



**ABERYSTWYTH UNIVERSITY  
PROCUREMENT RECORDS RETENTION SCHEDULE**

**Key:**

Retention period -

CFY        current financial year  
CAY        current academic year  
CY         current calendar year  
CTY        current tax year

Authority –

RM         Records Manager

Final action -

CW         confidential waste  
R          recycle  
D          delete from electronic system  
Review     Review for ongoing operational value / archival value  
Archive    Send to archive after operational use has ceased

## PROCUREMENT

The function of purchasing goods, works and services from external organisations.

**\*\*Where they are involved, the person responsible is the Procurement Manager. Where they are not involved, the creating department is responsible\*\***

**\*\*\* Where electronic tendering has been used, additional hardcopies of the tender documentation and the bid submissions by tenderers are not needed.**

### Purchasing

The activities involved in purchasing goods, works or services for the institution without tendering contracts.

Activities include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; ordering (including purchasing cards); receiving and checking that goods, works or services are delivered as required.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting internal authorisation for purchasing	Purchase requisitions Purchasing card application forms		CY + 6 years	RM	CW	
Purchase orders (including those generated on QL) and purchasing card transaction records	Purchase order books Purchasing card transaction logs & receipts.		CFY + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	CW	
Goods Received Notes / Goods Inwards Notes			CFY + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	CW	
Records documenting purchasing authorisation limits (including purchasing cards).	Authorised amendments to purchasing card user profiles	Finance Office	Superseded + 1 year	JISC	CW	

### Supplier approval

The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution.

Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes; maintaining relationships with approved suppliers.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Supplier database / lists / details			While current	JISC	CW	Includes supplier records on Voyager
Records relating to the maintenance of supplier relations	Supplier correspondence		CY + 6 years	RM	CW / D	

### Supply Contract Management

The activities involved in managing contracts for the supply of goods, works or services to the institution.

Activities include: 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.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting variations to contracts (e.g. revisions, extensions).			Termination of contract + 6 years	1980 c. 58 s 5	CW / D	
Records documenting the monitoring of supplier performance and action taken regarding under-performance.			Termination of contract + 6 years	1980 c. 58 s 5	CW / D	
Records relating to the day-to-day management of contracts	Correspondence		Termination of contract + 1 year	RM	CW / D	

### Supply Contract Tendering

The activities involved in tendering contracts for the supply of goods, works or services to the institution.

Activities include: 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 (e.g. in the Official Journal of the European Community).

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Pre-qualification questionnaire Financial appraisal PQQ evaluation scores		Award of contract + 1 year	JISC	CW	
Records documenting Invitations to Tender /Quote and tender evaluation criteria.	Invitations to Tender / Quote Specification Contract award criteria HoD approval for single-source quote Tender Management Process Control Sheet		Termination of contract + 6 years	1980 c. 58 s 5	CW	

Records documenting the issue of Invitations to Tender / Quote and handling of incoming tenders / quotes.	Tender envelopes Tender opening sheet Quotation(s) Registrar's delegation of authority to open tenders over £100K Notification of non-acceptance of late bid Director of Finance / Estates approval if fewer than 3 tenders obtained		Termination of contract + 6 years	RM	CW	
Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: <b>rejected tenders</b>	Financial appraisal Record of officer who checked tenders for accuracy, etc Bid evaluation scores Regret letter (includes mandatory standstill notice - for EU tenders only) Tender debriefs		Award of contract + 1 year	JISC	CW	
Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: <b>accepted tenders.</b>	Financial appraisal Record of officer who checked tenders for accuracy, etc Bid evaluation scores Registrar's authority if contract awarded based on other than lowest price Director of Finance approval to proceed for contracts over £200K Award letter (includes mandatory standstill notice - for EU tenders only) / Form of Contract Copy purchase order		Termination of contract + 6 years	1980 c. 58 s 5	CW	
Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2006 (SI 2006/5 - as amended from time to time).			Termination of contract + 6 years	1980 c. 58 s 5	CW	

<p>Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5 - as amended from time to time).</p>			<p>Until superseded</p>	<p>RM / Procurement Manager</p>	<p>CW</p>	<p>These are summary records of each contract awarded and retention of these for a longer period than the complete contract 'files' provides evidence of effective and compliant procurement practice over time.</p>
<p>Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2006 (SI 2006/5 - as amended from time to time).</p>			<p>CY + 3 years</p>	<p>JISC</p>		