

CHAPTER 9
RECORD RETENTION

1. FIELD OFFICE RECORD RETENTION.

a. Licenses and Permits. Area copies of ambulance service and armored car operator's licenses and Authorized Emergency Vehicle (AEV) permits and copies of the field endorsed applications shall be retained for the term of the license or permit.

b. Vehicle Inspection Reports. Area copies of inspection reports of ambulances (CHP 299), armored cars (CHP 363), and authorized emergency vehicles (CHP 310), shall be retained during the current license or permit period. Reports may be retained as necessary to support disciplinary actions against a licensee or permittee.

c. Complaints and Investigation Reports. Complaints against licensees or permittees, and investigations thereof, shall be retained for the duration of the license to support disciplinary actions.

d. Special Vehicle Identification/Permit Certificates. Area copies of AEV permits (CHP 301) shall be retained until one month after the expiration of the license or permit.

e. Terminal and Vehicle Safety Compliance Inspection Reports. Division Motor Carrier Safety Unit inspection reports (CHP 343) for a Fleet Owner Inspection and Maintenance Station License (IMS) or Hazardous Material Transporter shall be retained as specified in HPM 84.1, Motor Carrier Safety Operations, Chapter 11.

2. HEADQUARTERS RECORD RETENTION.

a. Commercial Vehicle Section (CVS). CVS shall develop and maintain a case file for each license action. The file shall contain all documents, photos, and recordings (audio and video) received or generated pertaining to the case. The file and all contents shall be maintained for at least three years.

b. License and Regulations Unit. Records generated in the Unit pertaining to the licensed or permitted activity shall be retained during the term of the license, including renewals thereof plus three years. Other documents acquired should be retained as follows:

(1) Applications. Each license application shall be retained for the term of the license, and subsequent renewals thereof, plus three years after the expiration or termination of the license.

(2) Licenses. A copy of the current license (CVS Copy) shall be retained until such license is superseded or canceled. The Data Processing (DP) copy of the Hazardous Materials Transportation License (CHP 360H) and IMS (CHP 360F) license shall be forwarded to Information Management Division, Data Services Group, Production Controls Unit. The license data contained on the DP copies shall be entered into the Management Information System of Terminal Records in a timely manner.

(3) Canceled Licenses. Files of licenses which have been canceled merely for corrections or change of name or address shall be retained in the existing file without regard to cancellation and reissuance. Files of licenses which have expired or been voluntarily surrendered and canceled shall be retained for three years after cancellation unless further retention is necessary to support disciplinary administrative actions against the licensee. In the latter event, provisions of Chapter 8 shall apply.

(4) Initial Vehicle Inspection Reports. Initial inspection reports (CHP 299 and CHP 363) of ambulances and armored cars and AEVs (CHP 310) shall be retained during the term of the license or permit and renewals thereof and plus three years after the license or permit expires or possession of the vehicle is relinquished.

(5) Periodic Vehicle Inspection Reports. Renewal inspection reports of ambulances and AEVs, together with brake adjustment certificates shall be retained for current term of the license or permit or until superseded.

(6) Reports/Certificates for Relinquished Vehicles. Inspection reports together with brake adjustment certificates for vehicles no longer owned or operated by the licensees shall be retained for 1 year after removal from service.

(7) Special Vehicle Identification Certificates. Copies of vehicle identification certificates (CHP 301) shall be retained while valid plus 30 days after expiration or cancellation.

(8) Authorized Emergency Vehicle Permit. AEV permit files shall be retained during the term of the permit, including renewals thereof, plus three years after expiration or cancellation of the permit. File copies of AEV permits (CHP 301) are retained as suspense reminders for renewal notices and will be discarded upon renewal or cancellation of the permit.

(9) Regulation Exemptions. Correspondence related to exemption from regulatory requirements shall be retained for the term of the exemption plus three years.

3. DISCIPLINARY ACTION FILES. Disciplinary action files shall be retained for a period of three years subsequent to the effective date of the decision or one year after the termination of a probationary period, whichever is later.

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