1908) and Quarantine Regulations (2000)
Residential Tenancies legislation including: • Residential Tenancies Act 1987 (WA), • Residential Tenancies Amendment Act 2011 (WA) • Residential Tenancies Regulations 1989 (WA)	• Retirement Villages Act 1992 (WA). • Retirement Villages Regulations 1992 (WA). • Fair Trading (Retirement Villages Interim Code) Regulations (No.2) 2014, prescribed under the Fair-Trading Act 2010 (WA), section 46.
Rights in Water and Irrigation Act 1914 (WA)	Spam Act 2003 (Cth) and Do Not Call Register Act 2006 (Cth)
State Records Act 2000 (WA)	Statutory Corporations (Liability of Directors) Act 1996 (WA)
Sunday Entertainments Act 1979 (WA)	Tertiary Education Quality Standards Agency Act 2011 (Cth)
Tax Legislation, including the following Commonwealth Acts: • A New Tax System (Goods and Services Tax) Act 1999 and related Acts • Fringe Benefits Tax Act 1986 and related Acts • Income Tax Act 1986	Foreign Interference Legislation and Guidelines including: - Australia's Foreign Relations (State and Territory Arrangements) Act 2020 - Australian Government's Foreign Influence Transparency Scheme - 2021 Guidelines to Counter Foreign Interference in the Australian University Sector - Defence Trade Control Act
Working with Children (Criminal Record Checking) Act, 2004	Biodiversity Conservation Act 2016
Murdoch University Act 1973 (WA)	Modern Slavery Act 2018 (Cth)
Radiation Safety Act (1975)	Indigenous Education (Targeted Assistance) Act 2000 (Cth)
Security of Critical Infrastructure Act 2018 (Cth)	•Animal Welfare Act 2002 (WA) •Australian Code for the Care and Use of Animals for Scientific Purposes •National Livestock Identification System - Standard for Visual Tags (NLIS)
Firearms Act 1973 (WA)	Weapons Act 1999 (WA) Weapons Regulations 1999 (WA)

## 2 Principle Two: Policies and Procedures

*Government organisations ensure that recordkeeping programs are supported by policy and procedures.*

### 2.1 Records Management and Business Information Systems

#### 2.1.1 Records Management System

Murdoch University has adopted a decentralised records management model. This approach reflects practical considerations such as the need for staff to have ready and frequent access to records (the University has a wide geographical spread) as well as resourcing and operational constraints.

Content Manager (Formerly HP TRIM) is the University's records management system. The University implemented Content Manager in 1999 for physical record management.

- In 2019 Content Manager was implemented as the primary recordkeeping system for what are high-value, primarily paper-based corporate records created and kept by the University Secretary's Office and physical records transferred to from other areas of the University.
- In 2023 the University successfully transitioned Content Manager to a third party hosted cloud service and recently upgraded to version 10.1.
- Content Manager is used to effectively manage the life cycle of physical and digital records by managing security protocols, access to files, the tracking of and transfer of physical records to storage, and the disposition of records.
- During the period of the COVID-19 pandemic the University transitioned to primarily using Microsoft365, enhancing the ability for staff to collaborate, communicate, store and share university information assets. This transition was executed quickly in order for the University to continue to operate while the majority of staff were working remotely. The COVID-19 pandemic also placed on hold any further expansion of the use of Content Manager across Murdoch.
- Work is now under way to develop a strategy to develop enhanced information and records management protocols, policies and processes to ensure Murdoch can manage information assets created and kept in Microsoft 365 (M365) and Content Manager in accordance with the requirements of the *State Records Act 2000*. This record keeping approach for unstructured information assets will explore the people, processes and technology options available to configure M365 and or integrate with Content Manager to meet recordkeeping requirements.

#### 2.1.2 Business Information Systems

Murdoch University has established an Information Asset Register (IAR) as a part of the Privacy and Responsible Information Sharing Legislation (PRIS) preparation activities. This asset register has captured high-risk, high value information assets (Physical and Digital) in Murdoch University and will be updated every 2 years by the University Secretary's Office.

The IAR has captured below details of the assets and provides a holistic view of systems that are in place in the university. IAR is saved in a secured location with restricted access to limited people in Murdoch University.

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- Asset Information
  - Asset Status
  - Asset Description
  - Format (Electronic/Physical)
  - Location
  - Creation date, Last updated & Update frequency
- People
  - Information Originator
  - Information Steward & Information Custodian
  - Information Users
- Risk Management
  - Confidentiality, Integrity & Availability
  - Business Impact Level (BIL)
  - BIL Justification (Using Murdoch University BIL Table)
  - Protective Marking
  - Record Disposal Classification
  - Disposal Action & Custody

Please refer to Attachment 01 for an example of Murdoch University Information Asset Register line item.

The list of business systems and their description is below. These systems are not integrated with Content Manager however, relevant Information Stewards/custodians are consulted, and approvals are obtained when accessing, releasing or destroying the information.

Murdoch University has implemented several robust stand-alone business information systems. These include systems that manage mission-critical functions such as student and human resource management activities, financial transactions, academic research, and teaching and learning records. None of the systems are currently integrated with the records management system. However, relevant Information Stewards/custodians are consulted, and approvals are obtained when providing access or destroying the information held in the system.

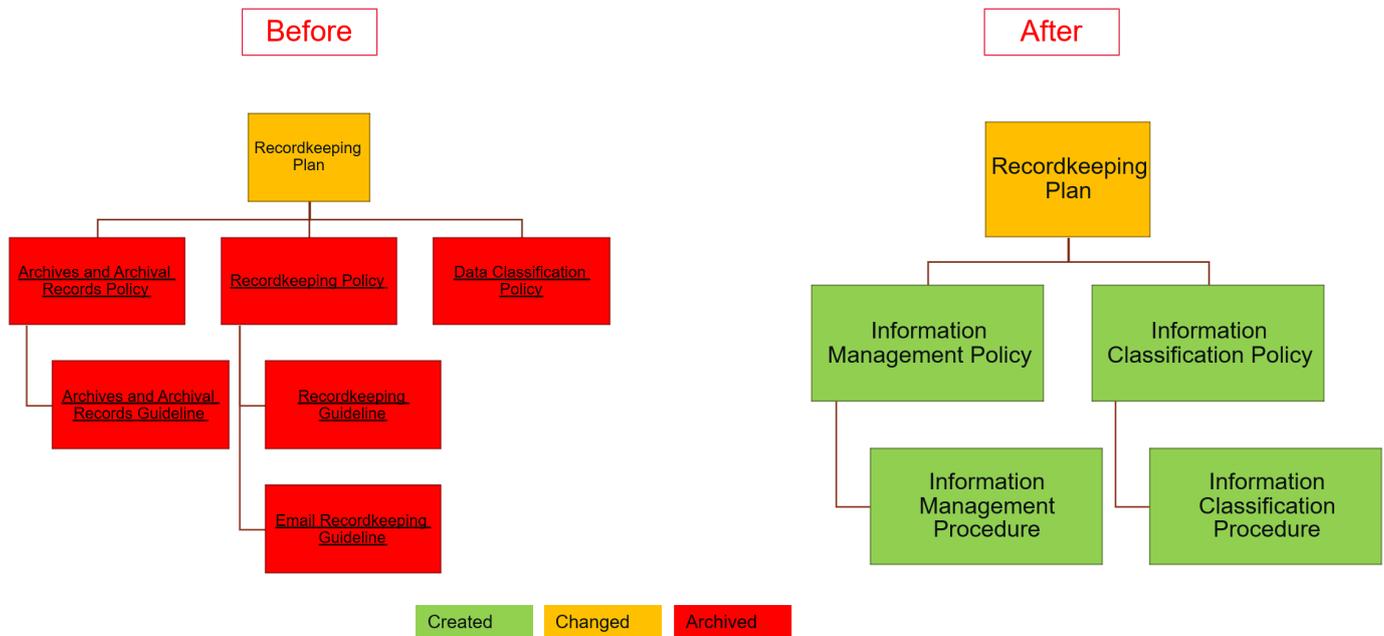
Attachment 2 includes major Business Information Systems used in Murdoch University.

## 2.2 Records Management Policy and Procedures

Murdoch University's Records Management Policies and Procedures are managed by the University Secretary's Office.

A project has recently been completed which reviewed and updated the relevant policies and guidelines to achieve a more simplified structure to support the Recordkeeping Plan. The below diagram shows the transition.

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- For the *Murdoch University Information Management Policy* refer to Attachment 3
- For the *Murdoch University Information Management Procedures* refer to Attachment 4
- For the *Murdoch University Information Classification Policy* refer to Attachment 5
- For the *Murdoch University Information Classification Procedure* refer to Attachment 6

Additionally, the following information supports the records management policy and procedure:

- Access considerations are incorporated in relevant IT policies and business rules governing system security and user access permissions. This includes the *ICT Security Policy* and supporting *ICT Security standard* that comprehensively address requirements for the security of ICT systems. It includes security controls and the authorisation and management of user access to ICT systems. The User Access provisions in the *ICT Security Policy* references the *Information Management Policy*. The Password Policy aims to protect end-user passwords from unauthorised or unintended disclosure. The *Information Classification Policy* strengthens the security framework around the University's information management systems.

Metadata management – the University's information systems are configured to automatically create and capture standard metadata. Consequently, the automated application of metadata to digital records routinely occurs as a normal part of day- to-day business processes. The procedures manual contains guidance in relation to the capture of metadata in systems managed by the Records Management & Archives section.

- Migration strategy – the University takes an accountable and planned approach to its migration actions including planning and design, stakeholder consultation, data verification, and stakeholder follow-up liaison. Migration actions are undertaken on a case-by-case basis when upgrades to the hardware and software environment occur or when systems are decommissioned. Migration actions are also undertaken when the University relocates data to a cloud data center. However, *ITS Project Management Policy* is in place to ensure Information Technology projects are managed in an appropriate manner. This policy covers the ITS projects including, but not limited to, projects

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concerned with infrastructure, security, communications, application support, software development, and business analysis, such as business process mapping.

- For the *Murdoch University ICT Security Policy* refer to Attachment 7
- For the *Murdoch University ICT Security standard* refer to Attachment 8
- For the *Murdoch University Password Policy* refer to Attachment 9
- For the *Murdoch University Digital Media Disposal Standard* refer to Attachment 10
- For the *Murdoch University IT Conditions of Use Policy* refer to Attachment 11
- For the *Murdoch University Vulnerability Management Procedure* refer to Attachment 12
- For the *Murdoch University ITS Project Management Policy* refer to Attachment 13

### 2.2.1 Correspondence capture and control

Responsibility for correspondence capture and control are devolved functions at the School and Office level. The Records Management & Archives section has a Procedures Manual. The Manual covers responsibilities for classifying, indexing and registration, establishing and maintaining file titling and file numbering conventions.

The Recordkeeping Procedures Manual is disseminated to all staff via the Records Management & Archives homepage. This is due for review which will be completed in March 2025.

- For the Murdoch University Recordkeeping Procedures Manual refer to Attachment 14

### 2.2.2 Mail Distribution

The incoming and outgoing mail capturing for recordkeeping purposes sits with the relevant service unit. The Campus Operations Team holds the responsibility of University's Mail and Logistics Services for non-electronic mail distribution (internal and external). The mail services team collect, sort and deliver mail and store items throughout our onshore campuses. Details for mail collection and distribution is disseminated to all staff via the University's website.

### 2.2.3 File creation and closure

Responsibility for the central filing system including procedures for file creation and closure and maintaining the central file register are outlined in the procedures manual.

### 2.2.4 Disposal

The General Retention and Disposal Authority for State Government Information DA 2023-004 and the Western Australia University Sector Disposal Authority DA 2022-005 specify the minimum retention periods that must be observed before records can be legally destroyed.

The authority to sign off on the destruction of records resides with the University's Vice Chancellor (Chief Executive Officer). This authority is delegated to the Manager, Records Management & Archives in accordance with the powers vested in the Vice Chancellor under s.3(a) Statute No. 25 Vice Chancellor.

The preparation and authorisation of formal disposal lists supports organisational accountability and transparency by demonstrating that the University's records have been disposed of in accordance with authorised disposal authorities and government regulations.

The following guidelines assist staff in following correct procedure for the disposal of records:

- Identify records for disposal.

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- Set aside any records with potential long-term historical value and liaise with the Records Management & Archives Office concerning their transfer to the University Archives.
- Use the 'Records Disposal List Form' to prepare a listing of records to be authorised for disposal in accordance with the disposal authorities;
- Consult the *General Disposal Authority for State Government Information* and the *Western Australian University Sector Disposal Authority* to determine disposal action for the records.
- Completed Records Disposal List forms should include a description of the records identified for disposal, the dates covered by the records, the format of the records and the disposal date and disposal authority reference numbers that are applied to the records.
- If a record fits into more than one class of records in the disposal authorities, always choose the longest retention period.
- If the disposal trigger has not occurred for some records, do not proceed with disposal for those records but set a future review date;
- Forward the 'Records Disposal List Form' and a signed 'Records Disposal Authorisation Form' to the Manager, Records Management & Archives once it has been authorised by the appropriate Head of Office or School.
- The list of records identified for disposal will be reviewed by the Manager, Records Management & Archives. Disposal action may be undertaken once written authorisation is received.

### 2.2.5 Email management

The *Email and Electronic Messaging Policy* provides guidance to the University community when using email and electronic messaging facilities, that the systems are used appropriately and there are adequate processes in place to protect all users, University systems and the University's reputation. The Email and Electronic Messaging Guidelines in conjunction with Information Management policy capture the access, retention and authorised disposal of email transmissions. It addresses organisational accountability requirements and encourages the effective and efficient management of email accounts.

For the Murdoch University *Email and Electronic Messaging Policy* refer to Attachment 15

### 2.2.6 Website management

the University has a number of policies pertaining to its websites including the *Web Content Recordkeeping Guideline*. The Murdoch University intranet is used primarily for informational purposes. The website essentially replicates information originating from a source of truth elsewhere.

The *Web Content Recordkeeping Guideline* is due for review and update. This will be completed in March 2025.

For the Murdoch University *Web Content Recordkeeping Guideline* refer to Attachment 16

## 2.3 Certification of Policies and Procedures

- The approval and review of University's policies and procedures is captured by the *Policy Governance and Management Policy* cover the approval authorities, owners and hierarchies.
  - For the *Murdoch University Policy Governance and Management Policy* refer to Attachment 17
  - For the *Murdoch University Policy Governance and Management Procedure* refer to Attachment 18

[OFFICIAL] - Compromise of the information would be expected to cause minor harm/damage to the University.

- The policies and guidelines are promulgated throughout the University via the Policy and Procedure Management (PPM) system on the Murdoch University Intranet.

## 2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for Murdoch University cover all categories identified in Principle 2 of State Records Commission Standard 2 and are assessed as operating efficiently and effectively across the University.

Murdoch University Recordkeeping Procedures Manual and Web Content Recordkeeping Guideline are due for review. This is planned to be completed by the end of March 2025.

Policies are scheduled for reviewing every three years.

### 3 Principle Three: Language Control

*Government organisations ensure that appropriate controls are in place to identify and name government records.*

#### 3.1 Thesaurus (Other than Keyword AAA) Implemented

Murdoch University uses a subject-based classification scheme to control the titling of administrative records at file level. A sample of the subject based classification scheme is attached (refer to Attachment 19). The classification scheme uses a hierarchical structure. Records are aggregated at four levels including a free-text level if required. The Business Classification Scheme is also developed in Murdoch University to ensure consistent titling and effective retrieval of all information. This Business Classification Scheme is used when creating records in Content Manager.

- For the Murdoch University Business Classification Scheme refer to Attachment 20

#### 3.2 Assessment of its Effectiveness

The classification scheme effectively and adequately meets the requirements of the University's central recordkeeping filing system. The use of controlled vocabulary and file titling ensures consistency in the classification of the University's records and facilitates the efficient searching and retrieval of records as well as disposal sentencing. It is sufficiently flexible to accommodate developments and changes to the University's organisational structure and activities as occur from time to time.

#### 3.3 Identified Areas for Improvement

The Business Classification system is fit for purpose. It will be integrated when enhancement/updates are completed in Microsoft 365 environment expecting to complete this by December 2025.

The Business Classification system is disseminated to all staff via the Records Management & Archives homepage.

## 4 Principle Four: Preservation

*Government organisations ensure that records are protected and preserved.*

- Murdoch's current 'Counter Disaster and Recovery Plan – University Records' developed in 2018 is being revised with completion scheduled by December 2024. It has been retitled as 'Physical Records Disaster Recovery Plan (PRDRP)'. In summary the revision:
  - Includes updates from recent IAR developed.
  - Focuses on the physical records only.
  - Responsibilities for disaster recovery, incident management and business continuity initiatives for digital records stored in Content Manager and other IT systems have been captured in the ITS Disaster Recovery Plan 2.2.
  - Murdoch University's vital records are identified in the Physical Records Disaster Recovery Plan, and most were captured in the IAR. The remaining vital records will be added as part of the revisions to the IAR by December 2024.
  - The IAR project identified physical areas where some high risk/high value hardcopy records are stored. A program to assess the conditions of these physical storage areas across campus is being developed. The findings will inform updates to the Physical Records Disaster Recovery Plan being revised.
- A comprehensive IT Services Disaster Recovery Plan has been developed This plan outlines the Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for the University's critical IT systems and core services, including digital records. This Disaster Recovery Plan is disseminated to all Murdoch University staff.
- Murdoch University Critical Incident Management Plan has been developed by the Audit and Risk Management Office and disseminated to all staff.
- Murdoch University *Risk Management Policy* and *Risk Management Framework* have been developed in 2023 to provide a foundation and structure for effective and fit for purpose risk management across the university. The policy and risk management framework have adopted the Risk Management principles set out in AS ISO 31000:2018 Risk Management – Guidelines and also aligned with University's Strategic Plan 2023-2023 *Ngala Kwop Biddi*.
- All areas of the University are responsible for identifying, managing, and reporting on risks to the achievement of their operational objectives, including those that impact upon the University's strategic objectives, and are required to apply the new Risk Assessment Criteria and Risk Matrix in their risk assessments. The University's Risk Assessment template should be used in this process.
  - For the *Murdoch University ITS Disaster Response Plan* refer to Attachment 21
  - For the *Murdoch University Risk Management Policy* refer to Attachment 22
  - For the *Murdoch University Risk Management Framework* refer to Attachment 23

## 4.1 Assessment of Risks

### 4.1.1 On Site Storage

Murdoch University has current and active records located in onsite storage at its Murdoch and Mandurah campuses. Contractual arrangements are in place with offshore partners in respect of records held at their sites.

The Central Records storage facilities include:

- Compactus units;
- Metal shelving units;
- Lockable metal filing cabinets;
- Premises holding high-value archival records are:
  - constructed of fire-resistant materials with concrete floors and roofs, and masonry walls;
  - are secured by a monitored access control system. Access to buildings is restricted to authorised staff. The security system includes closed-circuit television (CCTV) surveillance at building entry points;
- Premises are patrolled 24/7 by security staff;
- Thermal detectors are installed in offices and linked to the University's automatic fire detection and alarm system. The alarms are monitored by the WA Fire Brigade and the University's Security Office;
- Most offices and storage areas are air-conditioned between 8.00am-5.00pm;
- Digital records are maintained on dedicated servers in access-controlled and secure server rooms. The rooms are air-conditioned 24/7, and temperature and humidity levels are monitored. The rooms are fitted with CCTV security surveillance technology and equipped with fire detection and suppression systems.

The main disaster threatening records stored onsite comes from fire and the consequent damage to records caused by the use of water in fire suppression activities. With the storage conditions as described here the risk is assessed as "low".

### 4.1.2 Offsite Storage

Records held offsite are in a commercial storage facility operated by Iron Mountain Australia Group Pty Ltd. Iron Mountain's services are approved under Common Use arrangement (CUA) CUAREC2015 for the supply of 'Storage, Retrieval, Destruction and Digitisation of Paper and Electronic Records' approved by the State's Department of Finance. Records stored at this facility include electronic records held in conditions deemed appropriate for this medium.

The main disaster threatening records stored offsite comes from fire risk and building-related issues such as the potential malfunction of the sprinkler system. Murdoch University staff have personally inspected the premises and, with the storage conditions as described here, the risk is assessed as 'low'.

Access to physical records is via a secure web platform administered by Iron Mountain. Requests for scheduling collections and deliveries is strictly limited to authorised staff of the University. Iron Mountain utilise Radio Frequency Identification technology (RFID) for inventorying and tracking movements of records.

[OFFICIAL] - Compromise of the information would be expected to cause minor harm/damage to the University.

### 4.1.3 Data Centre and Cloud Storage

Murdoch University has entered, and will continue to enter, into arrangements with third party providers to store electronic data/digital information and records in data centres and/or cloud storage facilities. Details are in the table below.

Information system /categories of records	Name of service provider	Geographic location of data center/ Cloud storage	Geographic location of data center/ Cloud storage backups	Risk assessed Y/N
Oracle Service Cloud / customer relationship management	Oracle	Australia	Australia	Y
Echo360 / lecture recordings	Echo360	Australia	Australia	Y
Microsoft Office 365 / email, document management, collaboration	Microsoft	Australia	Australia	Y
CareerHub / customer relationship management	CareerHub	Australia	Australia	Y
ELMO / learning management	ELMO Talent Management Software	Australia	Australia	Y
Informz / email marketing	Informz	USA	USA	Y
OneStopSecure / payment portal	UniLink Data Systems	Australia	Australia	Y
ServiceNow / service and enquiry management	ServiceNow	Australia	Australia	Y
Sitefinity / content management	Progress Software Corporation	Australia	Australia	Y
Oracle Integration Cloud Services / integration service	Oracle	USA	USA	Y
WebCC / call centre	Telstra	Australia	Australia	Y
Content Manager	Information Proficiency	Australia	Australia	Y
LMS / Moodle	Azure	Australia	Australia	N
LMS / Blob storage	Azure	Australia	Australia	N
Callista non-prod	Azure	Australia	Australia	N
PnC Records	Workday	Australia	Australia	Y
Student Data	SalesForce	Australia	Australia	N
Staff personal information	Locamote	Australia	Australia	Y
Email metadata	Valimail	Australia	Australia	Y
System and software data	Tenable	Australia	Australia	Y

Murdoch University does not undertake these arrangements lightly and follows a set of guiding protocols and assess risk based on the sensitivity of the data. The following approach is applied:

- Data Privacy Protection:
  - It is a Murdoch University preference to deal with an Australian entity. The University has adopted the principles of the Australian Privacy Act of 1988 into its *Privacy Policy* and refers to these in contracts.
  - Contractual provisions regarding privacy are also included when unable to get Australian entities. ; or
  - When the privacy provisions cannot be provisioned into an agreement then there are clauses and data processing agreements and/or policies that are applied to protect the data. The level and rigour of the clauses will vary with the confidentiality and sensitivity of the data.
- Data Sovereignty:
  - Murdoch University prefers to have data stored in Australia and contractual obligations aligned to that outcome; or
  - Where vendors are not supportive of Australian data storage, or will not commit to Australian data storage, then preference is pushed towards UK and Europe (under the GDPR/United Kingdom Data Protection Act 2018) , before Canada, before United States (US has rights to review all data) before all other options.
- Data Ownership:
  - Murdoch University ensures that all data under a Software as a Service (SaaS) / Platform as a service (PaaS) / Infrastructure as a service (IaaS) arrangement will be returned to Murdoch University.
  - Where applicable all copies of Murdoch University data stored in the Cloud will be destroyed after return of data, when exiting a relationship with a third party. The exception to this is under a backup scenario (where the Murdoch University data is occupying a shared environment where the backup data cannot be isolated for Murdoch University); and
  - Data cannot be used for any purpose other than to support the solution, except where there is an agreement in writing between Murdoch University and the third party and the data has been sufficiently de-identified such that it is not reasonably traceable to Murdoch University or is only used in a summarised form.
- Data Protection:
  - Murdoch University data are stored in the cloud backed up and restorable; and
  - Murdoch University data have appropriate cyber security protection applied.

#### 4.1.4 Storage of Archives

At its meeting held on the 18th of February 1992 the Library Board of Western Australia authorised Murdoch University to establish a purpose-built Archives facility under section 26(1) of The Library Board of *Western Australia Act 1951-1983*. Under this agreement the University is authorised to manage and retain custody of all the archives of the University.

Concerning the requirements of section 32(1) of the *State Records Act 2000 (WA)*, Murdoch University's current position is to arrange the annual transfer of its State archives to the State archives collection once they become twenty-five (25) years old.

The University is aware that State archives cannot currently be transferred to the State Records Office until a new facility is made available. In the interim, the University retains its state archives in accordance with State Records Office directive Directions for Keeping State Archives awaiting transfer to the State Archives Collection. This includes:

#### Environmental Conditions

- The University Archives facility was purpose-built in 1992 and is located on the ground floor of the Chancellery building. There are no serious environmental risks to the Archives such as may be posed by close proximity to heavy industry or manufacturing zones, airfields, and floodplains. The storage area is isolated from materials such as food, rubbish, paint or fuel, and away from water storage and pipes.
- The Archives facility does not have a direct frontage to the natural environment but stands a considerable distance inside the Chancellery building's main point of entry. Together with its brick and concrete construction and single point of entry, this ensures that incidence of dust, dirt, insects and mould entering the facility is minimised.
- The Archives has a 24/7 air-conditioned environment. The air-conditioning system does not allow humidity levels to be controlled. However, routine inspections have not found any evidence of damage to records caused by mould activity or warping of paper records that can be caused by high humidity levels. Cartons of records are not placed along the top of shelving units in order to permit the free circulation of air and thereby preventing the growth of mould.
- The windowless environment of the Archives eliminates the entry of natural light. This lack of exposure to light prevents harm to the records caused by sustained exposure to light such as fading, discoloration and brittleness. The fluorescent lights fitted in the room are switched on only when staff enter the room and are turned off when they exit the room.
- The Archives facility is routinely cleaned to prevent the build-up of dust and dirt. Staff examine the facility for possible infestations of termites, silverfish, cockroaches, spiders and vermin. It is also routinely examined for possible termite infestation by the University's pest control contractor. The Archives facility is fumigated on a bi-annual basis.

#### Storage Mechanisms

- Shelving in the Archives consists of a compactus unit, powder-coated metal shelving units, lockable metal filing cabinets, an architectural drawings storage cabinet, and a fire retardant safe. All cartons are stored in shelving fixtures above floor level to minimise the exposure of records to water resulting from limited flooding.
- State archives are housed in high-grade archival cartons. This offers maximum physical support during the handling of cartons, and the water-absorbent quality of the cardboard provides some protection against water damage.
- Architectural drawings and plans are stored flat without any folding. Hardcopy photographs are stored in albums or as loose prints in cartons. Discussions are underway to transfer the drawings and photographs to Murdoch University Library Special Collection where there are appropriate storage facilities.

#### Security and Disaster Management

- The Archives facility is a secure environment with a single point of entry. Access is restricted to authorised staff via an Abloy high security key and cylinder system. The door is kept locked when unattended.
- The Archives is constructed of fire-resistant materials. Its masonry (brick) walls and concrete floor and ceiling provide a very high degree of protection from fire originating from external sources.

[OFFICIAL] - Compromise of the information would be expected to cause minor harm/damage to the University.

- The Archives is fitted with thermal (i.e. heat) detectors linked to the University's automatic fire detection and alarm system. The alarm system is monitored by the WA Fire Brigade and the University's Security Office. They are alerted by an immediate transmission of the alarm when a detector is activated.
- A portable hand-held fire extinguisher is located within 2 metres of the Archives facility.
- The Archives facility is included in the Physical Records Disaster Recovery Plan (PRDRP).

#### Access and Control

- State archives are identified in the Western Australian University Sector Disposal Authority and listed and identified in the recordkeeping system.
- High risk and high value information assets are identified in the Murdoch University Information Asset Register (IAR) and appropriate classification label had been identified following the risk assessment.
- The Information Management Policy and Information Management Procedure provide guidance and authority for managing requests for access to the University's archives.
- Confidential records, or records transferred with restricted access provisions are only released with written permission of the donor, originating body or nominee, unless access is granted under the *Freedom of Information Act 1992*.
- Documents and materials are not added or removed to records once they have been closed.

#### 4.1.5 Storage of Backups

Electronic backups of Murdoch University's electronic information are held offsite at a secure location using a commercial supplier (Iron Mountain). Cloud files are backed up from Australia East (Sydney) to Australia Southeast (Melbourne).

#### 4.1.6 Quantity of Records

Approximate quantities of records as below

- 250 linear metres of temporary hard copy records stored onsite.
- 1050 linear metres of temporary hard copy records stored offsite.
- 390 linear metres of hard copy State archives stored onsite.
- 300 - 400 Tb of digital information/data held in all systems.

#### 4.1.7 Security and Access

Murdoch University has reviewed and assessed its records storage areas including server rooms and the availability of access to records for security risk. Appropriate security measures are in place to protect hard copy and electronic records, ICT systems, infrastructures and applications. Microsoft 365 access is protected by two factor authentication.

## 4.2 Assessment of the Impacts of Disasters

As stated at 4.1.1 the main disaster threatening records stored onsite at Murdoch University comes from fire and resultant damage to records caused by the use of water in fire suppression actions. The risk of a disaster involving fire occurring to the records of Murdoch University has been assessed as low. The impact of a disaster on the University's records has therefore been assessed as low. There are sufficient strategies in

[OFFICIAL] - Compromise of the information would be expected to cause minor harm/damage to the University.

place to ensure that business activities of the University are not unduly affected in the event of the more likely disaster occurring.

Refer to the Murdoch University *Critical Incident Management Plan* and *ITS disaster Recovery Plan* along with The *Counter Disaster and Recovery Plan - University Records*.

- For the *Murdoch University Murdoch University Critical Incident Management Plan (CIMP) v.11* refer to Attachment 24

## 4.3 Strategies in Place for Preservation and Response

The following strategies have been implemented by Murdoch University to reduce the risk of disaster and for quick response should a disaster occur:

### 4.3.1 Vital Records Program

Vital records in hard copy format are stored in the Records Management & Archives Office; in a locked, fire resistant safe, in industry-standard archival cartons stored in the University Archives facility. These records are accessible only to authorised staff. All original signed contracts and agreements are scanned as PDF documents and kept available for daily business use.

Vital records have been identified in Murdoch University as below:

- Annual Report and Handbook.
- Bank account information.
- Buildings specifications, electrical, sewer, water, maintenance agreements, architectural drawings, campus plans and maps, property valuation reports
- Committee minutes, agendas and supporting documents of the Senate and Academic Council, School Boards, School Learning and Teaching Committees, and Boards of Examiners.
- Computer software programs and user manuals of mission-critical computer systems
- Course delivery and curriculum development including teaching materials, lecture notes and study guides.
- Delegations of authority
- Disaster preparedness and recovery plans, and emergency management plans.
- Financial and accounting records including current or unaudited accounting and tax records and financial statements, cash flows, budgets, university investments and loan arrangements, accounts payable claims, and accounts receivable records.
- Insurance policies and current claims.
- Legal documents including original signed contracts, agreements, leases, licences, memoranda of understanding, patents, and certificates of registration including trademarks and business names.
- Legal instruments relating to the ownership of land and property including deeds and certificates of title.
- Litigation - current litigation.
- Policies of the University.
- Research data and reports of current research projects.
- Staffing records including payroll, superannuation.
- Student records including enrolment details, assessment, academic transcripts, assessment, tuition fees, graduation records.

Currently, *Counter Disaster and Recovery Plan - University Records* captures the identification and protection of 'vital records'. Effective procedures have been established for the protection of original signed legal contracts and agreements, most of which are vital records. The Legal Services Office create PDF copies of all contracts and agreements and maintain these in the Content Manager database. The electronic copies are readily available to any authorised staff for regular operational use. All original signed contracts and agreements are maintained by the Records Management & Archives Office. A hard copy of the final, signed document is also provided to the originating Office or School.

- For the Murdoch University Counter Disaster and Recovery Plan - University Records refer to Attachment 25

Additionally, the majority of these vital records have been captured in the Murdoch University Information Asset Register (IAR) includes the systems they are held in, the users who have access and overall classification level of the system. The Murdoch University Information Classification Policy and Procedure outlines how to classify, use and share these records. Murdoch University's vital records are identified in the Physical Records Disaster Recovery Plan which will sit alongside the Critical Incident Management Plan and this is expected to be completed by December 2024.

#### 4.3.2 Backup Procedures for Electronic Records

The University's main servers are housed in a temperature-controlled environment, with controlled access, an uninterruptible power supply, and a fire-detection alarm system.

Murdoch University performs backups of electronic records routinely including nightly, weekly and monthly backups. Nightly back-ups are made to disk. A server room is maintained in a building located 300+ metres from the primary servers for this purpose.

A full backup to magnetic tape is initiated on a weekly basis and stored at a secure offsite location provided by Iron Mountain.

*IT Infrastructure Policy* and *IT Services Server Backup Standard* establish a consistent and reliable backup process for servers managed by Murdoch University IT Services.

- For the *Murdoch University IT Infrastructure Policy* refer to Attachment 26
- For the *Murdoch University IT Services Server Backup Standard* refer to Attachment 27

#### 4.3.3 Preservation of Electronic Records

Murdoch University has implemented the following processes to ensure that electronic records are accessible and readable for as long as required:

- Media used to store electronic information is periodically checked to ensure the information is accessible and readable.
- Digital storage media is refreshed as necessary to prevent data loss. A multiple year lifecycle for all University owned and leased IT equipment is maintained to ensure that it is replaced on a regular basis. All IT equipment is subject to a defined deployment lifecycle.
- Removable storage devices are too numerous and randomly used to be incorporated in ITS data preservation strategies. The University is aware of the risks in relation to the use of such devices, in particular USB flash drives. The Information Classification procedure discourages the use of external storage devices to safeguard the university information. There is also consideration to eliminate using external storage devices in the future

- Electronic records requiring long-term retention are maintained in an appropriate format for long-term preservation. The University takes an accountable and planned approach to its migration actions including planning and design, stakeholder consultation, data verification, and stakeholder follow-up liaison.
- IT Services Disaster Recovery Plan has been developed. This plan outlines the Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for the University's critical IT systems and core services. Murdoch University Critical Incident Management Plan also provide support to disaster recovery plan to minimise the risk of significant data loss.

#### 4.3.4 Security

The following security measures have been implemented by Murdoch University to prevent unauthorised access to records:

- Hard copy records are stored in secure rooms with access controlled and archived records are accessible only to Records Management & Archives staff.
- Hard copy records stored offsite are located at commercial storage facilities at Balcatta and Osborne Park operated by Iron Mountain, the University's offsite storage provider.
- Murdoch University uses Iron Mountain's specialised vault storage service for storing over-sized memorabilia items with archival value. The vault store is a purpose-built structure housed within the main Balcatta warehouse premises. Its construction was in accord with specified building requirements to ensure resistance to severe weather events and natural disasters. The vault is secured by swipe card access controls and equipped with a monitored 24/7 environmental control system. It is also fitted out with a gaseous fire suppression system that applies a gaseous extinguishing agent directly onto a fire to prevent water-related damage to records in order to safeguard their physical integrity

Authorised officers of the University manage the process of transferring records to offsite storage and all requests for ongoing access to the records. Iron Mountain uses multi-factor authentication to grant access to its online Web platform, that is, access is via username and password verification. Passwords are changed every 3 months. Radio Frequency Identification technology (RFID) is used for inventorying and tracking the collection and delivery of cartons.

Murdoch University staff have visited Iron Mountain's physical premises and reviewed its security arrangements and attendant risks with Iron Mountain staff. Perimeter access is computer controlled and monitored; access around the complex is controlled by security swipe cards; security cameras and motion detectors cover the site; it has 24-hour alarm and security monitoring; fire protection and sprinkler systems are in place; it is a low-risk flood area; and the premises are protected by 4-hour fire rated doors and walls.

- Electronic records have varying degrees of access depending on access assigned to staff within the University. The *ICT Security Standard*, *ICT Security Policy*, and *IT Conditions of Use Policy* provide the framework for security measures that prevent unauthorised access to electronic records and information, and that protect the confidentiality, integrity and availability of university information. The University has a *Data Classification Policy* which strengthens the adequacy of enforceable policy concerning safeguards over the University's information assets. This policy aligns with the Australian Government Information Security Core Policy. In 2016, an *Information Security Incident Management Policy* and companion procedure document were developed. The policy provides a mechanism for reporting information security incidents and

their investigation. It enables weak points in access controls that allow unauthorised access to systems and information to be identified and strengthened.

- Electronic records are backed up on a regular basis as described at 4.3.2.
- Access to the main computing suite where the University's main servers are located is restricted to authorised ITS staff via use of a swipe card with the appropriate access authorisation encoded. An after-hours alarm system is in place.

#### 4.3.5 Storage Reviews

The records storage facilities used by Murdoch University are reviewed periodically to ensure that storage conditions are appropriate for the University's records and information.

The University Archives facility is a secure environment for the storage of State archives. The facility meets the requirements of best practice codes for the storage of archival records including the 'Standard for the Storage of Archival Records' issued by the National Archives of Australia, and the WA State Records Office Guideline '*Archival Storage Specification*'.

Records Management staff inspected the Archives facility annually for evidence of water leaks, dampness, damage and cracks to the facility's construction, signs of unauthorised entry, vandalism, and the presence of vermin, termites and mould. Next inspection is planned in November 2024. In addition, the University's pest contractors undertake an annual termite inspection of the Archives facility each July and a six-monthly rodent and silverfish treatment in June and December. Other ad hoc services are undertaken as needed/identified.

Uni-mutual, the University's insurer has conducted a property risk survey in July 2022 to review the member's campus and its operations to identify potential for loss or damage scenarios involving equipment, buildings or research which may also cause interruption to operations. This report includes the results and assessments from the survey in addition to formal 'risk recommendations' designed to eliminate or improve specific property risks and to improve the overall property risk profile of the campus. In February 2023 a revision was created to add information provided on Information Technology Systems, generator testing and asset management. This survey also reviewed the status of past recommendations created during the 2017 survey. The latest survey has identified below protections in the campus buildings.

##### Fire Detection

Automatic fire detection is provided in all major buildings and from the site survey appears to be largely smoke detection systems.

VESDA type smoke detection is reportedly provided for each data centre.

##### Sprinkler Protection

Sprinkler protection is provided for the Harry Perkins Institute building where Murdoch's ANPC leases space. Murdoch on-campus buildings are un-sprinklered but the new Boola Katitjin Building (Building 360) will be provided with sprinkler protection throughout.

##### Special Extinguishing Systems

The main data centre room on L1 of Building 245 is provided a total flooding fire suppression system activated with a double knock arrangement. There is an independent FM-200 system for the UPS room serving the data centre room facilities.

Likewise, the server room in Building 390 is reportedly provided with a FM200 fire suppression system.

The issue of acoustic nozzles for gaseous agent systems has been reviewed with Wormald's engineering who have advised that special nozzles are not required as the decibel level for the FM-200 systems will be lower than that which will cause damage to hard drives.

- For Murdoch University Property Risk Report refer attachment 28

As a contracted supplier under the Department of Finance's Common Use Arrangements, the University's commercial storage provider (Iron Mountain) is required to meet the contractual and qualitative compliance requirements of CUAREC2015 'Storage, Retrieval, Destruction and Digitisation of Paper and Electronic Records'. As mentioned at 4.3.4 University staff have inspected Iron Mountain's storage facilities including its vault service. The premises include strong perimeter security protected by intrusion detection and alarm systems, multiple levels of security access via swipe card controls throughout the complex, fire detection and sprinkler suppression systems, and 24/7 CCTV monitoring. The facilities are also protected by four-hour fire rated doors and masonry walls.

#### 4.3.6 Recovery of Lost Information

Murdoch University has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur. These include:

- Vital Records are captured in *The Counter Disaster and Recovery Plan - University Records* and identified in the Information Asset Register.

Refer to Attachment 24 for the *Counter Disaster and Recovery Plan - University Records*.

- Vital records take priority in recovery efforts following the occurrence of a disaster event.
- The IT Services Disaster Recovery Plan outlines the Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for the University's critical IT systems and core services. The Critical Incident Management Team (CIMT) provides a university-wide coordinated response to manage a critical incident. The CIMT is formed to respond to a specific critical incident with representation across relevant areas of the University.
- A weekly full backup of electronic records and data is stored at an offsite vault.
- *IT Infrastructure Policy and IT Services Server Backup Standard* guide the backup and infrastructure in the university.

#### 4.4 Identified Areas for Improvement

Significant progress has been made in the past five years. No specific areas have been identified for improvements; however, it will be important to keep abreast of changes in technology and sector requirements.

## 5 Principle Five: Retention and Disposal

*Government organisations ensure that records are retained and disposed of in accordance with an approved disposal authority.*

### 5.1 Retention and Disposal Schedule/Sector Disposal Authority

*The Western Australian University Sector Disposal Authority (WAUSDA), DA 2022-005, covering all functional records of the University was approved by the State Records Commission on 15 August 2022.*

Previously approved Retention and Disposal (R&D) Schedules covering functional records of Murdoch University and superseded by DA 2022-005 are:

- Western Australian University Sector Disposal Authority SD 2011011.
- Murdoch University Functional Records Disposal Authority, Registration Number RD2006012;
- Student Records General Disposal Schedule, Registration Number RD94125 and amendment 94125/1;
- Finance and Accounting Records General Disposal Schedule, Registration Number RD95058;
- Parking and Security Records General Disposal Schedule, Registration Number AS95059; and
- General Administrative Records General Disposal Schedule, Registration Number RD91037 and amendments RD91037/1-3.

#### 5.1.1 Retention and Disposal Schedule Review

*The Western Australian University Sector Disposal Authority (WAUSDA) was collaboratively developed by the WA public universities. The principal benefits of the WAUSDA are:*

- Universities are equipped with a comprehensive retention and disposal resource that provides complete coverage of records pertaining to the core functions of the WA university sector;
- Consistency in the description of record classes and sentencing throughout the WA university sector;
- It provides an authoritative platform for university retention and disposal programs;
- It endorses the trend towards standardised Australian and international best practice records management industry codes in strategies, procedures and practices.

### 5.2 General Disposal Authority for State Government Information (GDASG)

Murdoch University has implemented the *General Retention and Disposal Authority for the State Government Information* developed by the State Records Office for disposal of administrative, financial and accounting, and human resource management records.

### 5.3 Disposal of Source Records

The Records Management & Archives Office provides advice to Schools and Offices regarding recordkeeping digitisation requirements including reference to the provisions addressed by the *General Retention and Disposal Authority for the State Government Information* and *The Western Australian University Sector Disposal Authority (WAUSDA)*. In particular, requirements to undertake a post-digitisation quality assurance check and to dispose of source records in accordance with the GDASR are stipulated. The University's recordkeeping procedures reference most aspects of the *General Disposal Authority for Source Records (GDASR)* and the *SRO Guideline Digitisation Specification*. A digitisation procedure guideline will

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be developed in 2025 to ensure the University addresses all requirements of the GDASR. Staff will be advised of the updated requirements via a staff announcement.

## 5.4 Existing Ad Hoc Disposal Authorities

Murdoch University has not developed nor implemented any Ad Hoc disposal authorities. The University utilises only the Western Australian University Sector Disposal Authority and the General Disposal Authority for State Government Information.

## 5.5 Existing Disposal Lists

Murdoch University has not developed nor implemented any Disposal Lists.

## 5.6 Restricted Access Archives

Details of restricted access State archives are included in DA 2022-005 *Western Australia University Sector Disposal Authority*.

- For the Restricted Access Archives refer to Attachment 29.

## 5.7 Transfer of Archives

An Archives Transfer Request form has not been submitted to the SRO due to the current inability of the SRO to receive any transfers of archival records.

Murdoch University will transfer State archives (that are older than 25 years) to the State Archives Collection for permanent preservation when requested by the SRO.

## 5.8 Non-Transfer of Archives

Murdoch University has not identified any State archives that will not be transferred to the State Records Office for permanent preservation once they become 25-years old.

In accordance with s.32(1) of the *State Records Act 2000*, Murdoch University will transfer its State archives to the State archives collection when the archives become twenty-five (25) years old. The University is aware that State archives cannot currently be transferred to the State Records Office until provision is made for a new facility.

In the interim, the University will retain all State archives remaining in its custody in accordance with *SRC Standard 7* 'State Archives Retained by Government Organisations' and State Records Office Guideline 'Archival Storage Specification'. This includes meeting requirements concerning physical access, security, disaster management, physical construction considerations, shelving arrangements, preservation activities, and environmental considerations, i.e. climate control.

- For a recent disposal list - RDA2024 002 - Survey Records refer to Attachment 30

## 5.9 Disposal Program Implemented

Murdoch University has a regular disposal program undertaken on an annual basis. *The Western Australia University Sector Disposal Authority* DA 2022-005 and *the General Retention and Disposal Authority* for the State Government Information for State Government Information have been fully implemented within the

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University. Following a hiatus in disposing of records during and post the COVID19 pandemic period, a renewal of the program has begun and physical records reviewing and disposing activities are taking place now.

- Refer to Attachment 31 for a copy of the University's Record Disposal Authorisation Request Form which shows the approval process to dispose of records.

## 5.10 Authorisation for Disposal of Records

Before any records are destroyed or transferred to the State Records Office, a list of those records due for destruction or transfer is reviewed by a senior manager in the relevant Office or School and authorised for destruction or transfer. The Manager Records Management & Archives reviews and authorises all disposal lists.

## 5.11 Identified Areas for Improvement

A full review of the Archives is required to ascertain the permanent physical records and initiate a project to digitise these records without harming the authenticity of the records.

SharePoint and Teams are heavily used in the Murdoch University and integrating Content Manager or exploring the other information management software in the market to integrate with SharePoint.

Integrating other business systems which hold high risk/high value information with Content Manager or suitable information management software. These business systems have been identified in Information Asset Register.

## 6 Principle Six: Compliance

*Government organisations ensure their employees comply with the recordkeeping plan.*

### 6.1 Staff Training, Information Sessions

- Murdoch University has implemented the following activities to ensure that all staff are aware of their recordkeeping responsibilities and compliance with the Recordkeeping Plan:

Recordkeeping Awareness Training course: The University's online recordkeeping training course addresses staff responsibilities under the *State Records Act 2000* including the creation, capture, access, and disposal of records, confidentiality and privacy issues, and security considerations.

The University's recordkeeping training program is held on the Murdoch eLearning Platform (MeLP) using ELMO Talent Management Software. This allows enhanced integration with the University's staff development and training framework and the facilitation of staff access to a central online platform for all educational programs.

All training will be moved to a new system (Workday Learning) to improve the facilitation, statistics and integrating with other systems.

A 3-point escalation process facilitates staff progress with the recordkeeping awareness training course. Regular reminders to staff to complete the training are also provided in the University's weekly staff announcements communication tool.

The training course is promoted at senior management level and supported by the Senior Leadership Team. Members of the SLT are required to communicate to staff the requirement to undertake the recordkeeping training. Reports on completion by staff are regularly reported to the Senate's Audit and Risk Committee. Refresher training is required for staff every two years. The training course is reviewed and updated annually.

- The University conducts an annual training session entitled "Good Communication & Recordkeeping Practices".
- The Manager Records and Archives attends relevant external training sessions offered by the State Government and relevant professional bodies.

Coverage of the training/information sessions as detailed here extends to all staff. Further advice about the University's Recordkeeping Plan is available on the web for staff.

### 6.2 Brochures or Newsletters

Murdoch University provides recordkeeping information to its staff through the following means:

- The primary method for disseminating recordkeeping information to staff is via the University's internal communications network. The intranet is used for publishing recordkeeping information, highlighting issues, and bringing recordkeeping matters to the attention of staff. Information is typically published at the Records Management & Archives homepage or at the Staff Announcements webpage.
  - Refer to Attachment 32 for an example of a staff announcement published on the University's intranet.

Information provided by these methods is reviewed by Records Management staff on a regular basis.

## 6.3 Induction Programs

New employees are provided with the following information to ensure they are aware of their role and responsibilities in terms of recordkeeping at Murdoch University:

- All new staff are enrolled in the University's recordkeeping awareness training course; and
- The 3-point escalation process ensures that new staff receive reminders to undertake the training.

All staff coming into the University undergo induction. Induction includes completion of a set of Mandatory Compliance Modules which includes a recordkeeping module.

- Please refer to the Attachment 33 for the Compulsory Compliance Modules which shows inclusion of Recordkeeping.

## 6.4 Performance Indicators

The following performance indicators have been developed to measure the efficiency and effectiveness of Murdoch University's recordkeeping systems:

- Statistical information including the number of new hardcopy records registered in the recordkeeping system, the number of cartons of records transferred to storage, the number of cartons of records destroyed, and the number of staff that have completed the recordkeeping awareness training course is compiled. These statistics are taken every 3 months and compared with the previous statistics to identify any variances. These statistics assist to understand trends, training requirements and planning for future workload.

Performance indicators drawn from recordkeeping actions performed in relation to digital records can be obtained through the Content Manager reporting. Some of them are below.

- Number of new records registered.
- Number of new users registering documents.
- Number of issues/incidents reported and resolved (system technical reliability)
- Quality assurance processes to review the integrity and accuracy of data.

## 6.5 Agency's Evaluation

An internal Audit completed in March 2022 by the Murdoch University Risk and Compliance team with the assistance of Ernst & Young business consultants provided below recommendations on student record management to improve the consistency, completeness and efficiency.

- Student Records Management – Recommendation 1.01 Governance and awareness
- Student Records Management – Recommendation 3.01 Access, security and retention

These recommendations include,

Addition of an agreed definition of a 'student record'

- Define accountability for student records management.
- Define guidance for the provision of student information to external contractors/offshore personnel, including those located internationally,
- How to maintain proper records management practices when working remotely.
- Define expected treatment of student records across all environments (i.e. physical and digital records); and
- Define the process for archiving digital records.

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- Define fit-for-purpose student records management practices.

These recommendations were accepted.

Another recommendation was to develop and implement a specific E -Learning module for all staff which outlines the data classification, disposal, and retention requirements in alignment with policy documentation. This learning module is in development. This module will be delivered through the E-learning platform and will also capture some important aspects of Privacy and Responsible Information Sharing Legislation.

## 6.6 Annual report

An extract (Page 161) from Murdoch University's 2023 Annual Report is attached, demonstrating the University's statement of compliance with the State Records Act 2000 and its strategies for ensuring staff compliance with its Recordkeeping Plan. Refer to Attachment 34.

## 6.7 Identified Areas for Improvement

Murdoch University's current E-Learning platform is getting upgraded to the Workday platform to facilitate organisation wide training and to obtain more statistical information on particular training and learning modules. The updated E-Learning module for Records Management Awareness will be delivered through this platform. This project will be completed in December 2025. This will allow Murdoch University to obtain better statistics around course completion, awareness of records management practices and application of data classification labels.

A program of work is underway to review physical records held in Central Records and determine whether they should be destroyed or archived in accordance with the Western Australian University Sector Disposal Authority and the General Disposal Authority.

Further areas for improvements are being managed under the readiness program for Privacy and Responsible Information Sharing.

## 7 SRC Standard 6: Outsourced Functions

*The purpose of this Standard, established under Section 61(1)(b) of the State Records Act 2000, is to define principles and standards governing contracts or arrangements entered into by State organisations with persons to perform any aspect of record keeping for the organisation.*

*State organisations may enter into contracts or other arrangements whereby an individual or an organisation is to perform a function or service for the State organisation, or act as the State organisation's agent to deliver services to clients, or for the State organisation's own use. The general term 'outsourcing' is used for such arrangements.*

*Contractual arrangements should provide that the contractor create and maintain records that meet the State organisation's legislative, business and accountability requirements.*

### 7.1 Outsourced Functions identified.

Murdoch University outsources functions which include the following:

- Architectural, engineering and building services
- Building and facilities maintenance services
- Employee assistance program
- Fire detection and suppression systems, maintenance of
- Grounds maintenance including care of playing fields, carparks and bush reserves.
- International student recruitment services
- Office cleaning and waste removal services
- Pest control services
- Recordkeeping services - storage and records destruction services
- Recycling services such as paper, plastics, glass, and metal
- Road (campus) construction and maintenance
- Secure paper shredding services
- Security services – Mon-Fri 12.00am-8.00am and all weekend shifts
- Student accommodation services
- Window cleaning services
- Audio and visual event management services
- Market research and strategic campaign services
- Insurance broking services
- Transnational Education Services.

### 7.2 Recordkeeping Issues Included in Contracts

Refer to Attachment 35 for excerpts of clauses addressing recordkeeping issues in contracts for outsourced functions.

#### 7.2.1 Planning

Murdoch University includes the creation and management of proper and adequate records of the performance of the outsourced functions detailed above in the planning process for the outsourced functions. This function is typically undertaken during the preparation and review stage of new and renewed contracts

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for outsourced services. The Legal Team use a standard template and clauses to ensure that recordkeeping requirements are included in all relevant contracts and agreements. The template is adapted as required.

### 7.2.2 Ownership

Murdoch University has ensured that the ownership of State records is addressed and resolved during outsourcing exercises. Where possible this is included in the signed contract/agreement.

### 7.2.3 Control

Murdoch University has ensured that the contractor creates, and controls records in electronic or hard copy format, in accordance with recordkeeping standards, policies, procedures and guidelines stipulated by Murdoch University.

### 7.2.4 Disposal

The disposal of all State records which are the product of or are involved in any contract/agreement with Murdoch University and a contractor/agent will be disposed of in accordance with the University's approved Sector Disposal Authority [Western Australian University Sector Disposal Authority] or the General Disposal Authority for State Government Information published by the SRO.

### 7.2.5 Access

Conditions for the provision of access to any State records produced in the course of the contract/agreement have been agreed between Murdoch University and the contractor(s)/agent(s).

### 7.2.6 Custody

Custody arrangements between Murdoch University and the contractor(s)/agent(s) for State records stored on and off site by the contractor are specified in the contract/as follows:

- Murdoch is subject to the provisions of the State Records Act 2000 (WA) ("SRA"). To the extent that the contractor has possession, custody or control of any records created for or on behalf of Murdoch by or under this Agreement ("Records"), the following provisions will apply to such Records:

"The contractor will comply with any principles or standards advised by Murdoch University in relation to Relevant Records."

### 7.2.7 Contract Completion

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the contract(s)/agreement(s) are specified in the contract(s)/agreement(s) as follows:

"On expiry or earlier termination of this Agreement, the Contractor will (at Murdoch's option), either return all such Records to Murdoch or destroy them in accordance with Murdoch's directions. In either case, the return or destruction of such records will be at Murdoch's expense and direction."

## 7.3 Identified Areas for Improvement

The University has not identified any specific areas where improvement is needed.