

**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	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	Two or more preferred supplier quotes or three or more non-preferred supplier quotes  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.  <b>Note:</b> It is acceptable to get more than the minimum number of quotes and advisable to do so in competitive markets	Written quotes  HSE Policy / Plan  Exemption Form if necessary	Business Owner  Procurement Manager can provide advice and support on request
	\$100,000 - \$499,999 and low or medium risk	Budget Holder following review by the Procurement	A competitive process, RFx (RFx is the generic term for an RFQ, RFT, RFP or ROI).	Lite Procurement Plan  Confidentiality Agreement	Business Owner and Procurement Manager  Procurement will provide support,

		Governance Group	<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 involving:</p> <ul style="list-style-type: none"> <li>• proprietary information or innovation;</li> <li>• minimal market competitors;</li> <li>• bespoke services or equipment;</li> <li>• existing commercial arrangements which prohibit going to market;</li> <li>• sensitive expenditure which must ensure minimal market presence.</li> </ul> <p>These must all be approved through an Exemption Form</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>Non-successful letters</p> <p>HSE Policy / Plan</p> <p>Exemption Form if necessary</p>	<p>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 Procurement Governance Group require further information</p>
Over \$500,000 and low or medium risk or any spend with high risk		Procurement Governance Group	<p>A competitive process, RFX (RFX is the generic term for an RFI, RFQ, RFT, 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 involving:</p> <ul style="list-style-type: none"> <li>• proprietary information or innovation;</li> <li>• minimal market competitors;</li> <li>• bespoke services or equipment;</li> <li>• existing commercial arrangements which prohibit going to market;</li> </ul>	<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>

			<ul style="list-style-type: none"> <li>• sensitive expenditure which must ensure minimal market presence.</li> </ul>	<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 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>As per the procurement process for development of the Agency Contract</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>Business Owner for assessment process</p> <p>Business Owner or People and Capability for contracting of Independent Contractor</p>

			Consideration should be given as to whether this should be an outsource arrangement through a procurement process or an Independent Contractor Agreement		
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>Consideration should be given as to whether this should be an outsource arrangement through a procurement process or an Independent Contractor Agreement</p>	Evaluation assessment (if an outsource arrangement is chosen as the preferred option documents must align with the correct procurement process)	Business Owner for assessment process Business Owner or People and Capability for contracting of Independent Contractor
All contracts via shared services, e.g. All-of-Government (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>Consideration should be given to the requirements and scope of the AoG or</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>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) Accession document (including any further renewals)</p> <p>Formal joining letter from Contract Owner</p>	
Exemptions	<\$100,000	Budget Holder	<p>Budget Holder can consider circumstances for exemption to the procurement process and approve as required.</p> <p>Supporting documentation or a completed Exemption Form needs to be available in the event of an audit query.</p> <p>Circumstances where exemption is applicable include:</p> <ol style="list-style-type: none"> <li>1. proprietary information or innovation</li> <li>2. minimal market competitors</li> <li>3. bespoke services or equipment</li> <li>4. existing commercial arrangements which prohibit going to market, and/or</li> <li>5. sensitive expenditure which must ensure minimal market presence.</li> </ol>	Evidenced in Business Case or Capital Plan	Budget Holder
	>\$100,000 and <\$500,000	Budget Holder and Procurement	Exemptions are completed and Procurement to approve	Evidenced in Business Case or Capital Plan	Budget Holder in conjunction with Procurement

	>\$500,000	COO or PGG	For large scale procurement that require an exemption, this must be completed and approved by the Procurement Governance Group	Evidenced in Business Case or Capital Plan	Budget Holder in Conjunction with Procurement and PGG
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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 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>Kuhukuhu Voucher Approval Request</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 Policy</a>		
Staff Gifts and Functions			<a href="#">Purchasing Policy</a>		
Fleet Purchases			<a href="#">Capital Asset Policy</a>		