



# File Retention Period – Technical and Statutory Operations

## Forward

The main aim of this document is to list type approval information assets and attribute appropriate file retention periods for associated contents. Retention periods follow current Agency guidelines (VCARP-2)

## List of Information Assets considered

File Retention Period – Technical and Statutory Operations.....	1
Forward.....	1
List of Information Assets considered .....	1
<i>Asset:</i> Type approval certification (Test reports/Manufacturers documents/Certificates) .....	2
<i>Asset:</i> Interpretations.....	2
<i>Asset:</i> Commission Notice .....	2
<i>Asset:</i> Vehicle Special Orders.....	3
<i>Asset:</i> Traffic enforcement .....	3
<i>Asset:</i> Conformity of production (CoP).....	4
<i>Asset:</i> Legislation (Vista).....	4
<i>Asset:</i> UKAS Accreditation .....	5
<i>Asset:</i> VCA Official Complaints & Appeals Process .....	5
Annex 1 - How long records should be kept .....	6
Disposing of out-of-date records and files.....	7

# **Asset: Type approval certification (Test reports/Manufacturers documents/Certificates)**

## **About the Asset:**

Vehicle Type Approval is the confirmation that production samples of a design will meet the specified performance standards. Type approval documentation consists of:

- Type approval certificate
- Manufacturers documentation
- Test report.

Type approval documents exist in multiple MS Office formats and are stored in three places, historically on the “Q” drive for work in progress, after a period of time approval documentation is moved to the “R” (archive) drive. Since 2012 the repository for approval documentation is through the “GeARs” system (<http://gearprodwfe01:25000/default.aspx>)

## **Retention:**

Database records with summary information are designed as a knowledge resource and should be retained for as long as relevant and reviewed after 20 years.

## **Deleting:**

Head of Branch will authorise deletion of records after appropriate review.

# **Asset: Interpretations**

## **About the Asset:**

The nature of the technical Directives and Regulations that VCA deals with means that there will be a constant need for interpretations (see PC011) of the text. It is vital that consistent interpretations are held throughout VCA on any issue. Questions prior to becoming “formal” interpretations are stored in elog. Interpretations once formalised are stored in Q-Pulse

## **Retention:**

Database records with summary information are designed as a knowledge resource and should be retained for as long as relevant, formal interpretations are reviewed annually.

## **Deleting:**

Head of Branch will authorise deletion of records after appropriate review

# **Asset: Commission Notice**

## **About the Asset:**

Commission Notice is further Type Approval for EU vehicles under 10 years of age being imported into the U.K and requires registration. Commission Notice is a documentation process that requires original documentation from manufacturers and members of the public confirming the vehicle has been changed and now complies with U.K European legislation, this results in further Type Approval being granted and a VCA certificate issued.

Application data is stored within the CRM Commission Notice Database. Scanned applications and documents are saved in the Q drive. Both areas have restricted access.

## **Retention:**

Commission Notice has a retention policy of 5 years due to holding personal data linked with the imported vehicle.

## **Deleting**

No Special requirements needed

# **Asset: Vehicle Special Orders**

## **About the Asset:**

For a vehicle to be used on the roads of Great Britain it must comply with the Road Vehicle Construction and Use Regulations 1986 as amended and Road Vehicle Lighting Regulations 1989 as amended. Where a vehicle cannot meet these regulations but is still required to operate on public roads this can be done if the operator has obtained a VSO permit.

Documents consist of the following:

- Application
- Check sheet
- Certificates

Documents exist in multiple MS Office formats and are stored on J:\TQS\VSO

## **Retention:**

Database records with summary information are designed as a knowledge resource and should be retained for as long as relevant and reviewed after 20years

## **Deleting:**

Head of Branch will authorise deletion of records after appropriate review

# **Asset: Traffic enforcement**

## **About the Asset:**

The asset consists of

- the application pack from the council or manufacturer – mainly electronic but also comprising physical documents and signed forms;
- the review assessment and supporting evidence and correspondence;
- the certification letters;
- tracking and audit information including E-Log database and emails.

The information is stored in H:\Civil Enforcement and is access protected to those handling the information and appropriate managers. The following documents, available in Q-Pulse, provide details of location, access and processing:

- CTES-01 – Approved Device Security Precautions
- CTEF-01 – File System locations and Documents
- CTEP-01 & CTEP-W01 – Approved Devices in (England & Wales)
- CTEW-01 – Approved Device Reviewer Work Instructions

## **Retention:**

VCA agreed as part of the Technical Service agreement for the CTE work to Retain and store the Applicants Submission for Reference. Certification has no time limit and there is no requirement for a compliant system to recertify. Review after 20years

## **Deleting:**

Each application is either complete or relies upon information contained in a previous revision therefore old records cannot be removed.

## **Asset: Conformity of production (CoP)**

### **About the Asset:**

Conformity of Production (COP) is a means of evidencing the ability to produce a series of products that exactly match the specification, performance and marking requirements outlined in the type approval documentation.

Documentation consists of the following:

- Control plans
- ISO certification
- Quality manuals

Documents exist in multiple MS Office formats and are stored in two places – “K” drive and GeARs.

### **Retention:**

Database records with summary information are designed as a knowledge resource and should be retained for as long as relevant and reviewed after 20years.

## **Deleting:**

Head of Branch will authorise deletion of records after appropriate review

## **Asset: Legislation (Vista)**

### **About the Asset:**

VISTA is an electronic technical standards library which contains of all the automotive EU Directives & Regulations and UN Regulations required for Type Approval. The library consist of technical documentation sourced from EU and UNECE web sites, authored and loaded into VCA technical library Vista. Documentation exists in multiple MS Office formats and is stored in G:\Handbook\Document\EWVTA / G:\Handbook\Document\Misc.ECERegs

Subscribers (external manufacturers) may purchase some or all of the technical content of Vista. Subscriber information is held on a data base at the following location H:\VISTA\Customers

### **Retention:**

Technical data is archived to the drive as legislation is updated. Legislation is kept as a reference for a period of 20years

Subscriber information is held while actively receiving Vista products. After subscriptions cease subscriber information is deleted after 2 years

## **Deleting:**

No Special requirements required.

## **Asset: UKAS Accreditation**

### **About the Asset:**

The asset consists of

- UKAS Quotes, Invoices, Certificates and all associated documents.

The information is stored in <http://ecm/sites/cq/accred> and is access protected to those handling the information and appropriate managers.

### **Retention:**

In respect of UKAS Quotes, Invoices, Certificates and all associated documents we have adopted the following retention periods:

- Medium term (> 7 years);

A description of the data types that would fit into these categories are as follows:

Emails, Word, Excel and PDF Files

### **Reviewing and deleting files:**

All UKAS Accreditation documentation in the ECM is monitored by the Agency Records Officer, and the material deleted on reaching the 7 year retention period.

## **Asset: VCA Official Complaints & Appeals Process**

### **About the Asset:**

The asset consists of

- Records of all official complaints & appeals and their documentation.

The information is stored in Q-Pulse and is access protected to those handling the information and appropriate managers. The following document available in Q-Pulse, provide details of location, access and processing:

- Procedure CQ004 – Complaints
- Procedure CQ005 - Appeals

### **Retention:**

In respect of VCA official complaints we have adopted the following retention period:

- Resource management - short term (> 2 years);

A description of the data types that would fit into these categories are as follows:

Emails, Word and PDF Files

### **Reviewing and deleting files:**

The complaints records in Q-Pulse are monitored by the Agency Records Officer, and the complaints (and all associated material) deleted on reaching the 2 year retention period.

# Annex 1 - How long records should be kept

The period during which the contents of an electronic folder or paper file need to be kept can vary from just one year to over thirty.

This is known as the **retention period** which is shown in the disposal agreement for your division. This should be long enough to meet legislative and business requirements.

Remember that records can be in any format.

## General guidance about retention periods

Subject of record	Suggested retention period
resource management	2 to 5 years unless needed for operational purposes
policy development and legal	20 years, especially if of public interest: see 'all 20-year-old records'
routine casework	5 years, longer if there is a business need
public inquiries	to go on completion for 'accelerated opening' to the National Archives
contractual including tendering	minimum of 12 years
financial, including invoice payment	minimum of 7 years
technical records	retention for the life-time of asset: see 'retention past 20 years'
personnel	retention until employee's 100th birthday or later if special case
health and environmental/property	retention for the minimum to cover any related personnel impact
All 20 year old records. (Usually primary policy records)	Changes introduced in 2013 by the Constitutional Reform and Governance Act has changed the 30 year rule to 20 years so that records of 'historical interest' will be transferred to The National Archives (TNA) 20 years after they were created. There will however be a 10 year transition period ending in 2023.
Retention past 20 years	Permissible only if the Advisory Council on National Records and Archives gives approval to the Agency Records Manager to retain records for operational purposes for more than 20 years. The Agency Records Manager must be made aware of any such records in existence.
Special retentions, issues and questions.	Contact Agency Records Officer.

## **Disposing of out-of-date records and files**

Out-of-date records can get in the way of finding useful ones and users are encouraged to delete records that are no longer required either because they are of short-term interest or their usefulness has expired and they are not part of a decision-making process.

All the files/folders opened under a sub-theme should have the same retention period (although a different retention period can be assigned to individual files/folders if unavoidable).

In some instances the retention period can be applied at theme level, so all the sub-themes and the files/folders opened under each of them are all kept for the same length of time. If this is not possible, a retention period can be assigned at the sub-theme level so that all files/folders under that sub-theme are kept for the same length of time.

It is important that Records Management has an up to date record of all retention periods for both paper and electronic records. The retention period must be the same for a hybrid file so that an electronic file folder and its paper equivalent will both be destroyed at the same time.