

Policy

P118 A2

Corporate Archives

1 Purpose

- 1.1 The purpose of this policy is to set out the practices to be followed by TfL, its subsidiaries and business partners and their sub-contractors, in relation to the collection and permanent preservation of material suitable for inclusion in the TfL Corporate Archives, irrespective of the format or media on which they are held.
- 1.2 The policy describes the remit for collecting of the TfL Corporate Archives, basic collecting statements, and arrangements for the administration of the TfL Corporate Archives service.

2 Organisational scope

- 2.1 This policy applies to all TfL Personnel.
- 2.2 The policy covers all Information and Records created or acquired to support TfL's business activities.
- 2.3 External service providers must adhere to the principles of this policy.

3 Policy statement

- 3.1 All Information and Records created or acquired by TfL in the course of its business activities are the physical and intellectual property of TfL unless otherwise specified.
- 3.2 TfL recognises the collection, management and permanent Preservation of its Archives as a specific corporate obligation and information asset and will provide the necessary levels of organisational support and resources to ensure their survival and effectiveness.
- 3.3 With regard to the collection of Archives, TfL will adhere to the principles laid out in the Transport Act 1968 Section 144 as amended by the Railway Heritage Act 1996 and Greater London Authority Act 1999.
- 3.4 Information Governance will bring together responsibilities for Archives in all formats, including Digital Archives, from the creation and management of Records through to their selection and permanent Preservation and will encourage the exploitation of the Archives as a corporate resource.

4 Policy content

- 4.1 To support the continuing conduct of business, comply with the regulatory environment and serve TfL's legal needs, TfL will collect Records for permanent Preservation as part of the TfL Corporate Archives and provide access to those Archives for as long as required.



- 4.2 TfL will comply with the principles of the Data Protection Act 1998 and the Freedom of Information Act in the administration of and provision of public access to the TfL Corporate Archives.
- 4.3 Information Governance will raise awareness and understanding of London's transport network heritage through the promotion of the TfL Corporate Archives as an historical asset and will, in collaboration with the LTM and other partners, encourage the use of the Archives by external stakeholders, including academic researchers, business and commerce and the general public.

5 Responsibility

- 5.1 Information Governance is responsible for managing all aspects of historical Archives, including this policy, the collection and permanent Preservation of Archives, the provision of access to Archives, and co-operation with other institutions collecting and holding related Archives of interest to users of TfL's Corporate Archives.
- 5.2 Information Governance is also responsible for developing and managing the Information and Records Management Policy and related procedures, including corporate Information and Records Disposal Schedules.
- 5.3 Information Owners are responsible for the application of the Information and Records Management and Corporate Archives policies, standards and guidelines throughout and on behalf of TfL, including making Records available for selection by the TfL Corporate Archives.
- 5.4 All TfL Personnel are responsible for keeping accurate and complete Records of their activities.

6 Procedures/Guidelines/Processes

- 6.1 All Information held by TfL must be managed in accordance with TfL's:
- a) [Information and Records Management Policy](#)
 - b) [Information Security Policy](#)
 - c) [Privacy and Data Protection Policy](#)
 - d) [Information Access Policy](#)
- 6.2 The Head of Information Governance will appoint a suitably qualified individual to perform the role of Corporate Archives Manager. The Corporate Archives Manager will be responsible for helping Information Owners identify the categories of Records designated for permanent retention. The Corporate Archives service will be supported by a team of professionally qualified staff.
- 6.3 The selection of Records for permanent Preservation as part of the TfL Corporate Archives will be carried out within the context of the TfL Corporate Archives collections procedure as follows:
- 6.4 Records selected for Deposit in the TfL Corporate Archives will:
- a) Have been created by or on behalf of TfL, its predecessors, subsidiaries, business partners and subcontractors in the course of its proper business

- b) Relate to the formation, governance and history of TfL, its subsidiary organisations and their predecessors
 - c) relate to the role of TfL in the wider community.
 - d) have long-term historical value, have the potential to enhance existing collections, and be relevant to major projects and works, or be relevant to current educational and research interests.
 - e) Exceptions will be made and externally created records selected where they are deemed of intrinsic value to understanding the history of the organisation.
 - f) Where sizeable collections of records are concerned, consideration will also be given to the cost of cataloguing, conserving and storing the records. These considerations may result in a decision being made to select a sample of the collection only.
- 6.5 The Commissioner, Chief Officers and other individual TfL Personnel who have performed roles of key significance in the context of TfL's history will be invited to Deposit relevant personal papers in the TfL Corporate Archives in addition to Records created in a professional capacity.
- 6.6 Staff associations, societies and clubs directly related to TfL, its subsidiaries and predecessors, will be invited to Deposit their Records in the TfL Corporate Archives.
- 6.7 Records selected for permanent Preservation will reflect TfL's core business functions as follows:
- a) Transport: the history of the means of transport or transport systems supervised, developed, operated or considered by TfL, its subsidiaries and predecessors
 - b) Transport technology: the development of technological and engineering devices and processes by TfL, its subsidiaries and predecessors
 - c) TfL as an organisation: the history of the operations, policies, working practices, decisions, finances and promotion of TfL, its subsidiaries and predecessors
 - d) London and its neighbourhoods: the role of TfL, its subsidiaries and predecessors in the development and evolution of London as a metropolis and of its neighbourhoods, suburbs and local government.
- 6.8 Descriptions of all Records selected for permanent Preservation as historical archives will be:
- a) Catalogued in compliance with international standards eg ISAD(G)
 - b) Recorded and published in the TfL Corporate Archives Catalogue.
- 6.9 The TfL Corporate Archives Catalogue will be made available online via the TfL website and other public websites, such as The National Archives' website, as appropriate.
- 6.10 All Records in all media and formats, including Data Sets, will be kept securely and made available for inspection in accordance with the requirements of this Policy. Physical objects (such as paper documents and models) held as Archives will be

made available for supervised inspection within appropriate secure facilities. Digital Archives will be made available for viewing electronically.

- 6.11 TfL will house its permanent collections in suitable facilities, both onsite and offsite, to ensure their preservation. Physical records will be stored in conditions compliant with BS/EN 16893. Digital records will be managed and stored in an electronic environment compliant with ISO 14721:2012.
- 6.12 Records held as part of the TfL Corporate Archives are acquired and developed according to the Collections Development policy. The preservation of collections is managed according to the Conservation and Preservation policy.
- 6.13 TfL will co-operate with external archive institutions collecting and holding related Archives of known or potential interest to users of the TfL Corporate Archives. This may include the transfer of physical archive holdings to institutions able to provide public access to them on behalf of TfL; such arrangements are currently in place with the London Metropolitan Archives and The National Archives.
- 6.14 Information Governance will collaborate with the LTM to ensure that the collection policies of both are complementary, mutually agreed and effectively pursued in support of the preservation of the TfL Corporate Archives and transport collections respectively. Awareness of, and access to, the TfL Corporate Archives will be promoted through the LTM, including through the use of exhibitions and publications which make use of both collections. Information Governance and LTM will align collection procedures to ensure that submitted items are assigned to the appropriate collections and that TfL's identity, particularly when presented to the public, is maintained.
- 6.15 TfL will also co-operate with its business partners to ensure that any Records of possible historical value held by them on TfL's behalf are made available for selection by Information Governance.
- 6.16 Management of Digital Archives: TfL will take into account best practice, such as generic requirements for electronic Records Management systems and Digital Continuity and Preservation endorsed by the National Archives as a model when developing its own specifications for such systems and strategies.
- 6.17 Internal Audit will monitor compliance with this Policy, including inspecting business units to ensure that they are fully aware of their responsibilities.

7 Person accountable for this document

Name	Job title
Tamara Thornhill	Corporate Archives Manager

8 Definitions

Term	Definition	Source
Archives	Refers both to an accumulation of Records which has been appraised as having continuing business and/or historic value and is therefore retained permanently and to the physical repository in which that Records accumulation is stored.	Glossary



Data Set	A collection of data, usually presented in tabular form	Glossary
Deposit	An addition to a collection of Archives.	Glossary
Digital Archives	Archives held in electronic format	Glossary
Digital Continuity	The process of protecting digital Records from technological obsolescence, including migration to new formats as appropriate.	Glossary
Disposal	The process of either destroying Information and Records at a specified time or designating their permanent retention in the TfL Corporate Archives as part of the corporate memory.	Glossary
Information	Any information, data or Records, irrespective of format or medium, which are generated or used by a business system or process. Examples include electronic communications, emails, video recordings, hard copy (paper) files, images, graphics, maps, plans, technical drawings, programs, software and all other types of data.	Glossary
Information and Records Disposal Schedule	A set of instructions allocated to a class of records to determine the length of time for which the Records should be retained by the organisation for business or legal purposes and their appropriate disposal.	Glossary
Information and Records Management	The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of Information and Records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of Records.	Glossary
Information Governance	The business unit within General Counsel with administrative responsibility for managing the TfL Corporate Archives and the TfL Records Store.	Glossary
Information Owners	Senior managers, who are responsible for managing the acquisition, creation, maintenance and disposal of TfL's Information within their assigned area of control.	Glossary
Internal Audit	A business unit within General Counsel.	Glossary
ISAD(G)	The International Standard Archive Description (General) used to catalogue archival holdings.	Glossary
London Transport Museum (LTM)	The TfL subsidiary responsible for preserving and interpreting London's transport heritage as part of its charitable objectives.	Glossary
Preservation	The processes and operations involved in ensuring the technical and intellectual survival of authentic Records through time.	Glossary
Records	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.	Glossary

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Semi-current Records	Records no longer in active use which may be transferred to an external storage provider or lower tier electronic storage pending disposal.	Glossary
Transport for London (TfL)	The statutory corporation, Transport Trading Limited and its operational subsidiaries.	Glossary
TfL Corporate Archives	Refers, interchangeably, to the corporate function of managing TfL's Archives, the physical Archives facility and the collections of Records in the Archives.	Glossary
TfL Personnel	Includes all TfL employees as well as all temporary staff, contractors, consultants and any third parties with whom special arrangements (such as confidentiality and non-disclosure agreements) have been made.	Glossary
TfL Records Store	The external storage facility housing TfL's Semi-current Records in hard copy and portable digital media formats pending disposal.	Glossary

9 Abbreviations

Abbreviation	Meaning
ISAD (G)	International Standard Archive Description (General)
LTM	London Transport Museum
TfL	Transport for London

10 References

Document no.	Title or URL
-	Transport Act 1968 Section 144 as amended by the Railway Heritage Act 1996 and Greater London Authority Act 1999
-	Data Protection Act 1998
	British Standard BS 7474

11 Document history

Issue no.	Date	Changes	Author
A1	May 2012	This policy was approved by the TfL Leadership Team on 2 May 2012.	
R2	Jan 2020	Review and update using the current TMS template as per change request No. CR-12291	Tamara Thornhill