

Ref:	<b>NR/L3/INF/02226</b>
Issue:	3
Date:	02 December 2017
Compliance date:	03 March 2018

# **Level3**

## **Corporate Records Retention Schedule**

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## User information

This Network Rail standard 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 Limited and its contractors if applicable from 3rd March 2018.

Where it is considered not reasonably practicable<sup>1</sup> 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 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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<sup>1</sup> 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	07 March 2009	New standard
2	04 September 2010	Amended to reflect the addition of a Corporate Archive as part of the records management process and group of standards.
3	02 December 2017	Amended to remove the reference to the schedule being published as an appendix. Legislation referenced

## Reference documentation

NR/L2/INF/02220	<i>Document and records management</i>
NR/L2/INF/02230	<i>Corporate Archive Policy</i>
NR/L3/INF/02221	<i>Document creation and approval</i>
NR/L3/INF/02222	<i>Metadata for documents and records</i>
NR/L3/INF/02223	<i>Information security classification</i>
NR/L3/INF/02224	<i>Sharing framework for information</i>
NR/L3/INF/02225	<i>Records management</i>
NR/L3/INF/02231	<i>Disposal of Records</i>

## Legislation

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

Claims and Payments Regulations 1979

Companies Act 2006

Conservation (Natural Habitats) Regulations 1994

Construction (Design and Maintenance) Regulations 2015

Control of Asbestos at Work Regulations 2012

Control of Lead at Work Regulations 2002 (CLW)

Control of Substances Hazardous to Health Regulations 2002 (COSHH)

Copyright, Design and Patents Act 1988

Data Protection Act 1998

Disability Discrimination Act 1995

Employers Liability Act 1969

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Environmental Protection (Duty of Care) Regulations 1991

Finance Act 1998

Regulatory Reform (Fire Safety Order) 2005

Fire Scotland Act 2005

The Fire Precautions (Sub-surface Railway Stations) England Regulations 2009

The Fire precautions (Subsurface Railway Stations) Regulations 1989 (Scotland only)

The Dangerous Substances and Explosive Atmosphere Regulations 2002

Health and Safety at Work Act 1974

Income Tax (Employments) Regulations 1993

Ionising Radiations Regulations 1999 (IRR)

Latent Damage Act 1986

Limitation Act 1980

Management of Health and Safety at Work Regulations 1999

Noise at work regulations 1999

Occupational Pension Schemes (Scheme Administration) Regulations 1996

Pensions Act 1995

Race Relations Act 1976

Railway (Interoperable) (High Speed) Regulations 2002

Railway Heritage Committee Designation 1999

Railway Safety Case Regulations 2000

Railways and other Transport Systems (New Work, Plant and Equipment) Regulations 1994

Railways, Transport and Competition Acts

Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR)

Retirement Benefit Schemes (Information Powers) Regulations 1996

Sex Discrimination Act 1975

Social Security (Claims and Payment) Regulations 1979

Special Waste Regulations 1996

Statutory Maternity Pay (General) Regulations 1982

Statutory Sick Pay (General) Regulations 1982

Taxes Management Act 1970

Value Added Tax Act 1994

Working time Regulations 1998

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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 work instruction is part of a suite of standards published to support the Document Management Policy and the Records Management Policy NR/L2/INF/02220.

*NOTE 1: These standards are listed in figure 1.*

Implementation of a Corporate Records Retention Schedule allows Network Rail to:

- a) retain records for no longer than necessary;
- b) implement a consistent approach across Network Rail;
- c) promote the prompt and auditable disposal of records when they are no longer required;
- d) comply with legislation and regulation relevant to the business of Network Rail including in relation to personal data, the Data Protection Act and its principles

*NOTE 2: Further information regarding the Data Protection Act, is given in Network Rail's Data Protection Policy.*

- e) protect its rights and interests and those of its employees, customers, suppliers and the general public affected by its operations.

## 2 Scope

This business process and associated schedule specifies authorised retention periods for Network Rail's corporate records. It covers:

- a) all records created, received and managed by Network Rail; and
- b) the processes, tools and resources used to manage those records.

This business process applies to all Owners responsible for the management of records within or on behalf of Network Rail.

## 3 Accountable and responsible roles

### Custodian

nominated person or role who takes on defined accountabilities for the management of the record consistent with appropriate Network Rail standards

### Owner

business manager who is responsible for the records in the business context

## 4 Definitions

### Corporate archive

Records irrespective of age or physical format that are deemed worthy of permanent retention because of their value to the business and the nation.

*NOTE 1: This might 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.*

### Disposal

The removal of records through destruction, deletion, transfer to the Corporate Archive or transfer to another body through gift, loan or sale.

### Document

Recorded information that can be used as a unit.



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**Event**

Specific action or occurrence that starts the retention period of a record.

**Physical records**

Records held on a physical media.

*NOTE 2: Includes paper, microforms, CDs, magnetic and CCTV tapes, floppy disks*

**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.

**Record type**

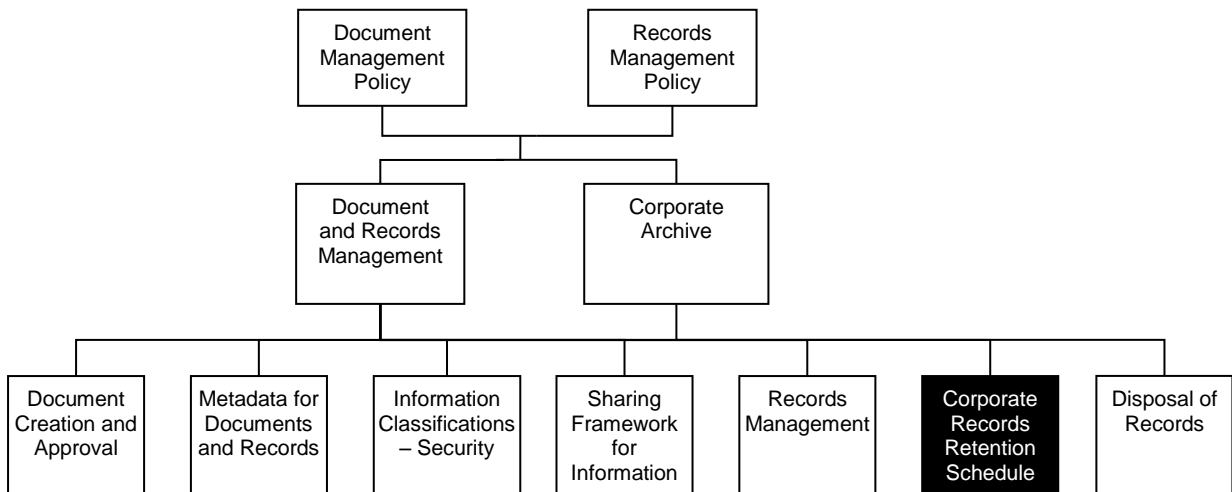
Corporate records that share a common content and/or format.

**Retention period**

Period of time during which a corporate 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.

**5 Hierarchy of standards and policies**

Figure 1 illustrates the suite of Network Rail standards published to support the Document Management and Records Management Policies. The policies are reproduced in appendices A and B of NR/L2/INF/02220.



**Figure 1 – Suite of standards published to support the Document Management and Records Management Policies**

**6 Retention periods**

Record retention periods shall reflect these external and internal drivers:

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- a) statutory requirements, including various Acts of Parliaments and statutory codes, e.g. Limitations Acts and Data Protection Act;
- b) regulatory requirements set by Government and other regulatory bodies, e.g. Health and Safety Executive;
- c) evidential requirements, e.g. records that might be needed to protect Network Rail in legal proceedings;
- d) operational need of the record owners, e.g. project deliverables may be used to inform a subsequent project;
- e) business need, including the requirements of internal and external auditors, e.g. cost centre financial records;
- f) industry best practice, e.g. where no other criterion for retention exists, the practice of other organisations may inform a retention decision.

If these requirements conflict for a given record type, the Schedule shall reflect the longest retention period given.

The cost of record storage may be taken into consideration if the proposed operational or business retention period is significantly longer than the statutory or regulatory requirement. Corporate Records Retention Schedule

The Head of Corporate Records Management shall maintain a Corporate Records Retention Schedule in liaison with Business Functions.

The Head of Corporate Records Management shall:

- a) manage this Schedule under change control; and
- b) amend entries in the Schedule to reflect changes in:
  - i. statutory;
  - ii. regulatory;
  - iii. legal;
  - iv. operational; or
  - v. business needs.

Where a retention period is based on a statutory provision, reference shall be made in the schedule to the relevant statute.

The Retention Schedule shall be defined by:

- a) Business Functions;
- b) activities;
- c) processes; and
- d) transactions.

The Retention Schedule shall:

- a) show retention periods as a specific time period commencing either with the start date of the record or an alternative, defined event; or

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b) indicate a Review date

The Retention Schedule shall indicate where records are to be offered to the Corporate Archive.

### 7 Disposal of records at end of retention period

Records shall be disposed of at the end of the retention period following the process defined in NR/L3/INF/02231.

### 8 Updating the Schedule

If a record type is not included in the Schedule or the entry needs to be amended, the Owner of that record type shall determine the operational requirement to retain the record by taking into account these prompts:

- a) are the records likely to be required by the organisation in relation to current and future operations and, if so, for how long and for what reason;
- b) are the records required to enable the business to continue to function. When will the activity to which they relate be complete;
- c) are there any internal requirements to retain the records, e.g. company standards and safety cases;
- d) is the record duplicated, that is, do other Functions or Teams hold the same record? If so, is this the original or a copy? If copies are distributed to several locations, who will manage the original;
- e) does the record have a commercial value, such as the commercial advantage to be gained by providing contractors with the correct information? If so, for how long will it retain its commercial value.

The Owner shall inform the Head of Corporate Records Management of the record type and the operational retention requirement.

If a record type is to be removed from the Schedule, the Owner of the record type shall inform the Head of Corporate Records Management.

The Head of Corporate Records Management shall:

- a) determine the statutory and regulatory retention requirements; and

*NOTE: The Head of Corporate Records Management might need to consult Legal Services to determine these requirements.*

- b) obtain sign-off to the addition, amendment or removal of a retention period from the Functional Head.

The retention schedule is a live document that is reviewed and updated as necessary. All updates are authorised with Legal Services and the Head of Corporate Records Management before being published. The standards webpage provides a link to the schedule.