
The Coal Authority

Records Management Policy

This document sets out the Records Management policy for The Coal Authority, and the standards that must be applied. Guidance and procedures on how to follow policy and standards are separately published in the Records Management Manual.

Everybody who is employed by the Authority has a responsibility for Authority Records and this Policy is intended as a reference document for Authority staff. It is an internal document and the approved policy is published both on the Authority intranet and also on its website www.coal.gov.uk within the Freedom of Information Act 2000 Publication Scheme.

V2.2 February 2005

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Document History

Location

This is a key project record. The source of the record will be found in the Wisdom EDRMS/Records Centre/CA27/1/1/1.

Revision History

Date	Revision	Summary of Changes
		(previous versions)
14 th November 2003	0.4	Update to Records Policy, to amend Policy to cover electronic records
21 st November 2003	0.5	Revised after review by Records Manager
17 th December 2003	0.6	Revised after EDRM Project Board Meeting of 15 Dec 03
20 th January 2004	1.0	Published on the Intranet
23 rd February 2004	1.2	Revised and modified after EDRM Project Board Meeting of 19 th January 2004
22 nd March 2004	1.3	Revised and modified after EDRM Project Board Meeting of 12 th March 2004
23 rd March 2004	1.4	Update to contents page
25 th March 2004	1.5	Presentational Modifications
30 th March 2004	1.5	Approved by Project Executive (Sally Brook Shanahan)
1 st April 2004	2.0	Published on the Intranet and Internet
20 th October 2004	2.1	Additions to Scope of the Policy
4 th February 2005	2.2	Amendments to Scope and Creation of a further Annex listing other Authority systems

Approvals

This document requires the following approvals.

Name	Signature	Title	Date of Issue	Version
S Brook Shanahan		Solicitor & Secretary	4 th February 2005	2.2
Brian Thornton		Records Manager	4 th February 2005	2.2

Distribution

This document has been distributed to

Locations	
The Coal Authority Intranet	http://caweb03/teampages/ebusiness/edrm/index.cfm
The Coal Authority public web page	http://www.coal.gov.uk

1 Records Management Policy

1.1 Purpose

1. This is the Records Policy of The Coal Authority (the “Authority”). The Records Policy (the “Policy”) aims to ensure that the Authority:
 - a. Has appropriate Records to meet its business needs and the needs of its stakeholders;
 - b. Operates Records management procedures and practices which conform to applicable legislative requirements;
 - c. Clearly defines responsibilities and accountability for Records;
 - d. Provides staff with the resources, knowledge, competences and procedures to manage Records to meet the requirements of this policy
 - e. Addresses its obligations under the Freedom of Information Act 2000 to have a policy in operation for the management of its records and which facilitates them being open where appropriate.
2. The Policy is supported by detailed standards and procedures in the Records Management Manual, by functions of Records Management systems, and by staff training and communication programmes.

1.2 Policy Statement

1. The Authority will document its business activities with Records that are complete, authentic, reliable, secure and accessible and manage those Records in accordance with all applicable legislative requirements throughout their lifecycle.

2 Definition of a Record

1. For the purposes of the Policy, a Record is defined as:

Recorded information, in any format, which is created or received and maintained by the Authority in the transaction of business or the conduct of affairs that comprises significant content, context and structure to provide evidence of such activity.
2. Content meeting the definition of a Record may exist in one or several of the following formats:
 - a. Paper and other documents in record files covers
 - b. Contents of archive boxes
 - c. Loose papers with record content
 - d. Plans on paper, film or metal base
 - e. Handwritten notes, and handwritten annotations on printed documents
 - f. Signed or initialled printed documents
 - g. Invoices and contracts
 - h. Print out reports
 - i. Audio, video or digital recordings
 - j. Single computer files, including MS Office documents and images
 - k. Compound computer files, including databases and back-ups
 - l. E-mails with or without attachments

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- m. Photographic prints and negatives
 - n. Completed paper forms and electronic forms
 - o. Archive and back-up magnetic tape and other off-line media
 - p. Microfiche and microfilm media
 - q. Authority Publications
 - r. Authority website content
 - s. Intranet content
 - t. Any other format not listed above

3 Scope of the Policy

1. The Policy covers Records and Record collections acknowledged as belonging to the Authority. The acknowledged list of Records and Records collections is maintained in the Authority's respective Corporate File Plans for each record collection, as defined in the Records Management Manual.
2. The Policy applies whatever the format of Records. The different formats of Records are set out in paragraph 2.2 of this policy and include paper, photographic, microfilm and electronic records.
3. The Policy applies wherever the Records are located. Record locations include physical Records owned by the Authority:
 - a. Stored at The Authority's Records stores or booked out to Authority staff
 - b. Stored in other Authority office locations
 - c. In legitimate off-site custody of Authority staff and contractors
 - d. In the legitimate custody of other organisations and contractorsThe Policy relates to physical and electronic Records managed by the Authority's Electronic Documents and Records Management System (EDRMS), and electronic Records captured and managed by other Authority systems including but not limited to those listed in Appendix B:
4. It is, however, recognised that the Sun Accounting System is a licensed software application holding the Authority's electronic accounting records with its own archiving standards and procedures. As with all accounting packages it has been developed in compliance with Companies Acts, Finance Acts, UK Gaap and meets the requirements placed on the Authority's Chief Executive as Accounting Officer under 'Government Accounting' and the Management Statement.

4 Policy Relating To Electronic Records

1. The Authority deems that electronic Records are an asset that requires careful control and the diligent application of standards to all systems and processes within the organisation. The systems and processes are required to:
 - a. Identify whether they deal with Records, electronic Records or electronic documents
 - b. If they do deal with such Records, the system or process must maintain them so that the record nature remains intact
 - c. Provide information on the Records or documents as required for inclusion as part of a collection in the inventory of record collections
 - d. Provide the Records for registration, transfer or disposal according to the Records Management Manual
 - e. Keep the Records secure and monitor access in accordance with the Records Management Manual noting that wherever possible all records should be open unless there is a business reason to restrict access
 - f. Have regard for legal requirements included but not limited to those listed at paragraph 9 of this policy.
2. The Authority will monitor electronic Records and electronic documents to ensure that:
 - a. All records that should be captured are being managed electronically throughout their lifecycle, and that
 - b. There is no unwarranted duplication between the paper and electronic record collections, and that
 - c. The metadata relating to records is captured and preserved appropriately, and that
 - d. The EDRMS clearly shows where the record is located, (including records held in other records collections) and in which form it is held.

5 Policy Implementation and Communication

1. Clear implementation procedures in the Records Management Manual must ensure that all staff are aware of the importance of Records management, and of their role and responsibilities for compliance with the Policy.
2. Recorded information is a corporate wide resource and to facilitate access, wherever possible, records should be declared into the EDRMS as Unclassified.
3. The Policy is promoted and explained to all staff through related training, briefings and publications.
4. New staff are directed to their responsibilities for Records at the start of employment.
5. The Authority will provide sufficient resources, including training, for every member of staff to comply with Records Policy.
6. Failure to comply with the Policy may lead to disciplinary action, at the discretion of the Authority.
7. The Authority provides means of communication for staff to register any issues affecting compliance with the Policy and following of procedures in the Records Management Manual.

6 Records Management and Business Activities

6.1 Records resulting from business activities

1. All Authority business activities must be documented by Records that comprise sufficient content, context and structure to provide evidence of the activity.
2. All Records must meet the following criteria:
 - a. The Records are present - *The information needed to reconstruct activities and transactions that have taken place is recorded.*
 - b. The Records can be accessed - *It is possible to locate and access the information and present it in a way that is true to the original.*
 - c. The Records can be interpreted - *A context for the information can be established showing when, where and who created it, how it was used and how it is related to other information*
 - d. The Records can be trusted - *The information and its representation exactly matches that which was actually created and used, and its integrity and authenticity can be demonstrated beyond reasonable doubt*
 - e. The Records can be maintained - *The record can be deemed to be present and can be accessed, interpreted and trusted for as long as necessary.*

6.2 Records Management System and Process Requirements

1. Authority systems and processes that manage Records must:
 - a. Capture and maintain reliable, authentic and trustworthy Records;
 - b. Differentiate between documents and actual Records;
 - c. Enable audit trails;
 - d. Facilitate the appraisal, selection and disposal of Records;
 - e. Keep Records secure and control and monitor access to Records in accordance with Authority access policies and guidelines.
2. All Authority Records management systems and processes must comply with applicable legal requirements.
3. The Authority will regularly review its systems for managing Records to ensure that they are capable of capturing and maintaining reliable, authentic and trustworthy Records.

7 Policy Review

1. This policy will be reviewed formally at least annually by the Records Management Department and re-issued if changes to it are necessary.

8 Electronic Communication

1. Coal Authority staff should use all reasonable endeavours to use and promote electronic communications wherever possible with customers, stakeholders and contractors.

9 Appendix A - Legislation and Standards Relating To Records Management

9.1 Acts of Parliament

Including set out below and any subsequent re-enactments:

Public Records Acts 1958 and 1967
Companies Acts 1985 and 1989
Data Protection Act 1998
Electronic Communications Act 2000
Freedom of Information Act 2000
Human Rights Act 1998
Regulation of Investigatory Powers Act 2000

9.2 Government Programme

Modernising Government (Command 4310)

9.3 Codes of Practice

Open Access - the Code of Practice on Access to Government Information
The Lord Chancellor's Code of Practice on the Management of Records under Section 46 Freedom of Information Act
The Lord Chancellor's Code of Practice on the Discharge of the Functions of Public Authorities under Part I of the Freedom of Information Act 2000 (July 2002)

9.4 BSI Standards and Codes of Practice

BS ISO 15489 Information and documentation – Records management. British Standards Institute, 2001
BS ISO 7799 Information Technology. Code of Practice for Information Security Management. British Standards Institute, 2000
BS 4783 Storage, transportation and maintenance of media for use in data processing and information storage. British Standards Institute, 1988
BS 5454 Storage and exhibition of archival documents. British Standards Institute, 1989
PD0008 A Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically (edition 2). British Standards Institute, April 1999.
PD0010 The Principles of Good Practice for Information Management. British Standards Institute, 1997.

9.5 National Archives Office Standards

Including but not limited to:

RMS 1.1 File Creation 1998
RMS 2.1 Tracking Records 1998
RMS 3.1 Storage of Semi-Current Records 1999
RMS 3.2 Business Recovery Plans 2001
RMS 5.1 Disposal Scheduling 1998

10 Appendix B – Other Record Keeping Systems

This Policy also relates to electronic records captured and managed by other Authority systems including but not limited to:

- MRSDS
- Coracle
- Surface Hazards database
- Property Terrier
- Subsidence database
- Asset Register

11 Appendix C – Records Management Policy Sign off

This sign off sheet relates to the Coal Authority Records Management Policy V2.2 dated 4th February 2005. A copy of the policy is available on the staff Intranet for you to read.

Should you have any enquiries please contact the Records Department on extension 217.

This form must be signed and returned to the Records Manager. You should keep a copy of the form for your records.

I acknowledge receipt of the document entitled
“Records Management Policy V2.2”

Signature

Date

Print Name (block capitals please)