



# **Disposal of Records Schedule**

## **Driver & Vehicle Testing Agency**

**An Executive Agency within  
Department of the Environment**

**Version Number – 1**

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An Agency within the Department of the

**Environment**

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## **Abbreviations**

BF	Brought Forward
BU	Business Unit
CIECA	International commission for driver testing authorities
CITA	International commission for transport authorities
COIF	Certificate of Initial Fitness
CSC	Civil Service Circular
DMG	Department Management Group
DP	Deputy Principal
DSA	Driving Standards Agency
DVTA	Driver & Vehicle Testing Agency
EC	European Community
EI	Environmental Impact
FAB	Finances Accounts Branch
FPU	Finance Policy Unit
GB	Great Britain
HSAW	Health and Safety at Work
IIP	Investors In People
ISU	Information Systems Unit
IT	Information Technology
NHS	National Health Service
NI	Northern Ireland
NIO	Northern Ireland Office
NICS	Northern Ireland Civil Service
PA	Put Away
PBL	Promotion Board List
PMB	Personnel Management Branch
PQ	Parliamentary Question
PRONI	Public Records Office for Northern Ireland
PS	Permanent Secretary

PSNI	Police Service Northern Ireland
RABSB	Records Administration and Business Support Branch
RAMIS	Resource Accounting and Management Information Systems
RFMS	Record File Management System
RHS	Right Hand Side
SO	Staff Officer
SVA	Single Vehicle Approval
TIR	Transports International Routiers
TPL	Technical Policy and Legislation
UK	United Kingdom
VIC	Vehicle Identity Checks
VOSA	Vehicle and Operator Services Agency

# **1 Introduction**

## **1.1 History of Driver & Vehicle Testing Agency**

The Driver & Vehicle Testing Agency (DVTA) was established as an executive Agency within the Department of the Environment for Northern Ireland on 1<sup>st</sup> April 1992. The aim of the Agency is to promote and improve road safety in Northern Ireland through the advancement of driving standards and implementation of the Government's policies for improving the mechanical standards of vehicles. Its role is vital to promoting road safety in Northern Ireland through the effective and efficient operation of its statutory testing and enforcement activities. The main primary legislation from which the Agency gets its powers to make subordinate legislation is:

Road Traffic (NI) Order 1981  
Road Traffic (NI) Order 1995

# **2 Functions of Driver & Vehicle Testing Agency**

## **2.1 Structure of Driver & Vehicle Testing Agency**

The Driver & Vehicle Testing Agency is an executive Agency within the Department of the Environment. The Agency is headed by the Chief Executive and is comprised of six distinct business directorates, headed at UG7 level. Within each of the six directorates there are a number of Business Units (BU).

## **2.2 Operations**

This unit deals with a range of car and heavy vehicle testing. These include:

- Driving Tests;
- Vehicle Tests;
- MOT2 Contract Management;
- Transports International Routiers (TIR);
- issue of certificates of initial fitness (COIF) for buses manufactured in Northern Ireland for use in GB;

- approval of and monitoring a number of tachograph installations and calibration centres;
- preparation of road traffic collision reports for the Police Service of Northern Ireland, and checking repair work carried out on vehicles after defect of prohibition notices that are issued;
- Vehicle Identity Checks (VIC);
- Single Vehicle Approval (SVA).

### **2.3 Technical Policy & Legislation**

This unit deals with:

- Technical Policy;
- the introduction of new legislation;
- European Union (EU) legislation;
- CIECA;
- CITA;
- research and development (R&D);
- ISO
- VT Quality Control
- business process simulation;
- Driving Test Standards
- Delivery of ADI qualifying examinations and tests of continued ability to instruct; and
- supervising of Driver Testing

### **2.4 Personnel & Customer Services**

This unit includes:

- Human Resources;
- Training & development;
- Equality;
- Customer Services;
- Stationary;

- Annual Report;
- Booking Services Project Contract (BSP);
- Approved Driving Instructors Scheme (ADI); and
- Internal & External Communications.

## **2.5 Compliance & Planning**

This unit is responsible for:

- Compliance;
- Roadside Enforcement;
- Business & Corporate Planning;
- Performance Management;
- Balanced Business Scorecard;
- EFQM; and
- Corporate Management Development.

## **2.6 Corporate Services**

This unit is responsible for:

- Property Services;
- Accommodation Strategy
- Health and Safety;
- Information Technology IT;
- Information Management;
- Theory Test Contract;
- Freedom of Information, Environmental Information and Data Protection;
- Waste management;
- Energy efficiency; and
- File Registry.

## **2.7 Finance**

This unit is responsible for:

- Financial accounts;
- Management accounts;
- Financial procedures;
- Internal audit;
- Corporate Governance;
- Business Planning Model;
- Business Continuity Planning
- Risk Management; and
- Annual Report & Accounts in accordance with the Agency trading fund.

## **3 Contacts With Other Bodies**

In the course of its duties DVTA has contact with:

- other Divisions/Agencies within DOE;
- other NI Departments;
- DSA;
- CIECA;
- CITA;
- European Union officials;
- Vehicle and Operator Services Agency (VOSA);
- European Union Commission;
- Non-Departmental Public Bodies;
- Information Commissioner;
- The Public Record Office of Northern Ireland (PRONI);
- PSNI; and
- Customs and Excise.

## **4 Purpose of Disposal Schedule**

This disposal schedule identifies the disposal arrangements for all records created by DVTA. The schedule complies with the requirements on the Public

Records Act (NI) 1923 and the Disposal of Documents Order (SR & O 1925 No 167).

#### **4.1 Categories of Disposal**

The following headings have been identified as the category titles for disposal:

- Destruction
- Review
- Permanent preservation

### **5 Consultation and Acknowledgements**

DVTA would like to acknowledge all those who were involved in the development and consultation of this schedule.

## **6 Operation of this Disposal of Records Schedule**

### **6.1 Closure**

Records should be closed as soon as they have ceased to be of active use other than for reference purposes. Registered files have a maximum life span of five years. They can be closed at any time up to five years old for the following reasons:

- They reach 2.5cm thick;
- The file subject is finished (e.g. the title is time bounded); and
- Nothing new has been added for two years.

When a file is due to be closed the appropriate officer of at least Staff Officer (SO) grade, should consult the disposal schedule and complete the front cover of the file, indicating the date on which the file can be destroyed, or transferred to PRONI, or whether it should be subject to the normal review procedures. The file should be returned to DVTA file registry who will complete the closure box on the front of the file cover by inserting the date of the last paper, stamping the word closed, and inserting a yellow closure sheet on the inside Right Hand Side (RHS) of the file. The file can be returned to the branch or Put Away (PA) in the file store. Closing a file simply means that no further papers can be added but the file can be used for reference.

### **6.2 Retention Period**

The retention period required for each type of record is calculated from the point the file/record is closed. For example, a Training Plan file, closed at 31.03.02 would be retained for five years, (31.03.07) and destroyed by DVTA at 31.03.07.

### **6.3 Destruction by DVTA**

Records that fall into this category of disposal should already have been closed and the file cover noted with the date of destruction. DVTA will have Brought Forward (BF) the file on the Registry System and will take action to

destroy it. Where the disposal action is 'Destroy by DVTA' or any of the Business Units or Managers in the Division, the records should be kept for the period stated and then destroyed by the Division in accordance with Green Housekeeping and Management Services' security guidance on recycling and shredding.

#### **6.4 Destruction by Business Unit**

Where the disposal action is 'Destruction by Business Unit' the records will be disposed of by the Staff Officer (SO)/Deputy Principal (DP) in charge of the day-to-day operations within the unit.

#### **6.5 Review**

Where the disposal action is 'Review' the file will be subject to the normal review processes. This will be initiated by File Registry. The review procedures are as follows:

- The files concerned should be closed five years after their opening (if they have not been closed earlier for other reasons), and no further papers added.
- An officer of Staff Officer level or above should carry out a first review of each file (five years after its closure or not more than 10 years after the file was opened), based solely on its administrative value. Files recommended for destruction should be referred to PRONI, whose staff will inspect such files to consider whether or not they should be preserved permanently, or held in DVTA storage to await a second review 15 years later.

#### **6.6 Referring Files**

The reviewing officer should also refer files that he/she wishes to keep for administrative purposes to PRONI as in paragraph 2.5 above. The first review monitoring procedure will help to ensure that:

- all types of files or file series have been covered in the disposal schedule; or, if such files have been created since the disposal schedule was established, that they could be added to a revised schedule;
- files of long-term research/historical value can be noted by PRONI for future reference/transfer purposes.

## **6.7 Retention Period**

In normal circumstances, the retention period for such files should not exceed 20 years from their respective closure dates. DVTA will refer all files described in paragraph 2.5 above to PRONI.

## **6.8 Permanent Preservation**

Where the disposal action is Permanent Preservation, the records are exempt from the normal review procedures. If it is considered that a file has historic information, consideration should be given on permanent retention by DVTA at its headquarters in Balmoral Road on special arrangement with PRONI or, alternatively, the file should be sent to File Registry for transfer to PRONI. File Registry will make arrangements to facilitate this process.

## **6.9 Commitment to preserving files/records**

DVTA an Executive Agency within the Department of Environment declares that it will take measures to ensure that the records it creates will be physically well maintained and cared for while they are in its custody, ie, under either destroyed or transferred to PRONI for permanent preservation. These measures will include:

- Removing paper clips and pins from papers before filing, with particular attention being given to those records which, according to the Disposal Schedule, are to be preserved permanently;
- Removing any floppy disk from paper files, and converting its contents to hard copy;
- Using files with file covers as opposed to buff folders, which do not offer the same protection to the papers inside;

- Using continuation files if files get too bulky (ie more than 25 mm thick);
- Punching papers to be filed 25mm in and 25mm down from the edge to minimise the danger of detachment and resulting in loss of information;
- Storing bulky or outsize papers in a pocket or envelope inside the file cover on the left hand side.

## 6.10 Location of Disposal Schedule

The original signed copy is filed in a specific Registered File in DVTA HQ.

File No: 1567/04. Two signed copies are also sent to PRONI.

Correspondence relating to the compilation of disposal schedules must also be held for 10 years. This will include:

- **Review lists:** The Information manager for the Registry System generates these. They list each Business Unit, a schedule number for each Business Unit and every file due for review in each Business Unit. The review lists are placed in registered files at the end of each calendar year. Normally, retention of the review list will be five years from the issue date, unless referring to files that have been destroyed. In that case retain permanently.
- **Review Schedules:** The Registry AA selects the files from the review list, inputs the numbers to the Registry System, which in turn allocates and prints them to a schedule number. Two copies are printed. The original is sent to the Business Unit with the files and the copy kept in a binder in Registry for records purposes. On return of the original, the copy is destroyed and the original placed in a registered file. Normally, retention of the review schedule will be five years from the issue date, unless referring to files that have been destroyed. In that case retain permanently.
- **Schedule lists:** These are completed manually and show the file details, proposed course of action (viz destruction, retention for further review, or permanent preservation) and the number of files sent on

each schedule. They are placed in registered files at the end of each calendar year.

- ***Records transferred to PRONI:*** Lists of records that have been transferred to PRONI should be retained permanently and marked for permanent preservation.

### **Technical Policy & Legislation**

This category includes all records which relate to the policy development and legislation on driver and vehicle testing in Northern Ireland, including European Directives and Legislation. It also includes consultation documents which are part of the policy and legislative processes, legislative procedures and guidance and legislative schedules.

A number of these files may be recommended for retention as they contain information on how policy decisions were made, etc. However, those files simply containing various drafts of legislation need not be retained unless the amendments have been made as a result of a change in policy direction or on legal instruction. Original copies of the signed pieces of legislation *are held in the TPL General Office but are mostly thereafter regarded as the property of Her Majesty's Stationery Office.*

### **Finance**

This category includes all purchasing requests and associated papers, purchase invoices, expense claims, etc, processing of invoices, in-year monitoring procedures and processes of expenditure in accordance with the DVTA Annual Report and Accounts in compliance with trading fund status, background papers, and other finance circulars. These will normally be kept for seven years before review.

### **Business Plan**

The registered files containing the working papers created in composing the DVTA Business Plan, which feeds into the Departmental Business Plan. As the Business Plan is revised and recreated on an annual basis, once a Business Plan has been produced the file must be closed and a new one opened for the following year's Plan. However, as Business Plans frequently cover a three-year period it is recommended that the officer closing the file ensures that a recommended date for review is noted

on the file at the time of closure, to ensure that the file is not disposed of before the information it contains ceases to be useful to the Division.

### **Chief Executive's Office**

Files located in the Chief Executive's Office mostly relate to Private Office/Central Management Branch correspondence, including PQs. The files in this office are subject to the same review rules as all other registered files. However, files relating to a recurring theme or which set precedence should be retained beyond the normal five years if appropriate. Files containing private copies of minutes of meetings, etc should be disposed of at least annually (see section 4 paragraph 4 for Disposal at Business Unit level). After one year, the only remaining copies of the minutes of meetings should be held by those responsible for the secretaryship/management of the groups concerned.

Minutes of Board meetings/notes or records relating to the Agency Board and Agency policy decisions should be retained as a permanent record. It may also be the case that documents of historic value will be retained in an archive held in the Chief Executive's office. However, this can only be by special arrangement with PRONI and normally documents of long-term historic value cannot be retained beyond 20 years, unless there is a continuing administrative need.

### **Information Technology (IT)**

Papers concerning the development of the DVTA IT Strategy, the central DVTA database, the development of the DVTA intranet/web-site, communication with ISU on other IT issues for DVTA on IT security.

### **Human Resources**

This category includes all records relating to:

- *Personal Folders*: individual folders are non-registered files containing details about staff, which is useful for the branch administration, eg working patterns of part time staff, details of leave requirements for part time staff, dates staff commenced working in the branch, home addresses and contact numbers to allow the forwarding of trawls, etc and to make contact during times of prolonged absence.

- *Recruitment / Trawl Notices*
- *Liaison with PMB on recruitment*
- *Deputising*
- *Sick Absence Monitoring*
- *Copies of circulars, trawl notices, etc:* All circulars received are placed on the shared-drive but a hard copy will be printed by the General Office manager, and held on a registered file.

## **Training**

This category includes Personal Development Plans, Training Plans, Training Briefs, presentations and training issues covering the full range of subjects in DVTA.

## **Risk Management**

Contains the DVTA Risk Register.

## **Accommodation**

Files relating to the acquisition of property, property management, accommodation, MOT2, and purchase procurement of personal protective equipment, Health and Safety, etc.

## **Freedom of Information/Data Protection/Environmental Information**

Files relating to:

- The procedures and practices required to ensure compliance with the FOI, DPA and EI Regulations,
- The FOI Publications Scheme,
- DVTA file backlog review,
- DVTA Disposal Schedule,
- Development of DPA compliance policy and procedures,
- Monitoring/registering of FOI/DPA requests for information.

## **Management**

Minutes of Senior Management meetings should be retained permanently and be marked for permanent preservation. Duplicate copies can be destroyed.

## **Health and Safety**

Health and Safety issues, e.g. Accident Register, HSAW Policy statement.

## **DVTA Operations - Centre Records**

Centre records should be disposed in accordance with the Centre disposal schedule as per Appendix A.

## **DVTA Operations - Headquarters Records**

Operation HQ records should be disposed in accordance with the HQ disposal schedule as per Appendix B.

## **MOT2 Records**

Records of DVTA management of MOT2 contract should be disposed in accordance with DVTA disposal schedule.

## **Theory Test Records**

DVTA theory test records should be disposed in accordance with the management of the contract, normally at the end of each financial year in accordance with the DVTA disposal schedule.

## **Booking Service Records**

DVTA Booking Test records should be disposed in accordance with the agreed disposal schedule and in compliance with the management of the contract.

**ADI Records**

ADI records relating to applications for ADI examinations should be disposed in accordance with the DVTA disposal schedule.

**Enforcement Records**

Enforcement records should be disposal in accordance with the Enforcement disposal schedule as per Appendix C.

## 7.0 Disposal Schedule

Work Area	Types of Files/Records	File/Record Action	Retention Period	Final Action	Legislation
<b>DVTA Technical Policy and Legislation</b>	Policy Decisions	Held by TPL Close at end of project or when file reaches 2.5cm thick	Normal Review Process	Determined on Review	
	Development of DVTA Legislation  Primary Legislation from which the Agency gets its powers to make subordinate legislation are: Road Traffic (NI) Order 1981 Road Traffic (NI) Order 1995	Held by TPL Close at end of project or when file reaches 2.5cm thick	Normal Review Process	Determined on Review	
	Policy development including requirements under EC Directives/Legislation	Held by Business Unit responsible, i.e. EC Directive on Driving, ADI Review etc.	Until legislation is cancelled or superseded	Destroyed by Office Manager	
	Consultation Documents	Held by Business Unit responsible Files to be closed after responses to consultation considered	Normal Review Process	Determined on Review	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Finance</b>	Invoices	Close at the end of the financial year in which they were created	6 years	Destruction by Finance Manager	
	Finance Management (Advice and Guidance, and other Procedures)	Close at the end of the financial year in which they were created	6 years	Destruction by Finance Manager	
	Annual Accounts	Close at the end of the financial year in which they were created	6 years	Destruction by Finance Manager	
	Travel & Subsistence	Held in suspended files. Close at the end of the financial year in which they were created	6 years	Destruction by Finance Manager	
	Budgetary Monitoring (In-year monitoring; Monthly Reports; Nominal Roll, etc)	Close at the end of the financial year in which they were created	6 years	Destruction by Finance Manager	
	Budget Bids and Spending Reviews	Close at the end of the financial year following the last year of the survey (e.g. last year of the survey is 2003-2004, file should be closed March 2005)	6 years	Destruction by Finance Manager	
<b>Business Plan</b>	Registered file	Close at the end of the calendar year	Normal Review Process	Determined on Review	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Chief Executive's Office</b>	Registered file Parliamentary Questions, <ul style="list-style-type: none"> <li>• DMG,</li> <li>• PS,</li> <li>• Head NICS requests, etc</li> </ul>	Close in accordance with normal file management procedures	3 years	Destroyed by Office Manager	
	Board Minutes	Close at the end of the financial year	Permanent Preservation	Permanent Preservation	
<b>IT</b>	IT Strategy	Close when strategy is signed off or project finishes	2 years after closure or until superseded.	Destruction by IT Programme Manager	
	Development of Website	Close at end of project	2 years	Destruction by IT Programme Manager	
	Development of Intranet	Close at end of project	2 years	Destruction by IT Programme Manager	
	IT Finance	Close at end of financial year	3 years	Destruction by IT/Finance Manager	
	Data Protection	Close when guidance has been issued	2 years or until superseded	Destruction by IT Programme Manager	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Personnel</b>	Registered Personnel Management issues a) Sick management b) IIP c) HR Policy and Procedure	Close at the end of the financial year	a) Retain for 3 years b) Retain for 3 years c) Retain for 5 years	Destruction by Personnel Officer	
	Flexi sheets	Held by each individual	3 months after the period to which they refer.	Destruction by Office Manager	
	Annual leave sheets	Held by individual in annual leave folders	7 years.	Destruction by Office Manager	
	Special leave requests	Original to PMB, copy held in flexi folder and in individual file	3 months.	Destruction by Office Manager	
	Individual staff files	Held by Personnel Officer	1 year after member of staff leaves.	Transfer to Core Personnel	
	Deputising	Held on Personnel Management Issues file and on individual files	1 year after member of staff leaves.	Destruction by Personnel Officer	
	Sick Absence Monitoring	Close in accordance with annual leave year	1 year	Destruction by Office Manager	
	Recruitment/Staffing	Close in accordance with normal file management procedures	2 years after closure	Destruction by Personnel Officer	
	Trawl notices	Received on email, circulated via common shared drive, printed by Officer Manager; sent to members of staff on leave	1 month after expiry date.	Destruction by Office Manager	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Personnel</b> , continued	CSC/OM circulars etc	Received on email, circulated via common shared drive, printed by Office Manager, filed and amended as noted	Until cancelled or superseded.	Destruction by Officer Manager	
	Minutes from Permanent Secretary	Filed in Chief Executive's office	Until subject has finished or 1 year whichever is the greater.	Destruction by Chief Executive's PA	
<b>Training</b>	Training Plan	Close at the end of the financial year	5 years.	Destruction by Training Manager	
	Training Briefs	Close at the end of the financial year	5 years.	Destruction by Training Manager	
	Training issues	Close at the end of the financial year	5 years.	Destruction by Training Manager	
<b>Quality</b>	ISO 9001	Close when achieved or renewed	2 years.	Destruction by Quality Manager	
<b>IIP</b>	Renewal of IIP	Close when achieved or renewed	5 years.	Destruction by Personnel Services Manager	
<b>Charter Mark</b>	Renewal of Charter mark	Close when achieved or renewed	3 years.	Destruction by Customer Services Manager	
<b>Risk Management</b>	Departmental Risk Register	Close at end of financial year	2 years	Destruction by Risk Register Manager	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>New / Revised Accommodation</b>	Registered files <ul style="list-style-type: none"> <li>• Acquisition of property</li> <li>• Property management</li> <li>• Accommodation</li> <li>• MOT 2</li> </ul>	Held by Property Services. Close when project(s) completed	5 years	Destruction by Property Services Manager	
<b>Health &amp; Safety Protective Equipment</b>	Registered files <ul style="list-style-type: none"> <li>• Purchase and procurement of Personal Protective equipment</li> <li>• Health &amp; Safety</li> </ul>	Close when project(s) completed	5 years	Destruction by Property Services Manager	
<b>Freedom of Information</b>	FOI and EI Regulations – procedures and practices to ensure compliance	Close in accordance with normal file management procedures	5 years	Destruction by FOI manager	
	Records Management (Department File Plan and Procedures)	Close in accordance with normal file management procedures	5 years	Destruction by FOI manager	
	Papers relating to the compilation of disposal schedules	Close when schedule is approved	10 years	Destruction by FOI manager	
	Disposal Plan and Schedule	Place approved Schedule in registered file and close	Permanent Preservation	Permanent Record held by PRONI	
	Backlog Review	Close in accordance with normal file management procedures after 5 years	5 years	Destruction by FOI manager	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Freedom of Information, continued</b>	Schedule lists	Close at end of calendar year	10 years	Destruction by FOI manager	
	Review lists	Close at end of calendar year	5 years	Destruction by FOI manager	
	Lists of records transferred to PRONI	Close at end of calendar year	10 years	Destruction by Office Manager	
	Register of FOI / EIR & DPA requests	Held by FOI / DPA officer Close at end of calendar year	10 years	Determined on Review by PRONI	
<b>Office Support</b>	Premises functions <ul style="list-style-type: none"> <li>• Maintenance Contracts</li> <li>• Environmental issues</li> <li>• Waste Management</li> <li>• Energy Efficiency</li> <li>• Personal Protective Equipment</li> </ul>	Held by Property Services. Close at the end of the financial year	5 years	Destruction by Property Services manager	
	Monitoring of stationery stock levels, etc	Held on Customer Services database. Close at end of financial year	1 year	Destruction by Customer Services Manager	
	Consultations distribution	Information held on database - reviewed and updated at least annually. Registered file held by Corporate Services.	1 year	Destruction by Office Manager	
	Library Register	Held and Maintained by Corporate Services. Files closed in accordance with normal review procedures	Hold until information superseded	Destruction by Office Manager	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Office Support,</b> continued	In-house procedures and reviews	Held and updated by Corporate Services	Until cancelled or superseded	Destruction by Office Manager	
	Printing	Close at the end of the calendar year	3 years	Destruction by Office Manager	
	Stationery	Close at the end of the calendar year	2 years	Destruction by Office Manager	
	Security	Close at the end of the calendar year	3 years	Destruction by Office Manager	
<b>Vehicle Testing</b>	Centre Records	Close at end of financial year	See Centre Disposal Schedule Appendix A See Ops HQ Disposal Schedule Appendix B		
	HQ Records	Close at end of financial year			
	MOT2 Records	Close at end of financial year			
<b>Theory Testing</b>	DVTA Contract Management of Contract Records	Close at end of financial year	To be determined on review	Destruction by Office Manager	
<b>Driver Testing</b>	HQ Records	Close at end of financial year	See HQ Disposal Schedule Appendix B		
	Centre Records	Close at end of financial year	See Centre Disposal Schedule Appendix A		
<b>Booking Service</b>	HQ Records	25 Months	HQ Disposal Schedule	Destruction by Office Manager	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Enforcement</b>	HQ Enforcement Records	Close at end of financial year	See Enforcement Disposal Schedule Appendix C		
	Previous Convictions (Prosecution Files)				
	Out centre Enforcement Records	Close at end of financial year			
	Prosecution / Court Records	Close at end of prosecution / court case			
<b>Management</b>	Minutes of Senior Management Meetings	Close at the end of the calendar year	Permanent Preservation	Permanent Preservation	
<b>Project Records</b>	Minutes of DVTA Meetings	Close at the end of the policy making process or the end of the project calendar	Normal Review Process	Determined on Review	
	Minutes of meetings for which DVTA does not have secretaryship	Close at the end of the calendar year	1 year	Destruction by Office Manager	
	Legislative programme	Close at the end of the calendar year	1 year	Destruction by Office Manager	
	Work Schedules and Progress Reports	Close at the end of the legislative year	5 years	Destruction by Office Manager	
	Legislation Lists	Permanent record. Lists maintained electronically. Original signed Statutory Rules <i>held in fireproof safe in TPL General Office</i>	Keep indefinitely	Kept indefinitely by DVTA	

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File/Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>	<b>Legislation</b>
<b>Project Records,</b> continued	DVTA Policy Initiatives	Close at the end of the policy making process or the end of the project calendar.	Normal Review Process	Determined on Review	
<b>Health and Safety</b>	Registered files, including: <ul style="list-style-type: none"> <li>• H&amp;S circulars</li> <li>• First Aiders Register</li> <li>• Risk Assessments etc.</li> </ul>	Circulars retained until cancelled or superseded. Other files closed in accordance with normal review procedures	5 years	Destruction by Office Manager	
	Accident Register	Retained for 3 years	5 years	Destruction by Office Manager	

**Appendix A**

**DVTA Test Centre Disposal Schedule**

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File /Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>
DVTA Test Centre	Weekly Sick Absence	Close at end of Financial Year	6 Months	Destruction by Office Manager
	VIC Forms	Close at end of Financial Year	13 Months	Destruction by Office Manager
	SVA Forms	Close at end of Financial Year	13 Months	Destruction by Office Manager
	Vehicle Test Forms (All)	Close at end of Financial Year	13 Months	Destruction by Office Manager
	Taxi Data Sheets	Close at end of Financial Year	13 Months	Destruction by Office Manager
	RPC Forms	Close at end of Financial Year	13 Months	Destruction by Office Manager
	Invoices Copies	Close at end of Financial Year	13 Months	Destruction by Office Manager
	TIR Forms	Close at end of Financial Year	25 Months	Destruction by Office Manager
	SVA Certificate Stubs	Close at end of Financial Year	25 Months	Destruction by Office Manager
	RPC Certificate Stubs	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Copies of Monthly Returns	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Old Till Rolls	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Copies of Bank Lodgements, RBI'S Stubs, Till Balance Reports etc.	Close at end of Financial Year	25 Months	Destruction by Office Manager

	Franking Machine Expenditure	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Driver Daily Schedule	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Driving Test Records	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Vehicle Daily Schedule	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Daily/Monthly Available Reports	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Old Type Certificate Stubs	Close at end of Financial Year	3 Years	Destruction by Office Manager
	Vehicle Accident Files	Close at end of Financial Year	6 Years	Destruction by Office Manager
	Ex-staff Personal Records	Close when member of staff transfers from centre	To HQ Personnel for Retention/Disposal	Destruction by Office Manager
	Customer Complaints Written Stage 1	Close at end of Financial Year	Send to Customer Services when answered for Retention/Disposal	Destruction by Office Manager

## Appendix B

### DVTA Operations HQ Disposal Schedule

Work Area	Types of Files/Records	File / Record Action	Retention Period	Final Action
Operations HQ	Tilt Tests	Close at end of Financial Year	6 Months	Destruction by Office Manager
	LV Circulars	Close at end of Financial Year	Review Bi - Annually	Destruction by Office Manager
	DT Circulars	Close at end of Financial Year	Review Bi - Annually	Destruction by Office Manager
	DE Circulars	Close at end of Financial Year	Review Bi - Annually	Destruction by Office Manager
	MOT Circulars	Close at end of Financial Year	Review Bi - Annually	Destruction by Office Manager
	MOT2 Circulars	Close at end of Financial Year	Review Bi - Annually	Destruction by Office Manager
	H4 Circulars	Close at end of Financial Year	Archive after 8 years	Destruction by Office Manager
	Scato Checks	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Accident Reports	Close at end of Financial Year	6 Years	Destruction by Office Manager
	Out dated hard copies of Legislation	Close at end of Financial Year	Until superseded	Destruction by Office Manager
	Monthly Returns	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Contract Management Records	Close at end of Financial Year	As specified in MOT2 Contract (full term 16 years)	Destruction by Office Manager

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File / Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>
	CMR Copies	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Waiting Time Reports	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Business Plans	Close at end of Financial Year	25 Months	Destruction by Office Manager
	BSP Reports	Close at end of Financial Year	25 Months	Destruction by Office Manager
	Registered Files Relating to MOT 2 Contract	Close at end of Financial Year	As specified in MOT2 Contract (full term 16 years)	Destruction by Office Manager

## Appendix C

### DVTA Compliance and Planning – Enforcement Section Disposal Schedule

<b>Work area</b>	<b>File/Record Action</b>	<b>File / Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>
Enforcement	Copy Invoices	Close at end of Financial Year	1 Year	Destruction by Office Manager
	Travel Booking	Close at end of Financial Year	1 Year	Destruction by Office Manager
	Work Orders	Close at end of Financial Year	7 Years	Destruction by Office Manager
	Travel Claims	Close at end of Financial Year	1 Year	Destruction by Office Manager
	Overtime Claims	Close at end of Financial Year	1 Year	Destruction by Office Manager
	Audit Report	Close at end of Financial Year	7 Years	Destruction by Office Manager
	Procurement and Receipts	Close at end of Financial Year	7 Years	Destruction by Office Manager
	Meetings	Close at end of Financial Year	Normal Review Process	Determined on Review
	Management	Close at end of Financial Year	Normal Review Process	Determined on Review
	Operational Previous Convictions	Close at end of prosecution / court case	5 Years from date of conviction	Destruction by Office Manager
	Operational No Further Action Files	Close at end of prosecution / court case	3 Years from date of conviction	Destruction by Office Manager

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File / Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>
	Operational GB Follow up reports	Close at end of prosecution / court case	5 Years from date of conviction	Destruction by Office Manager
	Operational Statistics	Close at end of Financial Year	3 Years	Destruction by Office Manager
	Abnormal Load Permits	Close at end of Financial Year	3 Years	Destruction by Office Manager
	Operational Radio Evidence	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Court Results	Close at end of Financial Year	1 Year	Destruction by Office Manager
	Complaints	Close at end of Financial Year	Normal Review Process	Determined on Review
	Intelligence	Close at end of Financial Year	Normal Review Process	Determined on Review
	Operational Programmes	Close at end of Financial Year	2 Years	Destruction by Office Manager
	RIPA	Close at end of Financial Year	8 Years	Destruction by Office Manager
	Vehicle Examination Books	Close at end of Financial Year	8 Years	Destruction by Office Manager
	Service Inspection Records	Close at end of Financial Year	5 Years	Destruction by Office Manager
	Audit Forms	Close at end of Financial Year	7 Years	Destruction by Office Manager
	Export and Freight Report	Close at end of Financial Year	1 Year	Destruction by Office Manager
	Media	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Legislation	Close at end of Financial Year	Normal Review Process	Determined on Review

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File / Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>
	Administration Circulars	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	IT Security	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Policy	Close at end of Financial Year	Normal Review Process	Determined on Review
	Internet/Intranet	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	VI Review	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Tachographs	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Partnerships	Close at end of Financial Year	Normal Review Process	Determined on Review
	Events	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Working Groups	Close at end of Financial Year	Normal Review Process	Determined on Review
	Health and Safety	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Fuel Purchase	Close at end of Financial Year	7 Years	Destruction by Office Manager
	Office Equipment	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Official Vehicles	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Accommodation	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	FOI / EIR / DPA Records	Close at end of Financial Year	Review Annually	Destruction by Office Manager

<b>Work Area</b>	<b>Types of Files/Records</b>	<b>File / Record Action</b>	<b>Retention Period</b>	<b>Final Action</b>
	Quality	Close at end of Financial Year	Review Annually	Destruction by Office Manager
	Risk Management	Close at end of Financial Year	Review Annually	Destruction by Office Manager

## Section 8 – Signatories

Signed in Accordance with the Public Records Act  
(Northern Ireland), 1923

Signature: Patricia Kernaghan

Date: 10/8/05

**Patricia Kernaghan**

Head of Records Management & Administration,  
Public Record Office of Northern Ireland

Signature: Gerry Slater

Date: 10/8/2005

**Gerry Slater**


Deputy Keeper of the Records,  
Public Record Office of Northern Ireland

Signature: Aideen McGinley


Date: 8/8/5

**Dr Aideen McGinley**


Permanent Secretary,  
Department Culture Arts & Leisure

Signature:   
Date: 20/8/2005

**Stephen Peover**  
Permanent Secretary,  
Department of the Environment

Signature:   
Date: 23 Sep 05

**Stanley Duncan**  
Chief Executive,  
Driver & Vehicle Testing Agency

Signature:   
Date: 31 August 2005

**Dave Brittain**  
Departmental Information Manager  
Department of the Environment