



R2968 A2 TfL information and records disposal schedule: Contracts and Procurement (last updated 23 March 2018)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the General Data Protection Regulations and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property and Assets	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (e.g. longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers generic records relating to contracts and procurement, including projects records.
- For legal documents and records relating specifically to new buildings, structures and improvements projects see the [Property and Assets](#) records disposal schedule.
- For records relating to contracts of employment see the [Employment and Pensions](#) records disposal schedule.
- For financial records relating to contracts and procurement, see the [Finance](#) records disposal schedule.
- For records of local projects where contracts are not a factor, refer to the relevant business unit-specific records disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The Schedule: Contracts and Procurement (ref: CP)

Contents

- CP1 [Contracts and procurement policies/procedures](#)
- CP2 [Contracts operation and monitoring](#)
- CP3 [Project management](#)
- CP4 [Specification and tender development](#)

Abbreviations

- OJEU Official Journal of the European Union
- PMO Project Management Office
- SLA Service Level Agreement
- SQE Safety, Quality and Environment
- TNA The National Archives
- UK United Kingdom

TfL information and records disposal schedule: Contracts and Procurement (last updated 23 March 2018; version 4.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
CP1. Contracts and procurement policies/procedures										
CP1.1	Procurement guidelines and handbooks	Providing advice to the business	Electronic	Commercial	-	As superseded	-	Destroy	UK best practice	
CP2. Contracts operation and monitoring										
CP2.1	Software and hardware licences	External contracts management	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Termination of licence, its maintenance and the products removal from the estate	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	To ensure documentation is held for as long as maintenance contract documentation
CP2.2	Outsourced service agreements	External contracts management	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.3	Supplier accreditation process reports	External contracts management	Electronic	Commercial	-	Expiration of contract	10 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	Also as specified by SQE: 10 year retention required to allow for gradual objective evidence devaluation

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CP2.4	Due diligence files	External contracts management	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.5	OJEU Notices	External contracts management	Electronic	Commercial	-	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.6	Service level agreements and internal contracts	Internal contracts management	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of SLA or contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.7	Reports from contractors	Reporting	Email; hard copy	Commercial; project manager	-	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.8	Schedules of works	Reporting	Electronic/hard copy	Commercial; project manager	-	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.9	Surveys and inspections: equipment	Reporting	Electronic/hard copy	Commercial; project manager	-	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.10	Performance reports	Reporting	Electronic/hard copy	Commercial; project manager	Expiry of contract + 6 years Limitation Act 1980 s.5	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.11	Records of complaints	Reporting	Electronic/hard copy	Commercial	Expiry of contract + 6 years Limitation Act 1980 s.5	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	

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CP2.12	Disputes over payment	Reporting	Electronic/hard copy	Commercial	Expiry of contract + 6 years Limitation Act 1980 s.5	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP3. Project management										
Any contractual documents which are generated from a project should be managed as per the rules documented in sections CP2 and CP4										
CP3.1	Project management guidelines	Project guidelines	Electronic	PMO	-	As superseded	-	May be appropriate to offer to the TfL Corporate Archives	UK best practice	
CP3.2	Project delivery records eg: <ul style="list-style-type: none"> Approved project proposals Project initiation documents Feasibility studies Project risk management strategy Plans and specifications Equipment and supplies Project board meetings Reports (including Gantt charts, quality assurance) Operating models Workshops and stakeholder meetings Project evaluation report Benefits realisation Lessons learned 	Project delivery	Electronic	Project manager	-	Completion of project	10 years (*)	Destroy	Consistent with Pathway methodology document management requirements – click for access to R0594 - Document Management for Pathway Methodology	* This retention period does not apply to core asset information delivered by a project. See the Property and Assets disposal schedule for further instruction
CP3.3	Rejected or deferred project proposals	Project proposals	Electronic TfL Document Manager or other approved repository	Project manager	-	Completion of project	5 years	Destroy	To allow for re- use	

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TfL information and records disposal schedule: Contracts and Procurement (last updated 23 March 2018; version 4.0)

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CP3.4	Copies of documentation from other projects	Project reference	Electronic TfL Document Manager or other approved repository	Project manager	-	Completion of project	2 years	Destroy	TNA Retention Scheduling guideline no.6: Project records	
CP4. Specification and tender development										
CP4.1	Procurement strategy / plan	Evaluating tenders	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.2	Pre-qualification questionnaire (PQQ)	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.3	Expressions of interest forms	Evaluating tenders	Electronic	Commercial	-	Contract awarded/let or not proceeded with	3 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.4	Tender specification	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.5	Evaluation criteria	Evaluating tenders	Electronic	Commercial	-	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.6	Invitation to tender (ITT)	Evaluating tenders	Electronic	Commercial	-	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	

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CP4.7	Tender evaluations of contracts over £10,000	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.8	Tender evaluations of contracts under £10,000	Evaluating tenders	Electronic	Commercial	-	Expiration of contract	3 years	Destroy	UK best practice	
CP4.9	Unsuccessful tenders	Evaluating tenders	Electronic	Commercial	Documentation shall be kept for a period of at least 3 years from the date of award of contract Public Contracts Regulations 2015 s.84	Contract awarded	3 years	Destroy	To maintain a complete contractual record in the event of any legal claims	Retention period also allows supplier to contest any queries
CP4.10	Successful tender documents	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.11	Tender opening form (TLF069)	Evaluating tenders	Hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration If the TfL e-tendering system is used for the procurement this record will be held electronically

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CP4.12	Final account settlements	Evaluating tenders	Electronic/hard copy	Project manager	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration Created once final value of service provided during the financial year is agreed, the Contractor is paid and the PO is closed.
CP4.13	Contract Award Recommendation	Awarding contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.14	Direct agreement	Awarding contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration Required for key-subcontracts only
CP4.15	Bonds, parent company guarantees and warranties	Awarding contracts	Hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration

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CP4.16	Single source / derogation / non-competitive transaction approvals	Awarding contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.17	Executed contracts	Awarding contracts	Hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.18	Changes to contract requirements (including variations, extensions, compensation events)	Amending contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration

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