

Ref:	NR/L3/INF/02225
Issue:	1
Date:	07 March 2009
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Level 3

Records management

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Issue record

Issue	Date	Comments
1	07 March 2009	New Standard

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 01 Oct 2009.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 4 to continue to comply with the Issue of any relevant Network Rail Standards current when GRIP Stage 4 was reached and not to comply with requirements contained herein, unless the designated Standard Owner has stipulated otherwise in the accompanying Briefing Note.

Reference documentation

NR/L2/INF/02220	<i>Document and records management</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/02226	<i>Corporate Records Retention Schedule</i>

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1 Purpose

This Network Rail standard is part of a suite of standards published to support the Document Management Policy and the Records Management Policy.

2 Scope

This Network Rail standard specifies a minimum required process for managing Network Rail corporate records.

It applies to all records created, received and managed by Network Rail and the processes, tools and resources employed to manage them.

3 Definitions

accepted

status of an externally produced document when it has been approved for use by Network Rail

archive

records irrespective of current age or physical format that are deemed worthy of permanent retention because of their historic value

business critical records

records without which an organisation could not continue to operate. They are the records that contain information needed to re-establish the organisation in the event of a disaster that destroys all other records. They are the records that protect the assets and interests of the organisation

content

information contained within a document

context

relationship between the newly updated record and the infrastructure or other subject matter it represents

destruction

process of eliminating records beyond any possible reconstruction

disposal

destruction, sale or transfer of records at the end of their retention period

Disposal Hold

records pertaining to pending or actual legal proceedings or investigation that are not be destroyed until resolution of such proceedings or investigation

document

recorded information that can be used as a unit

metadata

data describing content, context and structure of documents and records and their management through time

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physical records

records held on a physical media including paper, microfilm, CDs, magnetic and CCTV tapes and 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

retention review

examination of records to determine whether they should be disposed of at the end of their retention period

4 Roles and responsibilities

authorised person

person authorised by their management to request access to a particular record to carry out their work

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

responsible person

person requesting access rights to a copy of a record

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 NR/L2/INF/02220, *Document and records management*, Appendices A and B.

NR/L2/INF/02220, *Document and records management* specifies the process through which Network Rail manages its records.

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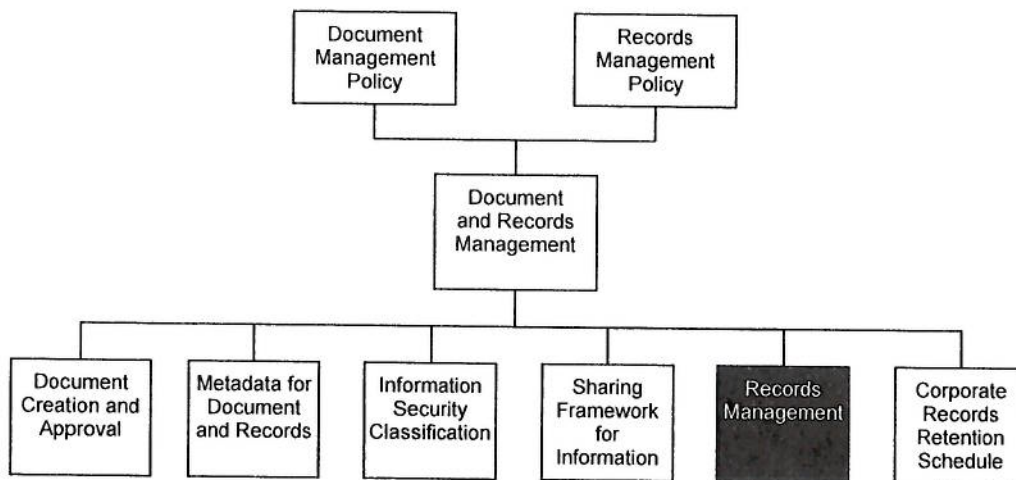


Figure 1 – Suite of standards published to support the Document Management and Records Management Policies

6 Record process principles

6.1 Record creation

A record shall be created:

a) by one of three common triggers:

- 1) a person working in or for Network Rail creates a record from a document; or
- 2) a Controlled Document reaches the stage in its lifecycle when it becomes a record in line with NR/L3/INF/02204, *Document creation and approval*; or

NOTE This will continue to be referred to as a "Controlled Document" after declaration as a record.

- 3) an externally created document is received by Network Rail; or

b) from an existing record:

- 1) an author or authorised person creates a document copy from a record (6.2); or
- 2) an authorised person from Network Rail is given rights to a copy of a record (6.3); or
- 3) an external party is given a copy of a record (6.4).

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6.2 An author or authorised person creates a document copy from a record

The author or authorised person with appropriate access rights may take a copy of a record and use this to create a new document which may be declared as a record.

NOTE For example, an Approved Document might exist as a number of records, each representing a particular peer review cycle.

6.3 An authorised person from Network Rail is given rights to a copy of a record

NOTE In certain circumstances, an authorised person might require a copy of a record to which they do not have access, e.g. a copy of a record might be needed to undertake work on the infrastructure.

The authorised person shall request a copy of the record from the Owner or Custodian of the record.

The Owner or Custodian shall assess this request, taking into account the security classification and content of the record. If access is granted, the Owner or Custodian shall provide a suitable copy of the record or transfer appropriate access rights to the authorised person.

A log shall be maintained of changes in access rights to the record.

The authorised person may use the copy to create a new document. This new document shall then conform to NR/L3/INF/02221, *Document creation and approval*.

At a relevant stage in the document lifecycle, the authorised person may submit the resulting new record to the Owner or Custodian. This new record represents an updated version of the original record and the Owner or Custodian shall check the context of the new record before acknowledging it as fit for purpose.

6.4 An external party is given a copy of a record

NOTE The process for granting access rights to an external party for internal Network Rail records is described in NR/L3/INF/02224, Sharing framework for information.

In addition to the process described in 6.3, the Owner or Custodian follow the process specified in NR/L3/INF/02224, *Sharing framework for information* before deciding whether to supply a copy of a record.

The external party may use the copy to create a new document. When the new document is received by Network Rail, it shall be considered as a record and shall follow the processes specified in NR/L3/INF/02221, *Document creation and approval*.

At a relevant stage in the document lifecycle, the external party may submit the new record to the original record Owner or Custodian. This new record represents an updated version of the original record and the Owner or Custodian shall check the context of the new record before accepting it.

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6.5 Checking the content or context of a record

When the Custodianship of a record is transferred or rights of access are granted, and at other key stages of the record lifecycle, the Owner or Custodian shall check the content and/or context of a record.

- a) *Content* checks shall be made to ascertain if the record is fit for purpose. In the case of asset related records, these checks shall be done to standards determined by the appropriate professional head.
- b) *Context* checks shall be made to ascertain if the metadata for the record are fit for purpose and meet appropriate Network Rail standards.

6.6 Management and storage

The Owner shall manage records in line with Network Rail standards. The Owner may delegate some of these accountabilities to another person or group within Network Rail, referred to as the Custodian.

Records and associated metadata in all formats shall be managed in an appropriately secure environment and in a manner that allows efficient and timely retrieval, with written responsibilities and consistent with appropriate Network Rail standards. Business critical records may be identified and managed by a more stringent process.

Business Functions shall notify the Corporate Records Manager of any collections of records stored outside of Network Rail premises or designated stores, including the storage of electronic records in external storage facilities. The Corporate Records Manager shall be satisfied that these facilities meet corporate records storage requirements.

6.7 Record transfer

6.7.1 Permanent transfer of custodianship of records between two Functions in Network Rail

Two Functions may agree between themselves to transfer permanently the custodianship of collections of Network Rail records.

The Functions shall do this consistently with regard to appropriate Network Rail standards and procedures, and shall notify the Corporate Records Manager of the transfer of any major record collections.

The Corporate Records Manager shall be accountable for making appropriate changes in any index information that is held as to the custodianship of records in Network Rail.

If a project is suspended or cancelled prior to completion, and if potentially valuable or re-usable records have been created, the Project Manager shall agree with the Corporate Records Manager any special arrangements for managing those records.

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6.7.2 The permanent physical transfer of a record from Network Rail to a Third Party

Network Rail may permanently transfer records to a Third Party. The process in 6.7.1 shall be followed, but with the agreement of the Owner of the records. In addition, the Legal Department shall be consulted regarding any liability implications.

6.8 Replacement or amendment of records

6.8.1 The replacement of a record by an updated record

A new record may represent an updated version of an existing record.

The metadata of both records shall be changed to reflect this relationship.

6.8.2 Temporary amendment or annotation of a record

When a temporary amendment or annotation of a record is required, an authorised person shall request access to the record from the Custodian of the record unless they already have appropriate access rights. The Custodian shall assess this request, taking into account the security classification and content of the record. If access is granted, the Custodian shall supply the record to the authorised person.

The authorised person may modify the record by "redlining" or other process to support the work being undertaken and, at the end of this process, an appropriate authority shall verify the changes as fit for purpose.

The authorised person shall check that the metadata of the record remains valid and then submit the amended record to the Custodian.

When the amended record is received, the Custodian shall follow the checking and validation processes specified in NR/L3/INF/02221, *Document creation and approval*.

The Custodian shall maintain a log of changes to access rights, record content and metadata

6.9 Retention and disposal

Custodians and Owners shall regularly refer to the Corporate Records Retention Schedule and apply appropriate retention periods to records.

The Custodian or Owner shall inform the Corporate Records Manager of any records not listed on the Schedule and provide the operational retention requirements. The Custodian or Owner shall inform the Corporate Records Manager of any requested changes to retention periods.

Records shall be destroyed at the end of the retention period. If there is a defined business reason to do so, the Custodian shall contact the Owner at least one month before the end of a retention period is reached to inform them that the disposal action will be executed within in a defined period.

Any records subject to a Disposal Hold shall be retained until all legal actions are resolved, in agreement with the Legal Department.

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6.10 Training

In line with the Governance Framework, the Owner shall provide any required training and guidance on record management processes.