

**Appendix 1: Contract Type, Value, Approval and Requirements Summary**

<b>Contract Type</b>	<b>Total Procurement Value and Risk Threshold</b>	<b>Approval Authority</b>	<b>Procurement Process and Associated Requirements</b>	<b>Documents Required</b>	<b>Owner/Lead and Support</b>
Supply of goods, services and/or works	Under \$10,000 and low or medium risk	Budget Holder	One or more written quotes prior to commencement  Follows the Procurement Principles set out in Appendix 2 of this policy and considers the Broader Outcomes set out in Appendix 3 of this policy.	Written quote  HSE Policy / check  Risk assessment	Business Owner  Procurement Manager can provide advice and support on request
	\$10,000 - \$99,999 and low or medium risk	Budget Holder and Procurement Manager	Unless otherwise applicable (i.e. suppliers who are on a preferred supplier panel will be selected in line with the specific panel rules or there is only one preferred supplier), two or more preferred supplier quotes must be obtained. Where no preferred suppliers exist, three quotes must be obtained.  Follows the Procurement Principles set out in Appendix 2 of this policy and considers	Written quotes  HSE Policy / Plan  Risk assessment  Exemption Form if necessary	Business Owner  Procurement Manager can provide advice and support on request

			<p>the Broader Outcomes set out in Appendix 3 of this policy.</p> <p><b>Note:</b> It is acceptable to get more than the minimum number of quotes and advisable to do so in competitive markets</p>		
	<p>\$100,000 - \$499,999 and low or medium risk</p>	<p>Budget Holder following review by the Procurement Governance Group</p>	<p>A competitive process, RFX (RFX is the generic term for an RFQ, RFP or ROI).</p> <p>A Lite Procurement Plan will need to be completed at the commencement of the project and signed off prior to any RFX activity.</p> <p>A closed tender process may be run only in exceptional circumstances where a procurement exemption has been approved prior to engaging a supplier, in accordance with clause 32 of this policy.</p>	<p>Lite Procurement Plan</p> <p>Confidentiality Agreement</p> <p>Conflicts of Interest Form</p> <p>RFX</p> <p>RFX Opening sheet</p> <p>Evaluation Plan and Template</p> <p>Contract</p>	<p>Business Owner and Procurement Manager</p> <p>Procurement will provide support, guidance and sign off in planning phase</p> <p>Business Owner and Procurement Manager will decide who runs the RFX process and the evaluation team</p> <p>Procurement Manager will represent the Business Owner should the</p>

				<p>Non-successful letters</p> <p>HSE Policy / Plan</p> <p>Risk assessment</p> <p>Exemption Form if necessary</p>	<p>Procurement Governance Group require further information</p>
	<p>Over \$500,000 and low or medium risk or any spend with high risk</p>	<p>Procurement Governance Group</p>	<p>A competitive process, RFx (RFx is the generic term for an RFI, RFQ, RFP or ROI).</p> <p>A Full Procurement Plan will need to be completed at the commencement of the project and signed off prior to any RFx activity.</p> <p>A closed tender process may be run only in exceptional circumstances where a procurement exemption has been approved prior to engaging a supplier, in accordance with clause 32 of this policy.</p>	<p>Full Procurement Plan</p> <p>Confidentiality Agreement</p> <p>Conflicts of Interest Form</p> <p>RFx</p> <p>RFx Opening sheet</p> <p>Evaluation Plan and Template</p>	<p>Procurement Manager will lead the process with support from the Business Owner</p> <p>All sign offs must go through the Procurement Governance Group</p>

				<p>Detailed Recommendation Report</p> <p>Insurance policies</p> <p>Contract</p> <p>Non-successful letters</p> <p>HSE Plan or Policy</p> <p>Risk assessment</p> <p>Exemption Form if necessary</p>	
Independent Contractor - Agency	Any spend value	Budget Holder	<p>The standard procurement process for supply of goods, services and/or works detailed above based on spend and risk.</p> <p>The Procurement Principles set out in Appendix 2 of this policy should be adhered</p>	As per the procurement process for development of the Agency Contract	<p>Business Owner for assessment process</p> <p>Business Owner or People and</p>

			<p>to by both the Business Owner and the Agency; Broader Outcomes which may be generated from procurement activity, set out in Appendix 3 of this policy, should also be considered. For example, the Agency should be able to demonstrate and the Business Owner analyse that any rates represent both value for money and market rate</p> <p>Consideration should be given as to whether this should be an outsource arrangement through a procurement process or an Independent Contractor Agreement</p>	<p>Evaluation assessment (if an outsource arrangement is chosen as the preferred option documents must align with the correct procurement process)</p> <p>Procurement Plan</p>	<p>Capability for contracting of Independent Contractor</p>
Independent Contractor - Direct	Any spend value	Budget Holder	<p>The relevant procurement process should be applied dependent on the level of spend expected</p> <p>The Procurement Principles set out in Appendix 2 of this policy should be adhered to by the Business Owner; Broader Outcomes which may be generated from procurement activity, set out in Appendix 3 of this policy, should also be considered. For example, the Business Owner should be able to demonstrate that any rates represent both value for money and market rate.</p>	<p>Evaluation assessment (if an outsource arrangement is chosen as the preferred option documents must align with the correct procurement process)</p>	<p>Business Owner for assessment process</p> <p>Business Owner or People and Capability for contracting of Independent Contractor</p>

			<p>Consideration should be given as to whether this should be an outsource arrangement through a procurement process or an Independent Contractor Agreement</p>		
International Student Recruitment Agents	Any spend value	Deputy Director International	<p>Potential agents are invited to apply and are assessed based on specific criteria.</p> <p>The relevant Regional Manager or Regional Lead makes a recommendation to the Deputy Director International who determines whether an appointment is to be made.</p> <p>Agents are required to sign an International Student Recruitment Agent Contract.</p>	<p>References are required</p> <p>International Student Recruitment Contract</p>	Assistant Vice-Chancellor International Engagement and Partnerships
All contracts via shared services, e.g. AoG and syndicated contracts	Any spend value	Procurement Governance Group	<p>AoG or syndicated contracts must follow an appropriate accession process</p> <p>To accede to the contract the University will need to complete the prescribed process provided by the Contract Owner</p>	<p>AoG or syndicated contract</p> <p>Review template used to assess compatibility with University needs</p>	Business Owner or Procurement Manager dependant on category

			<p>Consideration should be given to the requirements and scope of the AoG or syndicated contract and the Procurement Principles set out in Appendix 2 of this policy should be adhered to; Broader Outcomes, set out in Appendix 3 of this policy, which may be generated from procurement activity should also be considered</p>	<p>The request to accede (internal document only)</p> <p>Accession document (including any further renewals)</p> <p>Formal joining letter from Contract Owner</p>	
Exemptions	<\$500,000	Chief Operating Officer or Director of Finance	<p>Where a procurement exemption is required, an Exemption Form must be completed and submitted to the Procurement Manager prior to engaging with any supplier, in accordance with clause 32 of this policy.</p> <p>The Chief Operating Officer or delegated authority can consider circumstances for exemption to the procurement process and approve as required.</p> <p><b>Note:</b> Exemptions requested by the Chief Operating Officer must be considered by the Vice-Chancellor.</p>	<p>Exemption Form</p> <p>Evidenced in Business Case or Capital Plan</p> <p>All approved exemptions must be reported to the Capital and Finance Committee</p>	Budget Holder in conjunction with Procurement

	\$500,000 or more	Chief Operating Officer, Procurement Governance Group or Vice-Chancellor	<p>Where a procurement exemption is required, an Exemption Form must be completed and submitted to the Procurement Manager prior to engaging with any supplier, in accordance with clause 32 of this policy.</p> <p>The Chief Operating Officer, Procurement Governance Group or Vice-Chancellor can consider circumstances for exemption to the procurement process and approve as required.</p> <p><b>Note:</b> Exemptions requested by the Chief Operating Officer must be considered by the Vice-Chancellor. Exemptions requested by the Vice-Chancellor must be considered by the Procurement Governance Group.</p>	<p>Exemption Form</p> <p>Evidenced in Business Case or Capital Plan</p> <p>All approved exemptions must be reported to the Capital and Finance Committee</p>	Budget Holder in Conjunction with Procurement
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Expenditure Type	Total Procurement Value and Risk Threshold	Approval Authority	Process and Related Policy	Documents Required	Owner/Lead and Support
PCard	Up to authorised limit	Budget Holder	<p>Ensure spend follows the <a href="#">Purchasing and Sensitive Expenditure Policy</a> and <a href="#">PCard Policy</a></p> <p>Follows the Procurement Principles set out in Appendix 2 of this policy.</p> <p>Any spend should be for a one-off purchase, if purchases will be ongoing a contractual solution should be considered.</p>	Receipt/invoice for reimbursement	PCard owner
Vouchers	Any Value	Finance then Budget Holder	<p>Vouchers may be purchased using a PCard or via on account payments.</p> <p>All voucher purchases must be pre-approved by Finance using a Voucher Approval Request form in Kuhukuhu.</p>	<p><a href="#">Kuhukuhu Voucher Approval Request</a></p> <p>Individual Voucher Receipt</p> <p>Group Voucher Receipt</p>	Budget Holder

Staff Expense Claims	Any Value	Budget Holder	<p>Staff expense claims can only be made where a Purchase Order or PCard was not able to be used and a staff member needs to be reimbursed for legitimate work-related expenses. Mileage is reimbursed at IRD rates where a fleet vehicle was not available for use.</p> <p>The line manager must be satisfied that a claim is appropriate prior to approval.</p>	Receipts/invoice	Budget Holder
ICT Equipment			<a href="#">ICT Guidelines</a>		
Hospitality and Venue Hire			<a href="#">Purchasing and Sensitive Expenditure Policy</a>		
Staff Gifts and Functions			<a href="#">Purchasing and Sensitive Expenditure Policy</a>		
Fleet Purchases			<a href="#">Capital Asset Policy</a>		