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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* (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 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*;
- 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 quickly, accurately and cheaply 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 contractors;
- Organisations performing outsourced services on behalf of Murdoch University; and
- Australian regional campuses of Murdoch University.
This Recordkeeping Plan supersedes 2012011 and applies to all records created or received by any of the above parties, regardless of:

- Physical 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) any thing on which there is writing or Braille;
b) a map, plan, diagram or graph;
c) a drawing, pictorial or graphic work, or photograph;
d) any thing 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) any thing on which information has been stored or recorded, either mechanically, magnetically, or electronically.”

(State Records Act, 2000)
1 Principle One: Proper and Adequate Records

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

1.1 Historical Background

Murdoch University is one of five universities in Western Australia. The University is named after Sir Walter Murdoch (1874-1970), a prominent Australian academic and essayist, and former Chancellor and Foundation Professor of English at the University of Western Australia. Murdoch University was the second university to be established in Western Australia and the seventeenth in Australia.

Murdoch University was established by an Act of 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 under section 12(1)(9) of the Murdoch University Act. The inauguration ceremony to mark the opening of the University occurred on 17 September 1974, this being the hundredth anniversary of the birth of Sir Walter Murdoch. The ceremony was performed by the Governor-General, Sir John Kerr.

Murdoch University has three Australian campuses: its main campus on South Street in the suburb of Murdoch, and regional campuses at Rockingham and Mandurah. The Murdoch campus is located 15 kilometres south-west of the Perth central business district and 8 kilometres from the port city of Fremantle. The campus covers 227 hectares and includes a veterinary farm, a retirement village, and a secondary school.

The regional campus at Rockingham was officially opened by the WA Governor Major-General Michael Jeffery on 5 April 1998. It is located 49 kilometres 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 programmes in Engineering and General Arts. The Rockingham campus ceased offering undergraduate courses from 2015 and now focusses on research and university pathway programs.

The Mandurah campus was officially opened on 30 June 2005 by the Hon Dr Brendan Nelson MP, Federal Minister for Education, Science and Training. The campus, located 72 kilometres 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.
The Mandurah campus was formerly known as the Peel Campus. A change of name occurred in 2015 following representations by members of the University community and with support from the other campus tenants.

Murdoch University’s strong international orientation has seen the University establish campuses offshore, in Singapore and Dubai. The University began offering courses of study in Singapore in 1994 in association with the Singapore National Employers’ Federation. In 2013 a Singapore office was opened and a subsidiary company ‘Murdoch Singapore Pte Ltd’ was established for strategic and commercial reasons. The University’s Vice Chancellor Professor Eeva Leinonen formally opened a new Singapore Office on 13 March 2017.

Following the establishment of a branch campus in Dubai in 2007, the Murdoch University International Study Centre Dubai was formally opened on 27 October 2008 at a ceremony officiated by the Dubai Minister of Higher Education and Scientific Research and the University’s Vice Chancellor Professor John Yovich.

Murdoch University’s first students were 18 postgraduate research students who commenced in February 1974. The first year of undergraduate teaching was 1975 with an enrolment of 714 students. The University now offers more than 80 majors and 200 courses at its Perth campuses, as well as study centres in Singapore and Dubai.

In 2017, Murdoch University had a total enrolment across all campuses of 23,238 students of which approximately 40% were international and transnational students. In the same year, the Full Time Equivalent (FTE) staff consisted of 764 academic staff and 993 professional staff for a total of 1,757 FTE.

1.2 Mission Statement

Murdoch University’s primary purpose as articulated in its *Strategic Plan and Future Horizon 2017-2027* is: “To be a creative force for current and future generations.”

1.3 Strategic Focus

Murdoch University’s strategic plan endorses two core goals. These are:

- Students and Education
- Research and Innovation

Three lenses guide these endeavours and help the University prioritise its activities. These are:

- **Lens 1**: Service to society: contributing to economic and social wellbeing
- **Lens 2**: Collaborative partnerships: business, industry and government
- **Lens 3**: Global Outlook: gateway to Asia and the Indo-Pacific region
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 Business Activity

The main 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;
(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 carry out its functions.

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

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, The
- Employees
- Entities that do business with Murdoch University
- Government agencies (WA) including the Auditor General, FOI Commissioner and Ombudsman
- Management
- Parliament of Western Australia
- Professional bodies
- Public, The
- Research funding organisations
- Researchers including historians, political scientists, and members of the community
- State Records Office of Western Australia
- Students including alumni
- 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.

The amendments to the University’s legislation provide it with the functions and powers to enter into commercial arrangements, including the use of its land, to generate revenue for the purposes of funding the carrying out of its functions. This affords the University the same powers as other universities across Australia. The amendments also provide for a more efficient university governance structure (reducing the size of its Senate) and removes former administrative complexities.

1.8 Other Legislation

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

Commonwealth Legislation:

- Broadcasting Services Amendment (Online Services) Act 1999
- Copyright Act 1968
- Copyright Amendment (Computer Programs) Act 1999
- Copyright Amendment (Digital Agenda) Act 2000
- Disability Discrimination Act 1992
- Education Services for Overseas Students (ESOS) Act 2000
- Fringe Benefits Tax Act 1986
- Fringe Benefits Tax Assessment Act 1986
- Gene Technology Act 2000
- Gene Technology Regulations 2001
- Higher Education Funding Act 1988
- Higher Education Funding (Student Organisations) Amendment Act 1994
- Higher Education Legislation Amendment Act 2004
- Higher Education Support Act 2003
- National Greenhouse and Energy Reporting Act 2007
- National Greenhouse and Energy Reporting Regulations 2008
- Privacy Act 1988
- Privacy Amendment (Enhancing Privacy Protection) Act 2012
- Superannuation Guarantee (Administration) Act 1992
- Superannuation Guarantee Charge Act 1992
- Superannuation Industry Supervision Act 1993
- Telecommunications Act 1997
- Tertiary Education Quality and Standards Agency Act 2011
- Trade Practices Act 1974

State Legislation:

- Animal Welfare Act 2002
- Auditor General Act 2006
● Criminal Code Act 1913
● Education Service Providers (Full Fee Overseas Students) Registration Act 1991
● Electronic Transactions Act 2011
● Equal Opportunity Act 1984
● Evidence Act 1906 / Acts Amendment (Evidence) Act 2000
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● Financial Legislation Amendment and Repeal Act 2006
● Financial Management Act 2006
● Freedom of Information Act 1992
● Legal Deposit Act 2012
● Limitation Act 1935 and 2005
● Occupational Safety and Health Act 1984
● Parliamentary Commissioner Act 1971
● Payroll Tax Act 2002
● Public and Bank Holidays Act 1978
● Public Sector Management Act 1994
● State Records Act 2000
● State Records (Consequential Provisions) Act 2000
● Taxation Administration Act 2003
● Vocational Education & Training Act 1996
● Workers Compensation and Injury Management Act 1981
● Working with Children (Criminal Record Checking) Act 2004

1.9 Major Government Policy and/or Industry Standards

The following government and industry standards and codes of practice have been imposed upon or adopted by Murdoch University:

● Australian Accounting Standards
● Australian Code of Practice for the Care and Use of Animals for Scientific Purposes 2004
● Australian Federal Government Policy
● Australian Records Management Standard ISO/AS 15489-2002 Parts 1 and 2
● Building Code of Australia
● Dublin Core Metadata standards
● General Disposal Authorities issued by the WA State Records Office
● Higher Education Standards Framework 2015 established under the Tertiary Education Quality and Standards Agency Act 2011 (TEQSA Act 2011)
● Murdoch University internal legislation including Statutes, By-Laws, Regulations, Rules, Standing Orders and Codes
● National Competition Policy
● National Health & Medical Research Council: Human research ethical guidelines
- National Health & Medical Research Council / Australian Research Council: Australian Code for the Responsible Conduct of Research
- National Statement on Ethical Conduct in Human Research 2007 (NHMRC guideline)
- Principles and Standards issued by the WA State Records Commission
- Voluntary Code of Best Practice for the Governance of Australian Universities 2011 issued by Universities Australia
- WA Government Policy, Premier’s Instructions and Public Sector Commissioner’s Circulars
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

[Provide an overview of the organisation's records management system/s and major information systems containing corporate records].

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 issues.

- HP TRIM is the software used for the University’s records management system. The University implemented TRIM in 1999 following the endorsement of a successful business case by the Information Technology Management Committee.

- Implementation of the TRIM records management system was in accord with the University’s Strategic and Quality Improvement Plan (1997-2002). Objective M.3 included an operational strategy encouraging the implementation of strategic computer systems that provided the best possible storage, access and retrieval of the University’s information.

- The University is currently negotiating a cloud-enabled upgrade of TRIM 7.3 to HPE Content Manager 9.1.

- The records management system is primarily paper-based. It establishes effective management through the life-cycle of physical records including the central files system. It is used to organise paper records, manage security protocols, access to files, the transfer of records to storage, and the disposition process of records.

- The Report on the Review of the Murdoch University Recordkeeping Plan RKP 2012011 identified weaknesses in the effective management of digital records. In response, the University has committed to an EDRMS pilot in 2018. Following a successful outcome, a staged rollout to all Offices and Schools is envisaged. At this stage, it is unknown whether a successful pilot will mean a change to the records management system/software. In 2016, the University undertook an EDRMS pilot using AvePoint. However, the pilot revealed a number of weaknesses in back-up processes and an incompatibility with existing IT platforms and did not proceed to implementation.

2.1.2 Business Information Systems

Murdoch University has implemented a number of 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. The major applications are:

- **Academic Planning Database** – a FileMaker database developed to maintain the University’s academic planning, changes to courses, minors, units and ancillary curriculum. The database is a major source of course and unit information for the University Handbook.

- **Access Control System (Cardax)** – the University’s security system for providing access control and intruder alarm security. The system includes closed-circuit television (CCTV) surveillance footage of campus locations.

- **Award Ceremony Database (AwardCeremony)** – a FileMaker database developed to maintain prizes, prize donors and the award ceremonies for prize and scholarship recipients. It is also the source of prize information for the University Handbook.

- **Bookshop Management System (BookNet)** – the University Bookshop’s management system. It includes point of sale and inventory management.

- **Calendaring System** – a back-end system used to provide data for the Personal Calendar portlet on the MyUnits page of Student Portal. The system uses enrolment data and timetabling data from the Callista student records system and data from the Handbook Cache Database (e.g. unit titles).

- **Callista Online Reports System (CORS)** – this system provides an alternative way of extracting information from Callista (the University’s Student Management System).

- **CareerConnect (CareerHub)** – an external site used by the University’s Careers Service for advertising job vacancies and graduate programs for its students and recent graduates.

- **Cashiering System (OneStop)** – this is a secure payments and receipting system used by students and staff. Its functionality allows payments from smartphones, tablets and desktops.

- **Client Clinic Software (Visual Outcomes)** – this system is used by the Chiropractic Clinic for the management of patient details, appointments and arrivals. It is also used for producing analysis and visual reports.

- **Committees database** – an Apex database that allows staff to search the entire historic record of Senate and Academic Council minutes.

- **Content Management System (CMS)** – the CMS is the University’s Web Content Management System used for creating, approving, publishing and updating content on the University’s websites.

- **Counselling Database** – a Microsoft Access database maintained by the University’s Counselling Service for recording client details and reports pertaining to counselling sessions.
● Curriculum Management System (CourseLoop) – a new curriculum management system that is being progressively implemented during 2018. The system will provide real time access to curriculum information and downstream business processes such as timetabling and student enrolment.

● Customer Relationship Management System (iMIS) – this system is used by the Marketing and Communications Office for managing the University’s Alumni records.

● Enterprise Scheduling and Timetabling (Syllabus Plus) - this system is used for managing the allocation and scheduling of teaching venues and classrooms for teaching periods at the University.

● Exams Database - a FileMaker database used by Examinations and Assessments staff to help administer exam requirements, exam supervisors, alternative exam arrangements, deferred assessment, external exam candidates and exam centres, and for communicating with Unit Coordinators.

● Expense Management System (Concur) – an externally hosted Credit Card Management System that uses an interface with Finance One and another from Concur to Finance One.

● External Studies Database - a FileMaker database used by External Studies staff to help administer assignment exchange for external students, allocation of tutors, and communicating with students, tutors and Unit Coordinators.

● Facilities Management System (Archibus) - this system is used for the management of university facilities. Key modules include the maintenance job request module and the space management module. The Space Management Module contains data and information concerning campus buildings, occupancy and spaces.

● Financial Management System (Finance One) – this application is used for raising purchase requisitions, approving accounts payable invoices and purchase orders, processing general ledger journals, running enquiries and reports, and maintaining the Chart of Accounts.

● Fringe Benefits Tax - Australia (ONESOURCE) - this system is used by the Finance Office for the management of Fringe Benefits Tax.

● Graduations Database – a FileMaker database used by Graduations staff to assist in administering the graduation of students, the organisation of graduation ceremonies, and printing of testamurs.

● Graphical Access Physical Resources Information Management System (GAPRIMS) – this system provides an integrated Computer Aided Design (CAD) and database system that is used by technical and senior management to assist in physical resources planning and management.
- Hazardous Materials Register (ChemWatch) – this is an external site that provides a dangerous chemicals reference system. Access is unrestricted from computers using the Murdoch University Network (IPs).

- Human Resources Information System (Alesco) - this system is used for maintaining staff pay details, generating fortnightly payroll, maintaining leave accruals and balances, initiating leave requests, maintaining employment contracts, receiving online submission of job applications, and providing information for reporting staff statistics to the Department of Education, Employment and Workplace Relations (DEEWR).

- Incident / Hazard Reporting System – an Apex database that provides an online tool for reporting and recording accidents, incidents and hazards for purposes of allowing appropriate action and investigations to be undertaken. The collected information is also used for performing trend analyses and is kept as evidence to meet legal requirements such as injury and workers compensation.

- IT Applications and Contacts (ITAC) – this is a configuration management database for applications, services (including databases, web servers, proxy servers and authentication systems), hosts and physical devices. It includes records of software warranties and licenses.

- Learning Management System (LMS) (Moodle) – this externally hosted system is used for managing online learning materials. Unit Coordinators are responsible for providing learning materials and other resources on the site. This includes information such as assignment details, study schedules, resources and contact details. Tools include discussion forums, online assignment submission, quizzes and links to resources. There are links to lecture recordings on the Lecture Capture System (LCS).

- Lecture Capture System (LCS) (Echo360) – an externally hosted system used for the management of online lectures. Access to recordings is provided for students via the Unit Materials portlet on the MyUnits page and for staff via the Units Coordinated portlet on the MyTeaching page. The LCS is also used for recordings of presentations given during Orientation Week. An Echo360 archive system is maintained.

- Legal Matters and Contracts Database (LEX) – this database supports the University’s Legal Office. It is used for managing the details of draft and executed contracts and agreements, and associated working files.

- Library Management System (Sierra) – an Integrated Library System that is used for managing the Library’s collections including acquisitions, invoicing, classifying and indexing library materials, lending materials to patrons and other libraries, tracking and shelving materials.

- Management Reporting (MInE) – this is a system used by staff to view University management information and reports intended to facilitate decision-making processes. The information is drawn from the Management Reporting Data
Warehouse. It contains Student, Research, Finance, HR information and key performance indicators.

- **Medical Appointment Scheduling (MedTech)** – this system is used by the University’s Health Services for scheduling appointments.
- **Medical Records System (Titanium Schedule)** - this system is used by Psychology Clinic staff to manage clients’ counselling records.
- **Murdoch Authentication and Identification System (MAIS)** – this is a repository for identification, authentication, authorisation, position occupancy, organisation structure, and location information. The database also holds MAIS login session dates.
- **Murdoch eLearning System (ELMO)** – an externally hosted e-learning system used by the Organisational Development Office for the University’s staff development program. Details of all training courses including the staff that have attempted/completed them are recorded. ELMO is integrated with the Human Resources Information System (Alesco).
- **Parking Infringement System (NoticeIT)** - this system is used for managing records pertaining to speeding and illegal parking offences. A separate Parking Permit Application System allows staff and students to apply and pay for a permit online.
- **Policy and Procedure Management (PPM)** – this system is used for managing the University’s internal legislation. The PPM includes By-Laws, Statutes, Regulations, Rules, Policies, Procedures, Guidelines and Standards.
- **Research Management System (IRMA)** – the Integrated Research Management Applications (IRMA) system supports the University’s research function. It is used for managing academic staff publications, contracts, research grants, animal and human ethics processes, and biosafety requirements.
- **ServiceNow** – this system is used for IT incident and enquiry management. Authorised IT staff access requests logged by staff and students and report on problem resolution and issues.
- **Student Management System (Callista)** – this system holds the official academic records for the University’s students. It is used for managing the admissions process, enrolment and fees, assessment and progression, details of student prizes, and graduation functions. It also supports student self-enrolment via MyInfo, staff inquiry and reporting via MyStudents and CORS and it interfaces with other University systems including LMS, Finance, and Timetabling.
- **Student Placement Management System (Sonia)** – this system is used by the Schools to manage students’ professional experience placements.
- **Student Relationship Management (RightNow)** – a 24/7 knowledge base and enquiry management tool used for assisting the University in managing relationships with its students including requests for information and assistance.
The system provides for the capture of student communications with the University using social media.

- Travel Management System (Trobesix) – an externally hosted travel management system that interfaces with the Human Resources Management System (Alesco) for staff details and Finance1 (Finance) for account data through daily batch data feeds.
- Veterinary Practice Management System (RxWorks) – a case-record management system for client billing, inventory management, and maintenance of client contact details.

### 2.2 Records Management Policy and Procedures

The creation and management of Murdoch University’s records is coordinated by the University’s Records Management & Archives section under the direction of the Manager Records Management & Archives.

For the Murdoch University Recordkeeping Policy refer to Attachment 1
For the Murdoch University Recordkeeping Procedures Manual refer to Attachment 2

The Recordkeeping Procedures Manual is disseminated to all staff via the Records Management & Archives homepage. The Procedures Manual covers the following recordkeeping activities:

- 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 key role in capturing records on central file as described in the procedures manual. The manual also covers responsibilities for classifying, indexing and registration, and establishing and maintaining file titling and file numbering conventions.

- Mail distribution – the University’s Mail and Logistics Services has responsibility for non-electronic mail distribution (internal and external). The frequency of services and tracking and security measures are described in relevant policy and procedure documentation. Mail received by the Records Management & Archives section is distributed on central file. These files are tracked using barcoding technology and files census activities. Electronic mail is distributed via the workflow functionality of business information systems or via email.

- 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.

- Access to corporate records – the application of controls over access to corporate records is included in the procedures manual and the Recordkeeping Guideline. System custodians manage access permissions to the records management and university business systems.
In relation to the records managed by the Records Management & Archives section, access protocols are in place to prevent unauthorised access and the release of confidential, commercially-sensitive, and personal information.

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 standards and procedures 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 reference the Recordkeeping Policy. The IT Password Policy aims to protect end-user passwords from unauthorised or unintended disclosure. The Data Classification Policy strengthens the security framework around the University’s information management systems.

- Authorised disposal of temporary records - the Procedures Manual covers retention and disposal procedures including the transfer of State archives to the State Records Office. The Recordkeeping Guideline references the disposal of records and SRC-approved disposal authorities.

- Electronic records management – a significant volume of electronic records are routinely captured and managed by the University’s business information systems as described at 2.1.2. A successful EDRMS pilot (planned for 2018) will lead to greater capability for managing digital records created and received outside these systems. EDRMS system and process design will incorporate records management lifecycle, access and security requirements.

- Email management – the Email Recordkeeping Guideline provides guidance around the capture, access, retention and authorised disposal of email transmissions. It addresses organisational accountability requirements and encourages the effective and efficient management of email accounts. The guideline requires email to be printed and filed on appropriate organisational files managed by the Records Management & Archives section or by the relevant organisational unit. As noted in the RKP Review Report, email will receive enhanced focus during, and following, a successful pilot and subsequent EDRMS implementation.

- 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.

A web-renewal project, the Digital First Project, has involved the staged rollout of a new Content Management System. The platform is built on a modern code-base which means the University will be equipped to meet long-term needs such as mobile, ecommerce, and multisite management. Currently, although there are some payment gateways in place for executing financial transactions, the transactions are not executed within a Murdoch website but are handled via the websites of financial institutions.
Over the course of the Digital First project, which will run into 2019, the University will review and consolidate all aspects of web governance to ensure that issues are managed consistently across all websites. While backup copies of the CMS database will routinely be made, creating and storing regular snapshots of the website is likely to prove problematic.

- 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. A metadata standard pertaining to all information systems is planned for 2018. The standard will reference the Australian Government Recordkeeping Metadata Standard issued by the National Archives of Australia.

- Systems management – Information Technology Services have responsibility for the policies and procedures governing system access and use. The ICT Security Policy covers a range of issues including user access and authentication mechanisms, password security, disabling of user accounts, procedures for revoking access privileges when staff change positions or leave the University, requirements for the physical security of data centres, electronic access control and surveillance systems, and the right to monitor and inspect all ICT systems.

The IT Password Policy aims to protect end-user passwords from unauthorised or unintended disclosure. The policy includes provisions for administrator and systems passwords.

The Digital Media Disposal Standard governs the disposal of ICT equipment.

Other relevant ITS-issued documents include the ICT Security Standard, IT Conditions of Use Policy, and the Vulnerability Management Procedure.

- 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 centre.

A revised migration policy and companion guideline and/or procedure document is planned for 2018. The aim is to strengthen the management of risk considerations and compliance with relevant industry standards and regulatory requirements. The Policy will reference SRC Standard 8: Managing Digital Information, Principle 4 - Storing Digital Information and SRC Standard 2: Recordkeeping Plans, Principle 4 – Preservation.
2.3 Certification of Policies and Procedures

- Murdoch University’s internal recordkeeping legislation was reviewed in 2017/18. See Attachment 3 for the Staff Announcement requesting staff feedback. In addition, specific Offices were targeted as part of the consultative review process.

- The University Secretary has delegated authority to approve recordkeeping policies and guidelines.

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

- Refer Attachments 4-10 for evidence of approval and revision history of the policies and guidelines.

2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for Murdoch University cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the University.
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 (physical) file level. The classification scheme uses a hierarchical structure. Records are aggregated at four levels including a free-text level if required. A sample of the classification scheme is attached (refer to Attachment 10).

3.2 Assessment of its Effectiveness

The classification scheme effectively and adequately meets the requirements of the University’s hard copy 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

During the planning stages of an unsuccessful electronic document and records management system project in 2013-14, the project team identified deficiencies in the ability of existing classification tools to meet the requirements of an EDRMS. The project team determined that the existing classification scheme would need to be replaced by a customised business classification scheme for implementation with the EDRMS.

A draft enterprise-wide business classification scheme based on an analysis of the University’s business functions and activities was subsequently developed. The BCS was intended to provide more effective and integrated support of the University’s electronic records management processes and the management of its digital records and business information.

An EDRMS pilot currently planned for mid-2018 will implement the business classification scheme. The BCS will be fine-tuned in consultation with Offices and Schools to ensure it is fit for purpose. It is envisaged that configuration of the EDRMS will link classifications to the disposal scheduling process and include access and security considerations in system design.
4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved.

- For the Murdoch University Counter Disaster and Recovery Plan – University Records refer to Attachment 11. For the University Continuity Guidelines refer to Attachment 12.

- Disaster recovery plans for electronic information and records, and protecting computer infrastructure and systems, are currently under development. It is expected that plans for all Tier 1 systems will be completed by November 2018.

- A comprehensive IT Services Continuity Register has been developed based on the outcomes of School and Office University Continuity Workshops (Business Impact Analyses). This register outlines the Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for the University’s critical IT systems and core services. The register is used for informing IT Disaster Strategy and Recovery Planning.

  A University Continuity Framework has been developed and implemented and the University is currently working towards strengthening the adequacy of its IT-specific risk management framework.

- In accordance with the University Continuity Strategy and University Continuity Guidelines, University Continuity Plans for a number of Schools and Offices have been completed. The remaining School and Office Plans are scheduled for completion during 2018.

- An ongoing business continuity exercise and plan review schedule at the University and School/Office levels is governed by the University’s Critical Incident Management Advisory Committee (CIMAC).

- The IT Disaster Recovery Strategy will include ongoing responsibility to evaluate the disaster recovery and preparedness plans of cloud service providers where computing arrangements have been outsourced to the cloud.

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, Rockingham and Mandurah campuses.

The storage facilities include:

- Compactus units;
- Metal shelving units;
- Lockable metal filing cabinets;
- Premises are constructed of fire-resistant materials with concrete floors and roofs, and masonry walls;
Premises are secured by a monitored access control system. Access to buildings is restricted to authorised staff. Staff security ID cards are issued by the Security Office. 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-6.00pm;
- 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 located in a commercial storage facility operated by Iron Mountain Australia Group Pty Ltd. Iron Mountain’s services are approved under Common Use Contract CUAREC2015 for the supply of ‘Storage, Retrieval, Destruction and Digitisation of Paper and Electronic Records’ approved by the Department of Finance on 15 July 2015. 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 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 inventorizing and tracking movements of records.

### 4.1.3 Data Centre and Cloud Storage

The implications of using third party contractors to store, manage, and make available the University’s information and records via cloud computing arrangements were comprehensively assessed in an exhaustive paper prepared by the Records Management & Archives section in 2016 (refer attachment 13 Cloud Computing - Managing the Risks). Senior management endorsed the paper and recommendations.
The Information Security Cloud Computing Guideline subsequently developed addresses all identified risk management issues including privacy concerns, security issues, jurisdictional and legal issues, and regulatory and compliance considerations. A requirement to consult a decision matrix based on the University’s Data Classification Policy, and numerous other safeguards that must be met before any confidential and personal information can be migrated to the cloud, are included. The guideline also requires completion of a risk assessment and checklist prior to the commencement of any new contractual arrangements. Refer attachment 14: Information Security Cloud Computing Guideline.

Murdoch University has entered into arrangements with third parties to store electronic data/digital information and records in data centres/cloud storage facilities as detailed in the table below. The arrangements include provisions for security and access, preservation, and return of the data.

A risk assessment was undertaken prior to the commencement of the data storage arrangements.

<table>
<thead>
<tr>
<th>Information system / categories of records</th>
<th>Name of service provider</th>
<th>Geographic location of data centre / cloud storage</th>
<th>Geographic location of data centre / cloud storage backups</th>
<th>Risk assessed Y/N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oracle Service Cloud / customer relationship management</td>
<td>Oracle</td>
<td>Australia</td>
<td>Australia</td>
<td>Y</td>
</tr>
<tr>
<td>Echo360 / lecture recordings</td>
<td>Echo360</td>
<td>Australia</td>
<td>Australia</td>
<td>Y</td>
</tr>
<tr>
<td>Microsoft Office 365 / email, document management, collaboration</td>
<td>Microsoft</td>
<td>Australia</td>
<td>Australia</td>
<td>Y</td>
</tr>
<tr>
<td>CareerHub / customer relationship management</td>
<td>CareerHub</td>
<td>Australia</td>
<td>Australia</td>
<td>Y</td>
</tr>
<tr>
<td>ELMO / learning management</td>
<td>ELMO Talent Management Software</td>
<td>Australia</td>
<td>Australia</td>
<td>Y</td>
</tr>
<tr>
<td>Informz / email marketing</td>
<td>Informz</td>
<td>USA</td>
<td>USA</td>
<td>Y</td>
</tr>
<tr>
<td>OneStopSecure / payment portal</td>
<td>UniLink Data Systems</td>
<td>Australia</td>
<td>Australia</td>
<td>Y</td>
</tr>
</tbody>
</table>
4.1.4 Storage of Archives

At its meeting held on the 18th 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, 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. However, a significant photo digitisation project overseen by the University’s former photographer involving around 90,000 images has been underway for four years and is expected to be finalised in 2018.

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.

- 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 Counter Disaster and Recovery Plan – University Records.

Access and Control

- State archives are identified in the Western Australian University Sector Disposal Authority and listed and identified in the recordkeeping system.
- The Archives and Archival Records Policy and Archives and Archival Records Guideline 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.

Preservation

- State archives in digital format are stored in an appropriate format.
- Electronic archives are migrated through successive upgrades of software and hardware as the need arises. The ITS Office takes an accountable and planned approach to migration actions. Detailed formalised policy and procedures that incorporate the requirements of SRC Standard 8 Managing Digital Information – Principle 4 Storing Digital Information will be developed in 2018.
- Repairs to damaged archives including minor repairs are not attempted without first consulting the State Records Office.

4.1.5 Storage of Backups

Electronic backups of Murdoch University’s electronic information are held offsite at the University’s Rockingham Campus and transferred there on a weekly basis.

4.1.6 Quantity of Records

Murdoch University has custody of:
- 150 linear metres of temporary hard copy records stored onsite
- 850 linear metres of temporary hard copy records stored offsite
- 290 linear metres of hard copy State archives stored onsite
- 100 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.

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 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 qualitative risk analysis matrix in the University's Counter Disaster and Recovery Plan – University Records. The matrix assesses the likelihood of disaster risks and the magnitude of their impact on the University’s records and business information systems.

4.3 Strategies in Place for Preservation and Response

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

4.3.1 Vital Records Program

A vital records program has been developed by Murdoch University.

Vital records in hard copy format are stored in the Records Management & Archives Office; in a locked, fire resistant safe, located in the Finance Office; in industry-standard archival cartons stored in the University Archives facility; and in the Development & Commercial Services Office. These records are accessible only to authorised staff. Where relevant, these records are copied and the copies are placed on central files and used for normal business activities. All original signed contracts and agreements are scanned as PDF documents and kept available for normal business use.

As mentioned at item 4, a comprehensive IT Services Continuity Register has been developed based on the outcomes of School and Office University Continuity Workshops (Business Impact Analyses). This register outlines the Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for the University’s critical IT systems and core services.

Vital records have been identified as:

- 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

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 an offsite vault 30kms away at the University’s Rockingham Campus. These tapes are protected from overwriting for four weeks. Four-weekly backups are retained for 12 months. IT guidelines
limit the number of times a magnetic tape may be overwritten (250 by default) before their mandatory replacement. Magnetic tape is not used once it has passed a threshold number of months (36 months by default). A media device that fails during a backup is no longer used for backup purposes.

It is deemed impractical to routinely verify every file being backed up. Instead, the University relies on regular sampling of back-up data to establish the reliability and success of the backup.

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, and a decision to formally discourage or prohibit their use is expected in the future. Nevertheless, ITS provide media refreshing services for removable storage devices when requested.

- 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. Refer 4.4 for identified area of improvement concerning this item.

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 accessible only to Records Management & Archives staff.
- Central files are barcoded to enable accurate and efficient tracking of files.
- 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.

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 single-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 delegations 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.

In 2015, the University developed a *Data Classification Policy* to strengthen 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.

Refer Attachment 15: ICT Security Standard
Refer Attachment 16: ICT Security Policy
Refer Attachment 17: IT Conditions of Use Policy
Refer Attachment 18: Data Classification Policy
Refer Attachment 19: Information Security Incident Management Policy

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 during 2017 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. The inspection did not identify any risk issues. 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.

In 2014 Unimutual, the University’s insurers convened a site visit to the University by AIG Insurance to undertake a risk assessment of fire and associated risks for insurance purposes. The previous assessment was undertaken in 2010. The Property Improvement Risk Report (refer Attachment 20) issued by AIG identified a number of risk improvements to help eliminate, mitigate or control potential exposures that could cause loss or business interruption. The report included an observation that combustible items were stored within the IT server room creating an unnecessary fire hazard. Management accepted AIG’s recommendation that the room should be free of all combustible items and remain free of all types of storage at all times.

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.

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.
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:

- Duplication of hard copy vital records;
- Vital records take first priority in recovery efforts following the occurrence of a disaster event;
- The IT Services Continuity Register outlines the Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for the University’s critical IT systems and core services;
- University Continuity Plans for Schools and Offices are being finalised in 2018 in accordance with the University Continuity Strategy and University Continuity Guidelines;
- A weekly full backup of electronic records and data is stored at an offsite vault 30kms away at the University’s Rockingham campus.

4.4 Identified Areas for Improvement

In relation to electronic records and information, Murdoch University has made significant progress in addressing identified weaknesses in its business continuity and disaster recovery arrangements. A University Continuity Framework has been developed and implemented and the University is currently working towards strengthening the adequacy of its IT-specific risk management framework.

A review of existing data migration strategies is planned for 2018. The review will incorporate risk considerations concerning the effective management of records with long-term retention 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), SD2011011, covering all functional records of the University was approved by the State Records Commission on 7 March 2012.

Previously approved R&D Schedules covering functional records of Murdoch University and superseded by SD2011011 are:

- 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 considered to be:

- 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.

In 2013, a small number of new entries and amendments to Sector Disposal Authority SD2011011 (Western Australian University Sector Disposal Authority) were submitted to the State Records Commission (SRC). The changes were approved by the SRC on 6 December 2013.
The 5-year mandatory review of the Western Australian University Sector Disposal Authority (WAUSDA) commenced in 2017 and will be finalised in 2018. The universities agreed that a comprehensive review was unnecessary because the disposal authority is still a relatively recent document and continues to meet the requirements of the universities in all areas.

The considerable thoroughness of the developmental work undertaken during 2009-2012 was also noted and this factor was acknowledged when the decision was reached that a comprehensive review was not required. Moreover, none of the universities reported significant functional changes that would necessitate a more exhaustive approach to the review. The Universities Legislation Amendment Act 2016 that amended the functions of Murdoch University as described at s.6 of the Murdoch University Act 1973 does not affect the WAUSDA. Consequently, the universities were unanimous that a limited review was sufficient.

The review consisted of:

- Fine-tuning text of existing entries to improve clarity of meaning;
- Amending disposal decisions of existing entries;
- Adding new record classes;
- Removal of activities and functions from the WAUSDA where the General Disposal Authority for State Government Information can be used;
- Removal of administrative terms used in the WAUSDA that are duplicated in the General Disposal Authority for State Government Information;
- Review of access restrictions of some classes of records; and
- Aligning the introductory notes with the new standardised format introduced by the State Records Office.

A report of the review will be submitted to the State Records Commission in 2018.

5.2 General Disposal Authority for State Government Information (GDASG)

Murdoch University has implemented the GDASG 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 section provides advice to Schools and Offices regarding recordkeeping digitisation requirements including reference to the provisions addressed by the General Disposal Authority for Source Records (GDASR). 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 Digitization Specification. A digitisation procedure guideline will be developed in 2018 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 RD SD2011011. Refer to Attachment 21

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.
5.9 Disposal Program Implemented

Murdoch University has a regular disposal program undertaken on an annual basis. The University’s Retention & Disposal Schedule SD2011011 and the General Disposal Authority for State Government Information have been fully implemented within the University. Refer to Attachment 22 for a copy of the University’s disposal procedures. Refer to Attachment 23 for a recent authorised list of records for disposal.

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

The University’s current lack of an Electronic Document and Records Management System (EDRMS) capability poses a number of challenges concerning the effective management of retention and disposal requirements of digital records. Senior management has strongly supported and been integrally involved in recent projects to address these concerns. An EDRMS project undertaken in 2012-14 stalled due to financial pressures, while a renewed effort in 2015-16 progressed to pilot status but did not proceed beyond the trial.

Implementation of an EDRMS remains a high priority for the University. Senior management has prioritised an EDRMS pilot by mid-2018. The need for enhanced lifecycle management, including the embedding of enforceable disposal processes in the EDRM system design, is acknowledged.
6 Principle Six: Compliance

Government organisations ensure their employees comply with the record keeping 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.

  In 2015, the University’s recordkeeping training program transitioned to the Murdoch eLearning Platform (MeLP) using ELMO Talent Management Software. This has allowed 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.

  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 Group. Members of the SLG are required to communicate to staff the requirement to undertake the recordkeeping training and to report on progress to the Chief Operating Officer/SLG.

  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”.

Coverage of the training/information sessions as detailed here extends to all staff. Further advice about the University’s Recordkeeping Plan is provided to staff where required.

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 particular 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 24 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;
- The recordkeeping awareness training course is promoted at the monthly new staff induction sessions;
- An information sheet about staff roles and responsibilities in relation to records management requirements, including the requirement to undertake recordkeeping awareness training, is included in the orientation folders of new employees; and
- The 3-point escalation process ensures that new staff receive reminders to undertake the training.

Induction programs are provided for all staff coming into the University.

Refer to Attachment 25 in relation to the information sheet included in new staff induction packs.

6.4 Performance Indicators

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

- Provision of quarterly statistical information for senior management 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;
- Performance indicators drawn from recordkeeping actions performed in relation to digital records are not currently available due to the lack of an EDRMS capability. However, subject to a successful EDRMS pilot planned for 2018, the following performance indicators will likely be used to assess the degree to which the system is successfully meeting EDRMS objectives and for gauging staff satisfaction with the system:
  - Number of new records registered
  - Number of new users registering documents
  - Percentage of users finding correct records
• Number of issues/incidents reported and resolved (system technical reliability)
• Percentage of users satisfied with the system
• Quality assurance processes to review the integrity and accuracy of data

• Refer Item 6.7 concerning the effectiveness of the recordkeeping training program.

6.5 Agency’s Evaluation

A 2013-14 co-sourced internal audit with Ernst and Young assessed the adequacy and effectiveness of key records management processes and controls. The Audit outcomes did not identify any evident weaknesses in the records management program apart from a requirement to improve the timely completion of the recordkeeping awareness training course (the subsequent implementation of a periodic escalation process rectified this deficiency) and an observation that recordkeeping policies and guidelines required review in accord with the University’s 3-year policies review process. Even so, the University recognises the exigent need to strengthen processes and systems around the effective management of some key areas of digital records. The EDRMS pilot planned for 2018 will ensure this area receives appropriate focus.

6.6 Annual report

An excerpt from Murdoch University’s latest Annual Report is attached, demonstrating the University’s compliance with the State Records Act 2000 and its strategies for ensuring staff compliance with its Recordkeeping Plan. Refer to Attachment 26.

6.7 Identified Areas for Improvement

The decision to transition the University’s online recordkeeping training course to the ELMO platform has allowed the integration of all online training programs under a single training platform. However, an unforeseen outcome was the loss of the survey functionality provided by the previous recordkeeping training course. Whilst ELMO does in fact possess this functionality, enabling the survey tool would regress the way course completion statistics are reported.

Statistical information would no longer be mapped to successful completion of course assessment data but to the survey itself, this being the new endpoint activity from which statistical data would be drawn. Since completion of the survey is optional it would mean that course completion statistics would be available only where staff have completed the survey. This would compromise and understate the accuracy of training course statistics.

The survey mechanism has previously provided broad-based information that proved useful for evaluating the effectiveness of online training as a method for transmitting knowledge about staff responsibilities under the State Records Act. It also provided a means of validating the University’s investment in online training as its primary method for recordkeeping compliance training. The University is currently liaising with ELMO concerning this issue and is expecting a constructive outcome in early 2018.
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 the following functions:

- 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

7.2 Recordkeeping Issues Included in Contracts

Refer to Attachment 27 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 for outsourced services. The Legal Office 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. The requirements of SRC Standard 6 were reviewed with Legal staff in 2017.

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 the State Records Act and any principles or standards developed by Murdoch in accordance with the State Records Act in relation to such 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.