

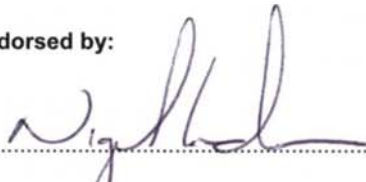
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Date:	07 March 2009
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Level 2

Document and 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 October 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/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/02226	<i>Corporate Records Retention Schedule</i>

The Railway Heritage Act, 1996

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1 Purpose

This Network Rail standard specifies requirements to fulfil the Document Management Policy (Appendix A) and the Record Management Policy (Appendix B).

Documents support Network Rail in running the business, whilst records provide evidence of decisions and actions. Both have distinct lifecycles and require management as specified in this standard.

Good corporate records enable an organisation to conduct its business efficiently and effectively and provide accountability for its actions.

2 Scope

This Network Rail standard specifies the minimum requirements for the management of documents and records.

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

3 Definitions

For the purposes of this standard, the following definitions apply.

approved document

document, the content of which goes through a formal stakeholder review process and approval prior to issue

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

Controlled Document

document issued by a version controlled process with clear accountabilities for content and release

Controlled Publication

document generated under a formal system of origination, review, approval and issue control that is subject to updating and whose contents is kept current for use by recipients

NOTE The classification is restricted to documents whose receipt is formally controlled because safety risk or significant loss control risks might otherwise arise.

declaration

process by which a document is assigned record status by the author, the owner or other appropriate person

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designated records

records judged to have a historical value by the Railway Heritage Committee

document

recorded information that can be used as a unit

Governance Framework

framework of accountabilities and responsibilities that maps business, legal and regulatory requirements to individual posts and roles

metadata

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

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 schedule

document setting out the retention periods for specific types of records, based on an assessment of the records' operational, business, legal and regulatory value

security classification

scheme for identifying generic classes of information security defined as "Public", "Internal", "Confidential" and "Secret"

4 Roles and responsibilities

Owner

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

5 Management of documents and records

5.1 Introduction

Documents and records shall both follow a lifecycle from inception to disposal.

Records shall contain valid content and metadata. They shall be protected from change in order to demonstrate authenticity, integrity and authority.

Once a document has been declared as a record, no changes shall be made to the record unless made in accordance with NR/L3/INF/02225, *Records management*.

NOTE Not all documents become records. Examples of records are financial reports, Board Minutes and Health and Safety files. Examples of documents that are not records are drafts and unauthorised reports.

Accountabilities for the management of documents and records shall be role-based. The Corporate Records Manager shall oversee role definitions when the prime focus of the role is the management of documents and records within Network Rail.

Records shall be managed to a more rigorous system of control than documents. The Corporate Records Manager shall be responsible for the generic, corporate processes for managing records.