

Classification and Capture Procedure

Section 1 - Purpose

(1) The Purpose of this Procedure is to identify responsibilities and actions related to classification and capture of Records and information in accordance with the [Records and Information Management Policy](#).

Scope

(2) This Procedure applies to all Macquarie University staff and all University Records.

Section 2 - Policy

(3) Refer to the [Records and Information Management Policy](#).

Section 3 - Procedures

Responsibilities and Required Actions

Records and Information Management Program

(4) The Records and Archives Manager is responsible for:

- a. improving, implementing and monitoring the Records and Information Management Program;
- b. delivering the University's Recordkeeping Awareness Program which provides staff with the knowledge and skills required to fulfil their record-keeping obligations; and
- c. receiving and acting on any notifications of alleged breaches of the [Records and Information Management Policy](#).

(5) The Chief Information and Digital Officer is responsible for:

- a. ensuring University information technology systems perform effectively and comply with statutory requirements for record-keeping functionality.

(6) Business System Owners are responsible for:

- a. ensuring the reliability and continued operation and functionality of business systems that generate and store Records; and
- b. ensuring business continuity plans for these systems are in place.

Allocating and Documenting Local Recordkeeping Responsibilities

(7) The Executive Group is responsible for ensuring that within their portfolios:

- a. Records and information are kept in relation to their area's functions and in accordance with the [Records and](#)

[Information Management Policy](#); and

- b. a Records Coordinator should be nominated in each Faculty/Office who will liaise with Archives and Records in the development of local practices and to ensure that appropriate storage, access, use, distribution and disposal of the Records and information are in accordance with the [Records and Information Management Policy](#).

(8) Managers and supervisors must ensure that:

- a. their staff are aware of the University's Record and Information Management Program;
- b. their staff are trained in local recordkeeping processes and systems;
- c. appropriate statements about Records and information management responsibilities are included in all their staff position descriptions; and
- d. their staff make arrangements for the ongoing management of Records and information when leaving a position.

Create, Classify and Capture Records and Information

(9) The Records and Archives Manager will:

- a. advise on what Records and information are to be created, according to the needs and structure of the University and classify them in accordance with relevant legislation;
- b. document the University's Records and Information Classification System and promote it to relevant stakeholders;
- c. liaise with Records Coordinators in all Faculties, Offices and other business units to appraise Records and information management requirements in accordance with the University's Records and Information Classification System;
- d. centrally coordinate Vital Records and Archives;
- e. manage the corporate Records registry services;
- f. provide advice and guidance in identifying Records which may not be required as State Archives but may require permanent retention as a Record of Continuing Value; and
- g. advise on managing the digital lifecycle of Records and information assets into a digital Records system, Record and information control tools and metadata standards in accordance with the University's Records and Information Classification System.

(10) Staff must:

- a. be aware of and act on the Record and information keeping obligations and responsibilities that relate to their duties, including:
 - i. understanding the functions of their role and organisational area within the University and the Records and information required to support those functions;
 - ii. knowing the policy requirements about keeping Records and information in relation to their duties;
 - iii. understanding how Records and information needs to be shared between staff to support business efficiency;
 - iv. understanding the risks involved in activities and what Records and information may need to be kept for evidence purposes; and
 - v. following local Records and information management processes;
- b. create and capture Records and information about their daily work. This will include Records for the following business activities:
 - i. approval or authorisation;

- ii. guidance, advice or direction;
 - iii. information relating to projects or activities; and
 - iv. formal business communications to and from external parties, students and other staff;
- c. ensure that University Records are full, complete, accurate, meaningful, and adequate for the purpose for which they are kept; and
- d. capture University Records and information into the appropriate recordkeeping systems in line with the [Records and Information Management Policy](#).

Monitor and Evaluate

(11) The Records and Archives Manager/Chief Information and Digital Officer/Business System Owners:

- a. monitor compliance with the Records and Information Management Program in relation to the [State Records Act 1998](#);
- b. evaluate opportunities for improving the effectiveness, efficiency and quality of the Records and Information Management Program;
- c. report on the Program to the relevant authorities; and
- d. participate in audits by internal and external agencies.

Section 4 - Guidelines

(12) Nil.

Section 5 - Definitions

(13) The following definitions apply for the purpose of this Procedure:

- a. Records means information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. (AS ISO 15489 Part 1 Clause 3.15). Any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means (the [State Records Act 1998](#)).
- b. Records Management means the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of Records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of Records. (AS ISO 15489 Part 1 Clause 3.16)
- c. Records Management Program means a program that encompasses the management framework, the people and the systems required within an organisation to manage full and accurate Records over time. This includes the identification and protection of Records with longer-term value that may be required as prescribed by [State Archives and Records Authority of NSW](#).
- d. State Archive means a state record that falls under the control of Museums of History NSW. A record may be designated as a State Archive based on retention and disposal authorities issued under the [State Records Act 1998](#).
- e. University Record means any document or other source of information that is compiled, recorded or stored, in written form, on film, by electronic process, or in any other format or through any other means (as defined under the [State Records Act 1998](#)). This includes but is not limited to data (including corporate data) and information held in fields in an information system, documents, emails, folders, messages, chat and posts. See also state record.
- f. Vital Record means a record that is essential for the ongoing business of the University, without which the

University could not continue to function effectively or protect its interests. These include, but are not limited to, contracts and associated variations, deeds, memoranda of understanding, licences, evidence of ownership of physical and intellectual property, and other records documenting the legal authority or rights of the University.

Status and Details

Status	Current
Effective Date	29th April 2026
Review Date	29th April 2027
Approval Authority	General Counsel
Approval Date	28th April 2026
Expiry Date	Not Applicable
Responsible Executive	James Lonsdale General Counsel
Responsible Officer	Lachlan Morgan Records and Archives Manager +61 2 9850 7362
Enquiries Contact	Lachlan Morgan Records and Archives Manager +61 2 9850 7362