

HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Procurement

This category covers purchasing of all types of goods, works and services by the institution, regardless of the type/quantity being purchased, the purchasing method or the business unit responsible.

This retention schedule is based on the recommendations made by the Joint Information Systems Committee. The letter indicates the final disposition of each type of record, and applies to original records. Where copies of originals are kept locally, these can be destroyed when these are no longer required.:

A = 1 copy to be transferred to the University Archive. See Retention Schedule Guidelines for further details.

D = Destroyed.

The number following the letter code indicates the period (in years) after which records may be destroyed, and is the minimum retention period required by best practice or legislation. It assumes a new file is opened at the start of each academic, calendar or financial year, and is **always** calculated from the date of the last record in the file.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Legislative Authority
PROCUREMENT/STRATEGY - identifying requirements for new/revised strategy - undertaking research - developing strategy proposals - consulting on strategy proposals - reviewing and revising strategy proposals in the light of comments received - drafting strategy documents - consulting on strategy documents - reviewing draft strategy documents in the light of comments received - producing final strategy documents - submitting final strategy documents for formal endorsement - formally endorsing strategy documents - disseminating strategy documents - reviewing strategy.	Key records documenting the development and establishment of the institution's procurement management strategy. Working papers documenting development and establishment of the institution's procurement management strategy.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	

Records Retention Schedule for Procurement (2)

PROCUREMENT/POLICY • identifying requirements for new/revised policy • undertaking research • developing policy proposals • consulting on policy proposals • reviewing and revising policy proposals in the light of comments received • drafting policy documents • consulting on policy documents • reviewing draft policy documents in the light of comments received • producing final policy documents • submitting final policy documents for formal approval • formally approving policy documents • disseminating policy documents • reviewing policy	Key records documenting the development and establishment of the institution's procurement management policies. Working papers documenting development and establishment of the institution's procurement management policies.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of policy + 1 year	
PROCUREMENT/PROCEDURES • identifying needs for new/revised procedure • undertaking research • analysing work processes • drafting procedure documents • consulting on procedure documents • reviewing draft procedure documents in the light of comments received • trialling procedure • refining procedure as a result of trials • submitting final procedure documents for formal approval • formally approving procedure documents • disseminating procedure documents • reviewing procedure.	Master copies of procedures relating to procurement management. Development of the institution's procedures relating to procurement management.	A: Superseded + 3 years Copy to the University Archive after approval for permanent retention. D: Issue of procedures + 1 year	

Records Retention Schedule for Procurement (3)

PROCUREMENT/SUPPLIERS • issuing invitations to apply for approval • evaluating applications for approval • notifying applicants of evaluation outcomes.	Supplier evaluation criteria. Invitations to prospective suppliers to apply for approval. Evaluation of applications for approval from prospective suppliers, and notification of the outcome : approved suppliers. Evaluation of applications for approval from prospective suppliers, and notification of the outcome : rejected suppliers. Supplier database	D: Superseded + 5 years D: Expiry of invitation OR Rejection of application + 6 months OR Completion of approval D: Termination of approval D: Rejection + 1 year While current	
PROCUREMENT/TENDERS • preparing Invitations to Tender (ITT) • defining tender evaluation and selection criteria • issuing ITTs • controlling the receipt and opening of tenders • evaluating tenders • negotiating and awarding contracts • reporting and publishing information about contracts awarded, where this is required by legislation	Process of inviting and evaluating pre-qualification submissions from prospective suppliers. Invitations to Tender and tender evaluation criteria. Issue of Invitations to Tender and handling of incoming tenders. Evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders. Evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	D: Award of supply contract + 1 year D: Termination of supply contract awarded + 6 years D: Award of supply contract + 1 year D: Award of supply contract + 1 year D: Termination of contract + 6 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6

Records Retention Schedule for Procurement (4)

PROCUREMENT/TENDERS (Cont.)	Contract award notices sent to the Official Journal and/or Public Contracts Scotland, as required by Regulation 51 of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446) or by Regulation 23 of the Procurement Reform (Scotland) Act 2014 (asp 12) or by Regulation 7 of the Procurement (Scotland) Regulations 2016 (SSI 2016/145)	D: Termination of contract + 1 year Public Contracts Scotland and Public Contracts Scotland – Tender, through which we process <u>all</u> tenders and Quick Quotes, also retain the ITTs, bids and award notices, although they have not advised of the retention period to be applied.	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Procurement Reform (Scotland) Act 2014 Public Contracts (Scotland) Regulations 2015, Regulation 51 (SSI 2015/446) Procurement (Scotland) Regulations 2016, Regulation 7 (SSI 2016/145)
	Contracts awarded, containing the information specified in Regulation 51 of the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446) or by Regulation 23 of the Procurement Reform (Scotland) Act 2014 (asp 12) or by Regulation 7 of the Procurement (Scotland) Regulations 2016 (SSI 2016/145)	D: Termination of contract + 6 years	Limitation Act 1980 c.58 s5 Procurement Reform (Scotland) act 2014 Public Contracts (Scotland) Regulations 2015, Regulation 82 (SSI 2015/446) Procurement (Scotland) Regulations 2016 (SSI 2016/145)
	Statistical and other reports on contracts awarded prepared for Scottish Ministers, as required by Regulation 18 of the Procurement Reform (Scotland) Act 2014 (asp 12)	D: Current year + 3 years	Procurement Reform (Scotland) Act 2014

Records Retention Schedule for Procurement (5)

PROCUREMENT/PURCHASING • setting purchasing authorisation limits • authorising purchasing • obtaining quotations or estimates • ordering • receiving and checking that goods, works or services are delivered as required.	Purchasing authorisation limits. Internal authorisation for procurement. Purchase Orders Goods Received Notes/Goods Inwards Notes	D: Superseded + 1 year D: Current financial year + 1 year D: Current financial year + 6 years D: Current financial year + 6 years	 Limitation Act 1980 c.58 s5 HMRC 700/21 para. 5.2 Limitation Act 1980 c.58 s5 HMRC 700/21 para. 5.2
PROCUREMENT/CONTRACTS • monitoring supplier performance and taking appropriate action to deal with under-performance • handling complaints/disputes with suppliers • managing the transition of work to/from suppliers, where suppliers change.	Variations to contracts (e.g. revisions, extensions). Monitoring of supplier performance and action taken regarding under-performance.	D: Termination of contract + 6 years D: Termination of contract + 6 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6