

Ref:	NR/L1/INF/02230
Issue:	3
Date:	05 December 2020
Compliance date:	06 March 2021

Level 1

Policy

Corporate Archive Policy

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User information

This Network Rail document contains colour-coding according to the following Red–Amber–Green classification.

Red requirements – no variations permitted

- Red requirements are to be complied with and achieved at all times.
- Red requirements are presented in a red box.
- Red requirements are monitored for compliance.
- Non-compliances will be investigated and corrective actions enforced.

Amber requirements – variations permitted subject to approved risk analysis and mitigation

- Amber requirements are to be complied with unless an approved variation is in place.
- Amber requirements are presented with an amber sidebar.
- Amber requirements are monitored for compliance.
- Variations can only be approved through the national variations process.
- Non-approved variations will be investigated and corrective actions enforced.

Green guidance – to be used unless alternative solutions are followed

- Guidance should be followed unless an alternative solution produces a better result.
- Guidance is presented with a dotted green sidebar.
- Guidance is not monitored for compliance.
- Alternative solutions should be documented to demonstrate effective control.

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Compliance

This Network Rail standard/control document is mandatory and shall be complied with by Network Rail Infrastructure Limited and its contractors if applicable from 06 March 2021.

Where it is considered not reasonably practicable¹ to comply with the requirements in this standard/control document, permission to comply with a specified alternative should be sought in accordance with the Network Rail standards and controls process, or with the Railway Group Standards Code if applicable.

If this standard/control document contains requirements that are designed to demonstrate compliance with legislation they shall be complied with irrespective of a project's Governance for Railway Investment Projects (GRIP) stage. In all other circumstances, projects that have formally completed GRIP Stage 3 (Option Selection) may continue to comply with any relevant Network Rail standards/control documents that were current when GRIP Stage 3 was completed.

NOTE 1: *Legislation includes Technical Specifications for Interoperability (TSIs).*

NOTE 2: *The relationship of this standard/control document with legislation and/or external standards is described in the purpose of this standard.*

Disclaimer

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Supply

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¹ This can include gross proportionate project costs with the agreement of the Network Rail Assurance Panel (NRAP).

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Issue record

Issue	Date	Comments
1	September 2010	Standard first published
2	June 2015	Revision of standard to include instruction on archive cataloguing standards, public access to information and the appraisal and disposal of non-operational records belonging to the Department of Transport in the physical custody of Network Rail.
3	December 2020	Review to update references to internal and external standards, citations and the flowchart in Appendix 1

Reference documentation

NR/L3/INF/02222	Metadata for Documents and Records
NR/L3/INF/02226	Corporate Records Retention Schedule
NR/L3/INF/02231	Disposal of Records
NR/L1/INF/02200	Digital Preservation Policy
NR/L2/INF/02223	Information Security Classification
BS 4971:2017	Conservation and Care of Archive and Library Collections
Transfer Agreement	Transfer Agreement relating to Deeds and Records (1) Railtrack (2) BRB 03/1994

Legislation

This standard/control document has been reviewed to confirm it complies with the following legislation:

Railway Heritage Act	Railway Heritage Act 1996, as amended by the Railways Act 2005
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Compliance with this standard/control document does not, on its own, provide compliance with the legislation listed.

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1 Purpose

This policy establishes the remit under which the Network Rail Corporate Archive operates, by establishing how records that are to be kept permanently for legal and regulatory reasons will be acquired, catalogued and managed.

2 Scope

This standard applies to the collection and management of records that are considered by Network Rail to be worthy of permanent retention because of their value to the business and to the nation and as designated by law.

It specifies the collection of records; archive cataloguing standards; access; disposal; preservation and conservation as well as the stakeholder relationships the Corporate Archive will maintain.

3 Roles and responsibilities

Archivist	To develop, manage and control Network Rail's Corporate Archive. To manage those designated records pertaining to Network Rail. To monitor the preservation of items that have been identified for permanent retention, but which are not yet held by the Corporate Archive.
Head of Corporate Records Management	To provide the resource that supports the development and maintenance of the Corporate Archive.

4 Definitions

For the purpose of this document, the following terms and definitions apply.

Term	Definition
Appraisal	The practical analysis of records specifically in order to identify and select those for permanent preservation.
Corporate Archive	Those records irrespective of age or physical format that are deemed worthy of permanent retention because of their value to the business and the nation. This may include records that still have an operational value to the business, but because of their additional value as historically significant items may need extra protection and management.
Born digital	Digital material created and existing only in a digital format.

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Conservation	Practical treatments and processes used to protect archive documents from further deterioration without adversely affecting the integrity of the original.
Designated	Item(s) identified under the Railway Heritage Act 1996 as being historically significant and to be permanently preserved.
Digital preservation	Strategies for the long term maintenance of digital material, sustaining both its accessibility and authenticity.
Disposal	The removal of records through destruction, deletion, transfer to the Corporate Archive or transfer to another body through gift, loan or sale.
Intellectual property	An intangible piece of property such as a copyright or a patent.
Preservation	Management issues involved in preserving archive materials in all formats, and/or their information content, to maximize their useful life.
Record	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.
Requestor	A person or organisation outside of Network Rail who makes a request for information.
Retention period	Period of time during which a record is retained and managed by the company, commencing from the date the record is produced or from an event that triggers the start of the retention period.
Transfer scheme	A scheme designed to transfer to Network Rail the ownership and intellectual property rights of all records created before 1 April 1994, that are required to conduct the management of the operational railway infrastructure. Records and intellectual property rights for records created before 1 April 1994 and NOT required to manage the operational railway infrastructure belongs to the Secretary of State for Transport.

Table 1 – Terms and definitions

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5 Archive Collecting

Network Rail shall permanently preserve records relating to the following in its Corporate Archive:

- a) corporate governance and functions of Network Rail Infrastructure Limited (including the period of Railtrack plc and Network Rail Holdco Limited), Network Rail Limited and any other subsidiary companies;
- b) operational railway infrastructure, which are of significant historical merit, achievement or status;
- c) creation and development of the railway infrastructure.

Records within the Corporate Archive shall be retained on the media upon which they were created and / or distributed or migrated onto more appropriate storage media for preservation purposes, and a sample of the original media retained to demonstrate the different types used.

NOTE 1: Network Rail Standard NR/L3/INF/02226 lists those records that should be held permanently by the business.

NOTE 2: A number of the records identified for permanent retention are held by the record owners. Where this is the case the Archivist liaises with the record owners to confirm their safekeeping.

6 Active Collecting

The Corporate Archive shall appraise and collect records created by Network Rail and its subsidiary companies for permanent retention.

The business shall send records to the Corporate Archive in accordance with NR/L3/INF/02226.

This shall include records dating from 1 April 1994 which relate to the privatised infrastructure.

Prior to destruction, details of records held in Network Rail's offsite storage shall be sent to the Corporate Archive for appraisal.

NOTE 1: The Archivist can be contacted at askthearchivist@networkrail.co.uk

NOTE 2: Network Rail is not subject to the Public Records Act 1958, but manages the retention, disposal and permanent preservation of its records in line with the 'Lord Chancellor's Code of Practice on the management of records', issued under section 46 of the Freedom of Information Act 2000.

NOTE 3: Records may be retained because of their value to the business and to tell the story of the history of the railway.

7 Designated Records

Records that have been designated under the Railway Heritage Act 1996 are protected by law and shall be sent to and managed by the Corporate Archive.

A list of items belonging to Network Rail that have been designated under this Act shall be maintained by the Archivist.

NOTE 1: The Railway Heritage Act 1996 was designed to enable records of the process of railway privatisation and of the privatised industry to be protected. Under section 3 of the Act classes of records that are of future value to the nation can be designated so that they ultimately reside in good conditions and in appropriate locations.

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NOTE 2: For the current list of designated records contact the Archivist.

8 Historical Records

The Corporate Archive shall appraise and collect records that have been in the ownership of the privatised railway which relate to:

- a) significant structures, achievements, projects and events relating to the development of the operational railway infrastructure;
- b) the creation and development of significant operational routes;
- c) work carried out by significant engineers in the creation and development of the operational railway infrastructure.

NOTE: Records are retained to demonstrate engineering, architectural and commercial innovation and significance.

9 Records Falling Outside this Policy

The Corporate Archive shall not retain records:

- a) that do not belong to Network Rail under the Transfer Agreement of 1994 and which are the property of the Secretary of State for Transport. Network Rail shall manage the appraisal and disposal of those records in our possession but belonging to the Secretary of State for Transport in accordance with the methodology in Appendix A and Figure A.1;
- b) relating to rolling stock not owned by Network Rail;
- c) relating to structures no longer part of the operational railway and for which Network Rail has no ongoing liability.

NOTE: The methodology in Appendix A and Figure A.1 have been agreed with The National Archives and the Records Departmental Officer for the Department for Transport

10 Records for permanent preservation

Where records are identified as being for permanent retention in accordance with NR/L3/INF/02226, the Corporate Archive shall be contacted in the first instance. The Corporate Archive shall then advise on the identification, cataloguing and preservation of the material.

NOTE: Items for permanent retention may be stored in offices, in offsite storage, in electronic systems or at the Corporate Archive.

11 Records for review

Where records are identified for review in accordance with NR/L3/INF/02226, the Corporate Archive shall appraise and select for permanent retention records that demonstrate the corporate governance, management and development of the modern British railway infrastructure.

Those records not required by the Corporate Archive after appraisal shall be disposed of only if they are then time expired in accordance with NR/L3/INF/02226 and in accordance with NR/L3/INF/02231.

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12 Retention of original hard copy records

Original hard copy records that have been identified for the Corporate Archive may be converted to electronic format. Network Rail may dispose of the hard copy and retain the electronic version.

In this event, the Corporate Archive shall decide whether to retain original hard copy records for their value to Network Rail as historical artefacts. If the decision is taken not to retain the original hard copy, dispose of these items in accordance with NR/L3/INF/02231.

13 Cataloguing

Those records selected for permanent preservation by the Corporate Archive shall be catalogued using at a minimum the essential elements of the International Council on Archives' standard ISAD(G): General International Standard Archival Description which are:

- a) Reference code;
- b) Title;
- c) Creator;
- d) Dates;
- e) Extent of the unit of description;
- f) Level of description.

Cataloguing shall also conform to Network Rail standards NR/L3/INF/02222 and NR/L2/INF/02223.

NOTE 1: Cataloguing should be supported by the use of the International Council on Archives standard ISAAR (CPF): International Standard Archival Authority Record for Corporate Bodies, Persons and Families.

NOTE 2: Additional cataloguing elements can be added in line with archival standards and business requirements to enhance record descriptions

14 Access

Requests from external parties for access to records held within in the Corporate Archive shall be dealt with by the Corporate Archive team in accordance with the Freedom of Information Act. Access to records held within the Corporate Archive shall be provided via online catalogues.

NOTE: Online access is provided via the Network Rail website at www.networkrail.co.uk/history

15 Preservation and Conservation Strategy

Conservation of archive material shall take place in line with BS 4971:2017 and as part of a planned programme of work based on:

- a) level of importance due to their value as information objects and / or artefacts;
- b) availability of surrogates or alternative sources for information purposes;
- c) urgency of repair before the item can be made available;

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- d) severity of the damage;
- e) likelihood of further deterioration.

Ongoing preservation of items identified for the Corporate Archive shall be carried out in line with BS 4971:2017 and include

- a) handling and use of documents;
- b) environmental conditions;
- c) appropriate packing and storage;
- d) disaster planning.

NOTE: *Conservation services may also be required as part of Network Rail's scheduled maintenance and investment programme and is addressed on a priority basis.*

16 Digital Preservation

Digital preservation within the Corporate Archive shall take place in accordance with NR/L1/INF/02200.

Both born digital records and digital surrogates shall be stored and managed via our digital preservation platform.

NOTE: *Advice and guidance relating to digital preservation can be taken from leading authorities in this area.*

17 Co-operation with stakeholders

In the implementation of this Corporate Archive Policy the Archivist shall seek guidance and advice from Network Rail's Legal Services and other such parts of the business as necessary. Where appropriate the Archivist shall also liaise with external railway archive stakeholders.

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Appendix A Methodology for the disposal of records and drawings belonging to the Department for Transport which are in the possession of Network Rail

Network Rail's National Records Group holds a large quantity of records belonging to the non-operational railway and which belonged to British Railways Board (Residuary) under the 1994 Transfer Agreement.

Network Rail wishes to dispose of those records that do not relate to land and property owned by Network Rail and which do not relate to the 'burdensome estate' of non-operational property which belonged to British Railways Board (Residuary) and which passed to the Highways Agency and London & Continental Railways in September 2013 when BRB(R) was abolished.

This is the methodology which enables Network Rail to deal with this legacy material in a way that is acceptable to all parties and is sympathetic to its history and heritage.

- 1) If a record or drawing relates to land and property owned by Network Rail, it shall be retained for access by Network Rail and its railway stakeholders;
- 2) If the record or drawing relates to the 'burdensome estate' transferred to the Highways Agency or London & Continental Railways it shall be retained by Network Rail for access by the Highways Agency, London & Continental Railways and their stakeholders;
- 3) Records or drawings that do not fall into these categories shall be disposed of by Network Rail's Corporate Archive:
 - a) Records or drawings relating to the high-level governance of the British Railways Board (and its predecessors), or where material obviously fills a gap in an existing records series shall be offered to The National Archives via the Department for Transport Departmental Records Officer;
 - b) Records or drawings of a local nature (relating to either management or infrastructure) shall be offered to the designated local record office for railway records as documented in Cliff Edwards' book 'Railway Records';
 - c) Records or drawings that do not fall into either category or which are unwanted by either The National Archives or the designated local record office for railway records shall then be offered to the National Railway Museum;
 - d) Records or drawings that are not wanted by the National Railway Museum shall then be offered to an accredited railway heritage organisation;
 - e) Records or drawings which are not accepted for deposit by any of these organisations shall be destroyed.

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Figure A.1 Methodology for the disposal of records and drawings belonging to the Department for Transport which are in the possession of Network Rail

