PROCUREMENT POLICY

<table>
<thead>
<tr>
<th>Version</th>
<th>Approved by</th>
<th>Approval date</th>
<th>Effective date</th>
<th>Next full review</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.0</td>
<td>President and Vice-Chancellor</td>
<td>28 May 2021</td>
<td>28 May 2021</td>
<td>May 2024</td>
</tr>
</tbody>
</table>

Policy Statement

Purpose

This Policy sets out UNSW Procurement principles concerning the acquisition of goods, services, infrastructure and capital works and enables UNSW Strategy 2025+ by ensuring that Procurement provides guidance to obtain value for money, provides easy-to-use tools and access to arrangements with suppliers to simplify the Procurement process while complying with the Procurement principles.

Scope

This Policy covers all activities involved in the acquisition of goods, services, infrastructure and capital works whether purchased or leased.

Activities include but are not limited to:
- identifying the need to procure
- selecting suppliers
- contracting and placing orders
- managing Contracts and suppliers

This Policy must be complied with by all UNSW Staff members regardless of their level, seniority or scope of authority, who are involved in, or impacted by, Procurement decisions and processes at UNSW. UNSW Staff listed as Financial Delegates are responsible for ensuring compliance with this Policy and will act as the representative making the commitment on behalf of UNSW.

This Policy applies to the acquisition of goods, services, infrastructure and capital works which include but are not limited to the following categories or circumstances:
- Information and Communications Technology (ICT)
- Estate management and construction
- Research/teaching equipment and consumables
- General goods and services (e.g.: accommodation, catering, office products)
- Travel (refer to the Travel Policy and Travel Procedure)
- Independent Contractors and Consultants
- Grants provided to or by UNSW.

The following are exceptions:
- Property – the acquisition, leasing and disposal of real estate
- Human Resources – determination of benefits, wages, salaries, recruitment, selection and appointment of all employees at UNSW (full time, fixed term and/or casual)
- In-house - goods or services developed / provided in-house and paid by UNSW internal journal/budget as long as additional funding is not required. Goods or services developed / provided by companies set up by UNSW Staff are not considered as exceptions.
- Emergency (refer to the definition for further details). In the case of an emergency, UNSW suppliers or UNSW panel suppliers should be considered as a priority. Urgent situations arising through a lack of planning do not constitute an emergency.

Policy provisions

1. Procurement Principles

UNSW Procurement activities must always be underpinned by the following six core principles:
- Value for Money
- Probity and equity
- Risk management
- Fit for purpose
- Responsible Procurement (social, sustainable and ethical sourcing)
- Recordkeeping
2. Implementation

2.1. Roles & Responsibilities

Procure to Pay will:

A. Manage and provide support including probity advice for the Procurement of goods, services, infrastructure and capital works on behalf of UNSW:
   a. when the total value is >$350K excl. GST where no UNSW suppliers or UNSW panel suppliers are in place;
   b. when the total value is >$1M excl. GST where UNSW suppliers (excluding building contractors and major construction works) are in place;
   c. when the total value is >$10M excl. GST for UNSW building contractors and major construction works;
   d. where risks have been identified; or
   e. where the acquisition warrants administration by Procurement (e.g.: low value but of strategic importance, potential adverse media attention or where the requirement needs Procurement expertise).

B. Approve and enter into arrangements with UNSW suppliers and/or UNSW panel suppliers to simplify the Procurement process, while complying with the Procurement principles (see section 1 above).

C. Manage and provide guidance and advice on sourcing quality products taking into account value for money, whole of life cost and responsible Procurement practices (where appropriate) through to managing the Contract.

D. Provide standardised templates and toolkits that support Staff to manage and deliver Procurement activities which are not under Procure to Pay facilitation.

The Director of Procure to Pay is:

E. Responsible for establishing, including amending and reviewing, the Procurement Procedure to enact this Policy.

UNSW Staff are:

F. Responsible for the Procurement activities that they undertake and must ensure that they (at a minimum):
   - comply with this Policy and the Procurement Procedure
   - Procure goods and services in accordance with the Business Expense Policy and Procedure
   - apply the correct financial delegations (see Register of Delegations)
   - comply with the reporting required for Contracts under the Government Information (Public Access) Act 2009 (NSW)
   - comply with the Conflict of Interest Disclosure and Management Policy and Procedure

UNSW Staff listed as Financial Delegates are accountable for ensuring compliance with this Policy as the representative making the commitment on behalf of UNSW.

<table>
<thead>
<tr>
<th>Accountabilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Responsible Officer</td>
</tr>
<tr>
<td>Contact Officer</td>
</tr>
</tbody>
</table>

Supporting Information

<table>
<thead>
<tr>
<th>Legislative Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>This Policy supports UNSW's compliance with the following legislation:</td>
</tr>
<tr>
<td>Public Finance and Audit Act 1983 (NSW)</td>
</tr>
<tr>
<td>University of New South Wales Act, 1989 (NSW)</td>
</tr>
<tr>
<td>State Records Act, 1998 (NSW)</td>
</tr>
<tr>
<td>Independent Commission Against Corruption Act 1988 (NSW)</td>
</tr>
<tr>
<td>Government Information (Public Access) Act 2009 (NSW)</td>
</tr>
</tbody>
</table>
### Supporting Documents

- Procurement Procedure
- Business Expense Policy
- Business Expense Procedure
- Register of Delegations
- Code of Conduct
- HS316 Health and Safety Purchasing Guideline
- Health and Safety - Procedures
- Health and Safety Policy
- Gifts and Benefits Policy
- Gifts and Benefits Procedure
- Purchase Order Procedure
- Credit Card Policy
- Credit Card Procedure
- Recordkeeping Policy
- Fraud and Corruption Prevention Policy
- Conflict of Interest Disclosure and Management Policy
- Conflict of Interest Disclosure and Management Procedure
- General Purchasing Delegations of the NSW Government
- Environment Policy
- Recruitment Toolkit
- Equity, Diversity and Inclusion Policy
- Cloud Services Guidelines

### Superseded Documents

- Procurement Policy, v3.0

### Definitions and Acronyms

#### Consultant
An external person or organisation engaged with a specific skill-set and knowledge not normally available at UNSW to provide professional or expert advice in a specific field. They have greater subject matter expertise than would be feasible for UNSW to retain in-house and are typically engaged on short term basis.

#### Contract
An agreement between two or more parties (supplier and UNSW) that sets out what will be delivered at what cost. This may be a UNSW Purchase Order, a UNSW template contract, a UNSW Contractor/Consultancy agreement or other form of contract (approved for use).

#### Emergency

Emergency situations include but are not limited to:

1. Natural or manmade disasters (such as earthquakes, cyclones, tsunamis, volcanic eruptions, flooding, fires or contamination)
2. Failures of critical infrastructure or equipment where:
   a. necessary actions are required in the event of a fire alarm, life safety system alarm, gas leak alarm, flood alarm, power failure etc, or
   b. an issue is identified that is required to be “made safe” in order to restore health and safety conditions, or
   c. an issue is identified that is required to be mitigated in order to prevent an “unsafe” condition, or
   d. there is a requirement to take action in order to mitigate or prevent any likely or further damage to UNSW facilities or activities, or
   e. there is a risk that delayed action may result in actual damage to UNSW’s facilities or activities
3. Critical health or environmental emergencies (such as a pandemic or food safety incident)
4. Political emergencies (such as war)
5. Any other situations documented and approved by a member of the Management Board.

#### Financial Delegates

Refer to the UNSW Register of Delegations

#### Independent Contractor
An external person which contracts with UNSW because there is a need to augment existing resources (e.g. due to a short-term increase in projects), or to fulfil a short-fall in capacity where certain skills and knowledge are ordinarily present at UNSW. Contractors are deemed as UNSW employees at law if directly engaged as sole traders via UNSW payroll. Contractors can also be engaged via a recruitment agency.

#### Policy

Principles set out in this Procurement Policy document
### Procurement

All activities involved in the acquisition of goods, services, infrastructure and capital works either purchased or leased, including but not limited to:

- identifying the need to procure
- selecting suppliers
- contracting and placing orders
- managing contracts and suppliers.

### Staff

All employees and personnel of UNSW, its affiliates and subsidiaries who are authorised to purchase goods and services on behalf of UNSW, including but not limited to continuing, fixed-term and casual staff and all persons who are engaged to perform work as Independent Contractors or Consultants of UNSW.

### Total Value

Total Contract Value including any extension periods and any applicable disposal cost.

### Procure to Pay

Procurement staff engaged by Operational Finance to undertake and/or to provide support with Procurement activities.

### UNSW panel suppliers

Refer to the [Procurement Procedure](#).

### UNSW supplier

Refer to the [Procurement Procedure](#).

### Revision History

<table>
<thead>
<tr>
<th>Version</th>
<th>Approved by</th>
<th>Approval date</th>
<th>Effective date</th>
<th>Sections modified</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>Vice-Chancellor</td>
<td>13 December 2011</td>
<td>1 January 2012</td>
<td>New Policy</td>
</tr>
<tr>
<td>2.0</td>
<td>President and Vice-Chancellor</td>
<td>31 July 2014</td>
<td>1 August 2014</td>
<td>Full review</td>
</tr>
<tr>
<td>3.0</td>
<td>President and Vice-Chancellor</td>
<td>30 November 2017</td>
<td>23 February 2018</td>
<td>Full review. Intentional delay between approval and effective date to enable staff training.</td>
</tr>
<tr>
<td>4.0</td>
<td>President and Vice-Chancellor</td>
<td>28 May 2021</td>
<td>28 May 2021</td>
<td>Full review with minor amendments</td>
</tr>
</tbody>
</table>