



# SLOVENSKI STANDARD SIST EN 9130:2020

01-oktober-2020

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## Aeronavtika - Sistemi vodenja kakovosti - Hramba dokumentov

Aerospace series - Quality systems - Record retention

Luft- und Raumfahrt - Qualitätsmanagement - Aufbewahrung von Aufzeichnungen

Série aérospatiale - Systèmes qualité - Conservation d'enregistrements

Ta slovenski standard je istoveten z: **EN 9130:2020**

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### **ICS:**

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| 03.120.10 | Vodenje in zagotavljanje kakovosti    | Quality management and quality assurance |
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EUROPEAN STANDARD

EN 9130

NORME EUROPÉENNE

EUROPÄISCHE NORM

July 2020

ICS 03.120.10; 49.020

English Version

## Aerospace series - Quality systems - Record retention

Série aérospatiale - Systèmes qualité - Conservation  
d'enregistrementsLuft- und Raumfahrt - Qualitätsmanagement -  
Aufbewahrung von Aufzeichnungen

This European Standard was approved by CEN on 22 December 2019.

CEN members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration. Up-to-date lists and bibliographical references concerning such national standards may be obtained on application to the CEN-CENELEC Management Centre or to any CEN member.

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EUROPEAN COMMITTEE FOR STANDARDIZATION  
COMITÉ EUROPÉEN DE NORMALISATION  
EUROPÄISCHES KOMITEE FÜR NORMUNG

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## European foreword

This document (EN 9130:2020) has been prepared by the Aerospace and Defence Industries Association of Europe - Standardization (ASD-STAN).

After enquiries and votes carried out in accordance with the rules of this Association, this Standard has received the approval of the National Associations and the Official Services of the member countries of ASD-STAN, prior to its presentation to CEN.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by January 2021, and conflicting national standards shall be withdrawn at the latest by January 2021.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN shall not be held responsible for identifying any or all such patent rights.

According to the CEN-CENELEC Internal Regulations, the national standards organisations of the following countries are bound to implement this European Standard: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Republic of North Macedonia, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.

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## EN 9130:2020 (E)

## 1 Scope

### 1.1 General

This document provides requirements and guidance for the retention, storage, retrieval and disposal of records for the international aviation, space and defense industry.

### 1.2 Applicability

**1.2.1** This document is applicable to all documents and data records, on current and earlier products, produced using current and previous business agreements and applicable statutory and regulatory requirements.

**1.2.2** Documents should be interpreted in the broadest possible sense to include all records, data and information, in paper or in electronic form or on film, including external providers working on own behalf.

**1.2.3** Some documents may be retained electronically. The form in which documents are to be retained varies from one jurisdiction to another and varies depending on the document involved. Some countries prescribe that certain documents be retained in their original form as a hardcopy (e.g. board minutes, documents under seal, trust documents and original documents that are subject to specific legal requirements...).

## 2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

EN 9300-003, *Aerospace series — LOTAR — Long term archiving and retrieval of digital technical product documentation such as 3D, CAD and PDM data — Part 003: Fundamentals and concepts*

EN ISO 9000:2015, *Quality management systems — Fundamentals and vocabulary*

AS/EN/JISQ 9100, *Quality Management Systems — Requirements for Aviation, Space and Defence Organizations*<sup>1</sup>

AS/EN/JISQ 9110, *Quality Management Systems — Requirements for Aviation Maintenance Organizations*

AS/EN/JISQ 9120, *Quality Management Systems — Requirements for Aviation, Space and Defence Distributors*

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<sup>1</sup> These requirements are based on ISO 9001.

### 3 Terms and definitions

For the purposes of this document, the terms and definitions given in EN ISO 9000:2015 and the following apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

#### 3.1

##### **archive(s)**

permanent records, records maintained for continuing use

Note 1 to entry: Archives can be a place where archival materials are preserved and made available for consultation. This is also referred to as an archival repository.

Note 2 to entry: Archives can be an organization, agency or programme responsible for selecting, acquiring, preserving and making available archives. This is sometimes referred to as an archival agency, archival institution, or archival programme (ISO 30300).

#### 3.2

##### **archiving (electronic)**

process of moving one or more electronic record extracts to off-line storage in a way that ensures the possibility of restoring them to on-line storage when needed without loss of meaning. Wherever possible, archived data should be technology-independent so that future users do not have dependencies on obsolete technology from the past

[SOURCE: ISO 10781] <https://standards.iteh.ai/catalog/standards/sist/8fd65dc0-0ad7-4301-bf1a-fa42798ccbef/sist-en-9130-2020>

#### 3.3

##### **data integrity**

property that data has not been altered or destroyed in an unauthorized manner

[SOURCE: ISO 7498-2:1989, 3.3.21]

#### 3.4

##### **digital signature**

data appended to, or a cryptographic transformation of, a data unit that allows a recipient of the data unit to prove the source and integrity of the data unit and protect against forgery, e.g. by the recipient

[SOURCE: ISO 7498-2:1989, 3.3.26]

#### 3.5

##### **life of product (LOP)**

end of product operational life time, when the last product of a type has been withdrawn

**EN 9130:2020 (E)****3.6****records management**

field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records

[SOURCE: ISO 15489-1:2016, 3.15]

Note 1 to entry: Also called recordkeeping.

**3.7****retention**

storage of data for reuse of a later date:

- aiming for data re-use and to keep data available;
- retaining any of the representations needed, but not the presentations;
- working over medium and short term;
- expecting invariance, though this is not mandatory;
- migration of the data format is allowed to guaranty data quality and interpretability (EN 9300-003)

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**4 Documents and Data Records to be Retained and Retention Periods**

**4.1** Records related to traceable products shall be kept not less than the operational life of the applicable product (LOP).

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NOTE At the level of an organization, the decision on traceable products may have an impact on the retention period of the related documentation.

**4.2** Annex A provides a matrix with recommended minimum retention duration and record examples for the different types of documents and data as addressed in the aerospace standard AS/EN/SJAC 9100.

NOTE Deviations of the retention duration (e.g. due to country-specific legal and/or regulatory requirements) should be recorded in written statements or in the business agreements.

**5 Means of retention****5.1 Recording media**

**5.1.1** Media (paper, film, magnetic etc.) used for recording shall allow the required duration for retention under the conditions provided.

**5.1.2** Retained documents and data records shall remain readable for the period of archiving, together with due provision of any technological facility required (e.g. electronic readers, software, computers etc.).

**5.2 Electronic storage and archiving**

NOTE The ISO/IEC 27000 standards series provides guidance to ensure the selection of adequate and proportionate security controls that protect information assets and give confidence to interested parties.



**5.2.1** In case of electronic storage of signed/stamped originals either scanning hence allowing to restore the full original, a publically acceptable data transcription format and process shall be employed.

NOTE Acceptable formats and processes are the ones providing from the digital sources paper documents, which are identical to the originals.

**5.2.2** If applicable, the organization shall ensure confirmation from local authority representative that the proposed electronic recording media is acceptable.

**5.2.3** When hardware and software changes take place, the transcription process shall be clearly defined and controlled, in order to ensure that all necessary data continue to be accessible.

**5.2.4** Back-up procedures shall be implemented for all electronic data held on computers, which are under the scope of this standard.

**5.2.5** Back-up copies shall be stored in a different location from that containing the working media (e.g. discs, tapes etc.), in an environment that ensures they remain in good condition for retrieval.

### 5.3 Archiving and Retrieval Conditions

**5.3.1** Documents and data records shall be maintained legible for the retention period.

**5.3.2** The record keeping system shall ensure that all records are

- a) accessible whenever needed (within a reasonable time and
- b) organized in a consistent way (e. g. chronological, alphabetical order etc.).

NOTE Organizations should clarify what is an acceptable time to access any stored record from the record keeping system. Organizations should also clarify what is an acceptable way to organize documented information and which are the criteria for retrieving information (e.g. keywords, etc.).

**5.3.3** Documents and data records shall be stored

- a) in a safe manner with regard to natural disasters (such e.g. fire, flood etc.) and
- b) according to well documented conditions ensuring that they are readily retrievable and available for secured and controlled access.

**5.3.4** Access to archives shall be controlled to

- a) prevent theft, negligence, malicious or fraudulent use of the contents and
- b) ensure the integrity of the documents.

**5.3.5** Removal of originals from the archive shall be formally controlled.

**5.3.6** The organisation of and the responsibility for the archiving system (e.g. location, compilation, format, data access conditions, identification of the personnel involved in conformity determination, etc.) shall be described.

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**5.4 Retention Responsibility Sharing between Customers and External Providers**

**5.4.1** The organization shall ensure, through an appropriate level of surveillance, that the recording and record keeping system used by its external providers meets the requirements of this standard.

**5.4.2** The organization shall ensure that responsibilities to retain the documents are defined

- a) at the own organization level and
- b) at the level of its external providers.

**NOTE** Any particular archiving and retrieval rules applicable to documents and data records which are sensible in regards to security classification or competition should be defined within the business agreement (e.g. contract, memorandum of understanding, between the organization and its external provider).

**5.4.3** In case of termination of operation (e.g. takeover, transfer of ownership, joint venture), the organization shall define and implement the new responsibilities for archiving, including their possible transfer.

**5.4.4** In case of bankruptcy, the organization shall ensure that archived documents and data records are maintained accessible for its customers and the appropriate regulatory authorities, including their possible transfer to them.

**5.5 Disposal of Documents and Data Records**

**5.5.1** Design records shall not be disposed without the written approval from the Customer, and from the appropriate regulatory authority if applicable.

**5.5.2** At the end of the stipulated retention period, the archived documents and data records shall be assessed by the originator to determine if it requires re-archiving or alternative disposal.

**5.5.3** Records that are potentially subject of, or relevant to, pending litigation or litigation which is reasonably anticipated, shall not be disposed until obtaining approval from the legal department, and from the document owner (if the owner is different from the organization).

**5.5.4** Security classification of records shall be taken into account when determining the disposal method (e.g. incineration, shredding).

**NOTE** At the end of the product life cycle, with the agreement of the appropriate authority or customer, consideration should also be given to the transfer of records: for safe and secure storage; to cultural heritage centres (e.g. national/local museums) where applicable.

**5.5.5** Where needed, evidence of the records disposal shall be ensured.

## Annex A (informative)

### Documents and Data Records Retention Matrix

The matrix is organized by sections of the standard AS/EN/SJAC 9100.

Unless otherwise specified, the recommended retention periods commence at the end of the current month of completion or withdrawal/deletion of the records.

NOTE 1 All periods stated are minimum periods. It is permissible to keep the records longer than stated.

NOTE 2 Procedures and instructions related to control of product conformity (for example: inspection, inspector qualification, calibration...) may be retained for a longer period (e.g. LOP or more) in order to be used if necessary to show evidence of the good management of the product conformity control at the time they were in application.

**Table A.1**

| Record Type  | EN 9100:2016<br>clause | Examples   | Retention<br>Duration<br>(years) |
|--|------------------------|--|----------------------------------|
| <b>4 Context of the organization</b>                               |                        |  |                                  |
| 4.1 Understanding the organization and its context                 | 4.1 to 4.3             | Written evidence of the approval certificates, incl. their appendices and any additional records on the detailed extent of authorization; strategy documents, records about organizational structure, environment and business   | 10                               |
| 4.2 Understanding the needs and expectations of interested parties |                        |  |                                  |
| 4.3 Determining the scope of the quality management system         |                        |  |                                  |
| 4.4 Quality Management System and its processes                    | 4.4                    | Documented information (e.g. Quality Management Manual, procedures about control of documents and records, forms, work instructions, quality plans, records of quality systems reporting to the management)<br><br>Process map, Process flows and interactions, QMS Process matrix, process landscape<br><br>QMS documentation about management commitment, customer focus, quality policy, quality objectives, quality management system planning, list of procedures | 10                               |