

## SCOTRAIL TRAINS DOCUMENT RETENTION SCHEDULE

Note: retention period does not include the current period of operation. List is not exhaustive and will be added to in further version updates.

Function	Record title and description	Retention period
Procurement	Purchase orders - electronic	6 years
Procurement	Delivery docket / goods receipt	1 year
Contracts	Initial proposal – including: <ul style="list-style-type: none"> <li>• End user requirements</li> <li>• Statements of interest</li> <li>• Agreed specification</li> <li>• Evaluation criteria</li> <li>• Invitation to tender</li> </ul>	6 years on completion of contract
Contracts	Unsuccessful tender documents	1 year after date of last paper
Contracts	Successful tender document	6 years from award of contract
Contracts	Signed contract	6 years from end of contract
Contracts	Contract operation and monitoring: e.g. <ul style="list-style-type: none"> <li>• Records of complaint</li> <li>• Disputes over payment</li> <li>• Final accounts</li> <li>• Minutes and papers of meetings</li> </ul>	6 years from end of contract
Contracts	Amendments to contracts e.g. <ul style="list-style-type: none"> <li>• Change requirements</li> <li>• Forms of variation</li> <li>• Extensions to contract</li> </ul>	6 years from end of contract
FINANCE	Invoices and source documents relating to raising invoices	6 years unless dispensation is held
FINANCE	Cheque books / butts for all accounts	6 years
FINANCE	Cancelled cheques	6 years
FINANCE	Dishonoured cheques	6 years
FINANCE	Dishonoured cheques register	6 years
FINANCE	Fresh cheques	6 years
FINANCE	Paid cheques / presented cheques; lists, statements of presented cheques	6 years
FINANCE	Stoppage of cheque payment notices	6 years
FINANCE	Record of cheques opened books	6 years
FINANCE	Cheque registers	6 years
FINANCE	Record of Cheques drawn for payment	6 Years
FINANCE	Bank deposit books / slips / butts	6 years
FINANCE	Bank deposit summary sheets, summaries of daily banking, cheque schedules	6 years
FINANCE	Register of Cheques lodged for collection	6 years
FINANCE	Bank reconciliation files / sheets	6 years
FINANCE	Bank Statements, periodic reconciliation's	6 years
FINANCE	Cash Books / Sheets	6 years
FINANCE	Petty Cash Records / books / Sheets	6 years
FINANCE	Petty Cash Receipts	6 years
FINANCE	Creditor History Records, lists, reports	6 Years
FINANCE	Statements of Accounts Outstanding, outstanding orders	6 years
FINANCE	Statements of Accounts Rendered, Statements of accounts -payable	6 years

FINANCE	General and subsidiary ledgers produced for the purposes of preparing certified financial statements or published information.	6 years
FINANCE	Other Ledgers (e.g. contracts, costs, purchases etc.)	6 years
FINANCE	Creditors Ledgers	6 years
FINANCE	Journals (Prime Records for the raising of Charges)	6 years
FINANCE	Journals (Routine Adjustments)	6 years
FINANCE	Trial Balance and Reconciliation's	6 years
FINANCE	Financial Statements	6 years
FINANCE	Records relating to unrecoverable revenue, debts and overpayments -includes register of debts written off, register of refunds, etc.	6 years
FINANCE	Stores records -Goods inwards records	6 years
FINANCE	Stores records -Delivery Dockets	6 years
FINANCE	Stores records -Control records	6 years
FINANCE	Stores records -Issue registers / Records	6 years
FINANCE	Stores records -Stocktaking sheets - includes inventories, stock reconciliations, stocktake reports.	6 years
FINANCE/IT	Email (individual inboxes) Email (archive)	Previous 12 Months Previous 24 months
FINANCE/IT	System and Data backups	12 Months
FINANCE/IT	User Accounts, personal files & Email	30 days after user deletion
FINANCE/IT	MS Teams channel messages	1 Year
FINANCE/IT	MS Teams chat messages	14 Days
FINANCE/ IT	Data Subject Rights Requests – all related information	1 year after closure of request. 3 years if referred to ICO
FINANCE	Asset Registers	6 Years after disposal of asset or last one in register
FINANCE	Depreciation Register	6 Years after disposal of asset or last one in register disposed of
FINANCE	Grant Funding	6 Years after the action completed / grant made
FINANCE	Financial Authorities or delegations	6 years after authority or delegation is superseded
FINANCE	Land registers	12 years after disposal
FINANCE	Financial records relating to capital works projects	6 years after the action / project is completed
FINANCE	Investment records	6 years after investments are liquidated or matured

FINANCE	Procedure manuals	6 years after superseded
FINANCE	Records relating to serious matters of: <ul style="list-style-type: none"> <li>• Theft</li> <li>• Fraud</li> <li>• Misappropriation</li> <li>• Irrecoverable debts and overpayments</li> <li>• Write-offs</li> <li>• Recovery of debt</li> <li>• Wavering of debt</li> </ul> (where external action has been taken)	10 years after action / investigation is completed
FINANCE	Records relating to minor matters of: <ul style="list-style-type: none"> <li>• Theft</li> <li>• Fraud</li> <li>• Misappropriation</li> <li>• Irrecoverable debts and overpayments</li> <li>• Write-offs</li> <li>• Recovery of debt</li> <li>• Wavering of debt</li> </ul> (where matters are resolved internally)	6 years after audit
AUDIT	Audit reports (including interim), where these have included the examination of long term contracts	6 years
AUDIT	Report papers used in the course of a fraud investigation	6 years after the legal proceedings have been completed
AUDIT	Other audit reports (including interim)	6 years
AUDIT	Terms of reference	6 years
AUDIT	Programmes / plans / strategies	1 year after the last date of the plan
AUDIT	Correspondence	3 years
AUDIT	Manuals and guides	Once superseded
AUDIT	Minutes of meetings and related papers, including those to the Audit Committee	3 Years
AUDIT	Working Papers	3 Years
AUDIT	Internal Audit Guides	When superseded
AUDIT	Manuals and guides relating to departmental procedures	When Superseded
AUDIT	Local Auditing Standards	When Superseded
AUDIT	Annual reports to Accounting Officers	3 years
Risk & Compliance	FOISA requests and records	3 years after closure of request. 6 years if referred to SICO
Risk & Compliance	EIR requests and records	3 years after closure of request. 6 years if referred to SICO
Risk & Compliance	Strategic and Corporate Risk Registers	2 years
PAYROLL	Salary Records -Employee Pay History Records	6 Years
PAYROLL	Salary Rates Register	When superseded

PAYROLL	National Insurance Records	3 Years
PAYROLL	Staff & Pension Records	Until 2 years after resignation or, in the case of members of the staff who retire on pension, 1 year after death.
PAYROLL	Original pay bill and supporting documents	6 Years
PAYROLL	Copies of pay bill and supporting documents	6 Years
PAYROLL	Summaries of information regarding payment by results	3 Years
PAYROLL	Supporting documents to summaries of payment by results	1 Year
PAYROLL	Copies of staff change lists	1 Year
PAYROLL	Income Tax records	6 Years
ROSTERING	Stations, Depots, Rosters	5 Years
ROSTERING	Annual Leave & Bank Holiday rosters	5 Years after completion of Annual leave period.
PASSENGER ACCOUNTING	Analyst – Prints from Lennon and excel – signed alterations.	Until superseded
PASSENGER ACCOUNTING	Passenger Accounting Manager checks for periods.	13 Months plus current month
PASSENGER ACCOUNTING	Traders	13 Months plus current month
PASSENGER ACCOUNTING	Forces	13 Months plus current month
PASSENGER ACCOUNTING	Visa / Amex /Switch	13 Months plus current month
PASSENGER ACCOUNTING	Cash Receipts	13 Months plus current month
PASSENGER ACCOUNTING	Change orders	13 Months plus current month
PASSENGER ACCOUNTING	Fares Manuals	Permanent
PASSENGER ACCOUNTING	Authorised Input Details	13 Months plus current month
PASSENGER ACCOUNTING	Period Differences	13 Months plus current month
PASSENGER ACCOUNTING	Balance Control Account Summary and Sign off	13 Months plus current month
PASSENGER ACCOUNTING	Station Adjustments	2 Months plus current month
PASSENGER ACCOUNTING	Ticket Vending Machine Shift Cards	13 Months plus current month
PASSENGER ACCOUNTING	Cash Collection Sheets	13 Months plus current month
PASSENGER ACCOUNTING	Cash Reconciliation Files	13 Months plus current month
Customer Service	Complaints logs and case files	5 years from closure
Customer Service	Enquiries and customer comments/ feedback	2 years

## Human Resources specific:

Document Subject	Document Category	Retention Period
Recruitment	Job Advert	1 Year
	Vacancy Lists	
	List of Applicants for Advertised Vacancies	
	Interview Papers	
	Disclosure Scotland – Criminal Record Checks	Details will only be retained if relevant to employment or where have a legal obligation to retain it (in which case will be retained either until conviction spent, or in line with the legal obligation, up to the maximum of 6 years after left service)
	Assessment documentation & results for all non-safety critical staff	1 Year – results held on database
	Assessment documentation & results for internal/external Safety Critical staff which includes eg Conductors, Engineering, Train Dispatch	3 years
	Assessment documentation & results for Drivers 'and Conductors' – who did not meet the standard at assessment	2 years in line with audit process – thereafter only Profile, CDQ & Overall Assessment should be kept – results held on database
Personal File	Assessment documentation & results for internal/external Driver Assessment documentation & results for Drivers 'and Conductors'	5 years – this is in line with other Toc's as per ORR recommendations
	Application form (new entrants)	6 Years after Leaving Service
	ID and evidence of right to work	
	Offer letter	
	Reference	
	P45/P46	
	Contract of Employment	
	Fit for jobs/pre-employment questionnaire	
	Health care	
	Driving Licence/Insurance (for those with Authority to Drive held by Driving Licence Bureau)	
	Induction	
	Internal applications	
	Promotion/Transfer Letters	
	Variations to Contract of Employment	
	Apprenticeship agreement	
	Changes to T&C's	
	Flexible working request	
	TUPE Letters	
	Secondment Letters	
	Displaced Letters	
	Receipts for Rule Books, Working Instruction books or documents etc.	

Employee Relations	Grievance- Informal	6 Years after Leaving Services
	Grievance- Formal	
	Grievance- Outcome	
	Grievance- Appeal outcome	
	Disciplinary outcome- Informal Warning	1 year after Issued
	Disciplinary outcome- 1st Formal Warning (Reprimand)	2 years after Issued
	Disciplinary outcome- 2 <sup>nd</sup> Formal Warning (Severe Reprimand)	4 years after Issued
	Disciplinary Outcome – Final Warning	1 year after issued
	Disciplinary Outcome – Other (e.g. Reduced in Grade, Suspension)	6 years after Termination
	Disciplinary outcome- dismissal	6 Years after Termination
	Any child abuse allegation	Indefinite
	Informal performance improvement notice	1 year after Issued
	Formal performance management	6 Years after Termination
	Certificates of elections to sectional councils, LLC's and other negotiating bodies	3 Months after end of term
	Trade Union policy minutes, Agreements	6 Years after ceasing to be active
Terms & Conditions	Conditions of Service	6 Years after ceasing to be relevant
	Changes to T&C's	
	TUPE	
	Reorganisation Papers	
	Pay Protection	
	Policies	
Sickness & Occupational Health	Fit note	6 Years after Termination
	Return to work	
	OH referral	
	OH report	
	Risk assessment	
	Ill health retirement/settlement	
	Letter/notification/report	
	Medical Redeployment Paperwork	
Family Leave	Maternity- Notification to take leave	6 Years after Termination
	Maternity- Risk assessment	
	Maternity- MATB1	
	Maternity- Letters	
	Maternity- Notification of return to work	
	Paternity- Notification to take leave	
	Paternity- MATB1	
	Paternity- Letters	
	Shared parental- Notification to take leave	
	Shared parental- MATB1	
	Shared parental- Letters	
	Shared parental- Notification of return to work	

	Adoption- Notification to take leave	
	Adoption- Evidence of adoption	
	Adoption- Letters	
	Adoption- Notification of return to work	
	Keep in Touch day/s notification	
	Unpaid parental leave	
Other Leave	Compassionate leave	6 Years after Termination
	Unpaid leave	
	Dependents leave	
	Jury service	
	Territorial Army Leave	
	Other leave	
Learning & Development	Qualifications & Membership	6 Years after Termination
	Training agreement	
	Certificate	
	Apprenticeship	
Pay & Benefits	Long Service Award	6 Years after Termination
	Redundancy/Disturbance Allowance	
	Uniform Clothing	Held until end of current clothing issue period
	Overpayments	6 years after repaid
	Time Sheets	6 Years after end of Tax Year
	Pension Contributions	
	P11d	
	P35 Listing	
	Pay- Other	
Employee Review	Probation/Review	6 Years after Termination
	Appraisal	
	1:1	
Staff Travel	Records of authority for special issues of free tickets	2 Years
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	Daily requisitions for free tickets	Until 31 March of succeeding year
	Staff Travel Applications held by Rail Delivery Group	While remain Eligible
Leavers	Notice of resignation	6 Years after Termination
	Leaver letter	
	Reference	
	Settlement agreement	
	Settlement agreement agreed reference	
	Leavers- Other	
	Employment Tribunal	6 Years after ET concluded