





Staff involved in procurement must avoid any perception of being influenced by gifts or hospitality from a supplier.

- 3.9. Staff involved in sourcing and obtaining quotes:
  - must not accept gifts, hospitality or any other benefits from a current or prospective supplier of the good, service, infrastructure or capital work that is being procured.
  - if attending any hospitality with the supplier, they must pay their own way.
- 3.10. Staff involved in managing the ongoing relationship with a supplier:
  - may accept modest hospitality from the supplier (lunch, coffee, tea associated with business meetings to discuss goods, services, infrastructure or works), but
  - they must not accept gifts, restaurant meals, alcoholic drinks, tickets to the theatre or to sporting events, unless they disclose these to their manager and register them in the Register of Gifts and Benefits.
- 3.11. Staff involved in sourcing and obtaining quotes:
  - should consult Procurement if they are uncertain about gifts or other benefits from a supplier,
  - must consult Procurement if accepting a gift or other benefit will place them in a position where they may be, or may be perceived to be, compromised or influenced, and
  - should familiarise themselves with the Gifts and Benefits Procedure.
- 3.12. Procurement may require staff undertaking a high profile, complex or high-value procurement to engage a probity advisor ([Finance Policy](#), Section 4: Procurement procedure, clause 1).
- 3.13. A probity advisor may be engaged to ensure integrity is maintained and that the process is fair and transparent.
- 3.14. A probity advisor had no authority or decision-making power.

## 4. Risk management

- 4.1. Staff involved in procurement will identify, consider and manage risks of the good, service, infrastructure or work.
- 4.2. The [Finance Policy](#) requires that, where procurement of a good, service, infrastructure or work identifies significant risks, the staff involved in procuring it, will develop and implement a risk management plan (see [Risk Management Manual](#) for advice).
- 4.3. Procurement of goods and services must include health and safety (H&S) specifications in the request for response documentation and responses will be evaluated against these H&S specifications (refer to the [Health & Safety website](#))
- 4.4. Staff involved in procuring goods that may be deemed hazardous or be deemed a restricted good, must follow specific processes (refer to [Hazardous Chemicals Procedure](#)).
- 4.5. Assessment of risk should consider:
  - whether the supplier is able to deliver the goods, services, infrastructure or works on time and within budget,
  - whether it is fit for purpose,
  - the nature of the contractual arrangement (deviations from standard terms and conditions), and
  - whether the goods or services are new to market, their geographical location, environmental, social footprint, or where impact to UNSW may be high.

## 5. Recordkeeping

- 5.1. Procurement activities are subject to internal and external scrutiny. Procurement records may be examined by audit staff, the Independent Commission Against Corruption, policy and any member of the public under the *NSW Government Information (Public Access) Act 2009* (GIPA).
- 5.2. Staff involved in procurement will:
  - keep complete records of procurement activities and file these in the recordkeeping system: see the [Records and Archives Office website](#) and refer to the [Recordkeeping Policy](#), and
  - where an engagement has a value of \$150,000 including GST or more (\$136,363 excluding GST), the copy of the contract, evaluation and approval decision records for the procurement activity must be recorded in the approved GIPA system of use. If one is not in effect, the records are emailed to [procurement@unsw.edu.au](mailto:procurement@unsw.edu.au).

## 6. Sustainable procurement

- 6.1. Staff involved in procurement will ensure that sustainability (including at a minimum, modern

supplier engaged.

- 7.4. The [Guided Buying Reference](#) provides what the minimum requirement is for the procurement activity. Staff may elect to obtain more than the minimum requirements specified.
- 7.5. If the total cost of procurement is likely to increase at any stage of the procurement or contract lifecycle, the minimum number of quotes, or whether to engage the Procurement team must be based on the total cost of the procurement activity.
- 7.6. The appropriate Financial approval applies to the total cost of the procurement activity. This amount is to include the initial term and all extension periods (where applicable). The total cost of the procurement should consider at a minimum the supply, servicing, freight, installation, implementation, training, support, maintenance and disposal of the good or service.
- 7.7. Where a supplier is delivering services (such as a sole trader, delivering services under time and labour or considered under any other scenario on



- 9.5. Where staff are required to obtain more than one quote:
- These must be from different suppliers, with different Australian Business Numbers (ABN).
  - Where a supplier is asked to quote, but does not provide a quote, this is considered to contribute to reaching the number of quotes, ensuring the same information is sent to all suppliers
  - Staff must retain all evidence of the RFQ process (requests for quotes, quotes received, communications from suppliers declining to send quotes). Refer to Recordkeeping requirements.
- 9.6. When creating the purchase order record in NS Financials for the financial delegate to review, staff must:
- if the purchase required a quote or multiple quotes, attach all quotes, including the successful one,
  - where the financial delegate approved an exemption from the required number of quotes, attach a copy of the delegate's advice of the exemption, and the single quote, or
  - if the purchase did not require quotes, attach evidence of the price obtained.

## 10. Grants

- 10.1. The conditions of a grant received by UNSW for educational or research purposes may detail that UNSW will buy a specific piece of equipment and/or use a specific supplier.
- 10.2. Staff are advised to consult Procurement if they are considering applying for, or have received, a grant of which the conditions detail the specific piece of equipment or supplier.
- 10.3. Where this is the case, and procurement transactions with the grant funds will total:
- up to and including \$350K, procurement of the equipment or service can proceed as specified by the grant conditions, without an exemption, unless:
    - the grant application process did not include seeking a fixed price,
    - 12 months have passed since quotes were sought.

states that the variation must be approved by a financial delegate with the delegation to approve the total cost, including the new and previous cost with the supplier.

## 12. Exemptions and bulk exemptions from required number of quotes

- 12.1. The [Procurement Procedure](#) section of the Finance Policy provides for the financial delegate who will approve a procurement transaction to exempt it from the requirement of a minimum number of quotes.
- 12.2. To seek an exemption or bulk exemption, staff must:
  - provide satisfactory, documented reasons for an exemption, and
  - demonstrate how the procurement process will still meet the principles of the Finance Policy

To find out more, please refer to the Finance Policy, Section 12 (Exemptions and Bulk Exemptions) and the Finance Policy, Section 13 (Bulk Exemptions).



