Purchasing Processes Manual

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#### IT SYSTEM HELP

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#### Financial Services Division

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| Training on Financial Systems & Processes | Click here to book |
| General supplier and procurement queries | help@waikato.ac.nz |
| Access Unimarket                | Click here |
| Tender Register                 | Click here |
| RFx Tender Manual               | Click here |
| Central Contracts User Manual  | Click here |

#### Procurement

| Budget information requests | budgets@waikato.ac.nz |
| Taxation (GST and Tax Queries) | tax@waikato.ac.nz |
| Asset Acquisition Form       | Click here |
| Asset Retirement/Disposal Process | Click here |

#### Financial Management Services

| Book a University Fleet Vehicle | Click here |
| University Travel Portal - Corporate Business Travel | Click here |
| Access Fraedom/PCard           | Click here |
| Add Organisation Units         | Click here |
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[Click here to access Unimarket]
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1. Introduction to Financial Services Division (FSD)

FSD provides centralised accounting and financial services to the University, and houses five departments:

- Financial Management Services - manages financial reporting, budgets, and assets.
- Financial Operations Unit - administers financial operations of the University, including payments, accounts payable, receivable, fees, and PCard.
- Procurement - focuses on purchasing education, preferred suppliers, contracts, and guidance for centralised planning, sourcing, and running tenders.
- Fleet Management - manages all aspects of the University’s fleet of vehicles, from a central perspective.
- Internal Audit and Risk Management - assists the University through the provision of independent advice and consulting services in order to drive efficiency and assurance through effective risk management and testing of the internal control framework.

Check out the FSD Home Page, click here to Contact Us.

1.1 Supporting Policies and Manuals

It is important to familiarise yourself with the following policies which relate to purchasing.

- Procurement Policy
- PCard Policy (UoW Corporate Credit Card)
- PCard Manual
- Travel Policy
- Rental Vehicle Policy
- Use of Private Vehicles for University Business Policy
- Koha and Donations Policy
- Financial Authority Policy

1. Getting Started

Unimarket is an ePurchasing system used to raise purchase orders for suppliers. Refer to section 5, Using Unimarket, for more details on how the system works.

Overall, approval to use Unimarket comes from the head of the faculty or division that staff ultimately report to. Additionally, the overall responsibility to manage, monitor, and supervise staff Unimarket usage also resides with faculty/division management who approve and authorise staff access.

2.1 Who is eligible to use Unimarket?

- Permanent staff
- Staff on fixed term contacts for 12 months, or more
- Special permission is needed for staff on fixed term contacts less than 12 months. Specific approval of the relevant Dean/Head of School is required.

2.2 How to activate your Unimarket profile

Once you have approval in principle from your line manager (or budget holder) to use Unimarket, you need to set up your profile.

Step 1

Staff need to activate their 'buyer profile' in the system. This is done by adding the relevant account codes (also known as organisation units) to the system. Speak with your line manager, financial coordinator/administrator in your faculty/division for the relevant codes to add.
Add the relevant codes to the system. Firstly, watch this video which explains how to complete this step, or read through the ITS step by step guide. Then, go to the Finance Utilities page, and select the Maintain Organisation Units icon. Each code needs to be entered one at a time.

Once codes have been loaded, go to the Purchasing Page in iWaikato, then click enter Unimarket. Staff can return to the Finance Utilities page at any time to add more account codes / organisation units, when required.

If you are still unable to access Unimarket after account codes have been entered, or you experience any sort of system error, please contact ITS Service Desk via email or phone (ext 4008).

Some of the known system issues include,

a) Single sign on error is caused because a buyer has not yet loaded their Organisation Units (or Org units) into their Unimarket user profile.

b) Frozen on My Account screen when a buyer log into Unimarket and can see the My Account page, but nothing can be done.

2.3 Help, support, and training

- **User Manual**
  Consider integrating these FSD manuals into your department’s everyday operational knowledge base, processes, and staff inductions as a foundation piece. FSD aims to present information in this manual in a logical and easy-to-use format. FSD is always interested to hear feedback, so if there are any errors or omissions, we’d like to hear from you.

  Because we strive to keep our resources accurate, save a link to the manual to ensure you always get the most current version when you need it.

- **Collegial Support**
  Every faculty and division has a group of regular Unimarket users. They should be your first go to for specific advice and assistance on using Unimarket (for queries that are not already outlined in this manual).

- **Watch Informative Videos**
  FSD is developing a web presence to house a suite of financial resources for the community. Below are a few useful financial videos that may assist to build a better awareness and understanding of University financial systems and processes.
  
  - PCard / Fraedom - How to Code PCard Transactions
  - Unimarket - How to add account codes/organisation units
  - Unimarket - Fun Finance Promo Video
  - Unimarket – How to search in Unimarket (in development)

- **Contact ITS Service Desk**
  Call or email ITS Service Desk ext 4008, or log a help request via the Unimarket dashboard.

- **‘Face to Face’ Sessions**
  FSD offer a range of financial systems training sessions to the purchasing community about Unimarket, Fraedom, and Paperless Accounts Payable. Our aim is to educate users and up-skill everyone’s financial knowledge so we can achieve a more effective use of our purchasing related time. View the session schedule and more details on the Professional Development Website.

  - [Unimarket ‘Base Camp’ (1.5 hours)](link)
    Get to know our fully integrated virtual ePurchasing system.

  - [PCard ‘Base Camp’ (1 hour)](link)
PCard is the University credit card, and Fraedom is the financial system that supports and collects all the purchasing/transactional data.

- **PCard ‘Cash Advance Reconciliation’ Practical (40 minutes)**
  A practical system guide through the system on how to complete a cash reconciliation, including coding expenses, coding unused money, and calculating foreign exchange losses. Refer to the detailed ‘how to’ guide in the appendix.

- **Paperless Accounts Payable (PAP) (1 to 1.5 hours)**
  Purchase orders and supplier invoices are automatically matched by our auto matching process, but sometimes things don’t always match. This system helps the University match invoices and purchase orders/payments that need human intervention to get them approved and paid.

- **Managing a Budget (3 hours)**
  An intensive look at how the University manages its finances from a tertiary perspective.

- **Special Customised Sessions – Group Bookings**
  We also offer 1 to 2 hour sessions to faculty/divisions who are seeking more of a team approach to their training. Session content can include general ‘Base Camp’ material, in addition to other specific topics requested at time of booking. Contact the Procurement Office to discuss a customised session of your team’s requirements.

### 2.4 Budget account codes, organisation units, and approval chains

- Organisation units are simply account codes that link every purchase to specific budgetary fund. Budgets are managed by every faculty or division.
- Generally, account codes incorporate a ‘chain’ of approvers, each with an increasing monetary amount that they are permitted to approve, these are referred to as ‘approval chains’.
- Levels of approval are established, recorded, and maintained in collaboration between the Financial Services Division, and Management within each Faculty/Division. Approval chains are formally requested and signed off via a Financial Delegations Form. Refer to Approver Responsibilities below for further details.
- There are two types of account codes used, General Ledger codes, and Project codes.

#### How to view account codes and approval chains

The View Organisation Chains portal displays all University account approval chains, along with designated staff who approve on these chains, and their financial delegated level of authority (i.e. the amount they can approve up to). It can be accessed via the above link, via the quick links tab when you are on the purchasing page, within Unimarket on the quick links list, or direct from the Accounting and Finance Utilities page. Users can search by for approval chains, or by approvers.
Enter the account code, or name of person depending on which search function was selected. Click the pencil icon to expand for the approval chain. Note: If approvers are displayed with .01c this means the approvers have the same level of approval. Oracle is unable to store several approvers at the same approval amounts.

2.5 Escalation

- Approvers are notified via email that there is a requisition waiting to be reviewed.
- If a requisition is not approved within 72 hours, it will automatically escalate to the next approver on the approval chain. Bypassed approvers still have the ability to approve a requisition even if it has escalated.
- For more information about escalating travel requisitions, refer to the Travel Section.

2.6 System Problems and outages

If you experience problems with any University system, click here to check if there is a system outage. Or contact ITS Service desk, (or call ext 4008) for assistance.

2. Buyer Responsibilities

3.1 Role of the Buyer

A buyer is any University staff member who has permission to access Unimarket to generate requisitions, and ‘receive’ the purchased products in Unimarket once they are delivered.
3.2 Dashboard

The dashboard screen displays a snapshot of some of a user’s activity, and will populate with your preferences. Every so often, review your system activity to make sure you don’t have any old purchase orders that need to either be closed or received. To access historic activity, go to the Orders tab, then select View Orders and remember to change the date parameters.

3.3 ‘Receive’ your goods in Unimarket

It’s important to remember to receive your items in Unimarket so suppliers can get paid. This is the most common reason why suppliers contact the University seeking payment, because this step has not been promptly completed. Buyers need to proactively manage their open purchase orders, and follow up with other staff or suppliers. Refer to the flowchart of purchasing for the big picture.
How to receive
Once products have arrived, within 5 working days, go to Unimarket, and access ‘open receiving’ from either the dashboard screen, or via the Orders tab.

Additional comments
- In accordance with the Procurement Policy, receiving products/services should be completed at time of delivery, and must be completed within 5 working days from their delivery.
- Before products are ‘received’ in Unimarket, staff must ensure that the items delivered match up to what is being ‘received’, and are of an acceptable quality.
- Supplier invoices will not be paid if the purchase order hasn’t been received in Unimarket, and the supplier has emailed their invoice to the BILL TO address as stated on the purchase order.
- Unimarket allows purchase orders to be received by individual line or item (i.e. partial receiving) as well as ‘receive all’ for the entire order.

3.4 ‘Receive’ on Behalf
When a buyer has left the University, they may have residual purchase orders in their Unimarket profile that need to be received. Contact the Procurement Office to have a conversation about which option would suit your requirements.

- **Preferred** For one-off orders, a basic receive on behalf request can be submitted by faculty/division staff to authorise the receiving of products for these outstanding orders.
- **Complex** When there is a significant amount of orders, FSD can provide administrative system access to an assigned staff member. This gives them the ability to receive on behalf, for a limited timeframe.

3.5 Role of the travel booker
Sometimes, buyers book travel on behalf of other staff. If you are in this situation, be aware that approvers are not permitted to approve their own travel arrangements. As the travel booker, you have the ability to escalate the travel quote past the traveller, if they are next in line on the approval chain. To view where a requisition / travel quote has escalated to, open the requisition, then click on the Approvals tab, see below screenshot.
3.6 Common Dos

- When you begin to consider items and costs for required products, use established suppliers who are already set up in Unimarket for quotes. Always use University preferred suppliers in the first instance.
- Generally, quotes should be the basis of a requisition. Quotes can be uploaded to Unimarket, and attached to a requisition to provide additional context for approvers.

3. Approver Responsibilities

4.1 Role of the Approver

An approver is a University staff member who has the delegated financial authority to approve purchases (up to a certain value). Once an approver has approved a requisition it becomes a purchase order and is electronically sent to the supplier. Refer to the flowchart of purchasing.

4.2 Role of the Reviewer

Sometimes, an approver can become a reviewer. This occurs when an approver receives a requisition, but its value exceeds their financial approval level. At this stage, a reviewer can still add commentary to the requisition and click approve, which allows the requisition to escalate up the approval chain.

4.3 Financial authority and approval delegations

The University is required to delegate and record staff who approve spending. These approved levels of spending become the business rules that our systems rely on to operate. Most of the University’s business rules are set up in Oracle, our primary financial system. Oracle provides a foundation for many of our user-friendly systems (such as Unimarket and Fraedom).

Levels of approval are established, recorded, and maintained in collaboration between the Financial Services Division, and Management within each Faculty/Division. They are formally requested and signed off via a Financial Delegations Form. Submit a completed form to pcard_admin@waikato.ac.nz

- Review the University’s policy on Financial Authority.
- Get a copy of the Financial Delegations application form.
- Read more about approval chains and escalation.

4.4 ‘Out of Office’ function for approvers

Approvers who are out of the office for extended periods, should set-up their ‘out of office’ in Unimarket. This allows requisitions to immediately escalate to the next approver on the approval chain. To use the ‘out of office’ function, select the Tasks icon, then select Approvals. Click Change Availability, and follow the onscreen prompts.

4.5 Review historic approvals

Approvers can view their history of the requisitions they have approved in Unimarket. Access this via the Tasks tab, and select Approvals. Searches can be filtered by date range, or buyer.

4.6 Common Dos

- Consistently strive for good approver behaviours.
- Always review the products in a requisition prior to approval.
- Push back on poorly prepared requisitions. If there is important information missing, decline it and have a conversation with the buyer so it can be corrected. Requisitions can include attachments and justifications help clarify the context of purchases.
4. Using Unimarket – A guide for humans

5.1 What is Unimarket?

Unimarket is the University’s central electronic purchasing system. Staff raise requisitions to purchase products from approved or preferred suppliers. These requisitions are sent to approvers, and if approved, they become purchase orders and are electronically sent to the supplier. Refer to the flowchart of purchasing below.
5.2 Flowchart of Purchasing

A simple overview of what happens in Unimarket from A to Z. Buyers, approvers, and suppliers are all responsible to complete set actions throughout the process, otherwise there are delays.
5.3 Searching in Unimarket

**Supplier Name**

Click Marketplace, select View Suppliers. Type the first several letters of the supplier’s name, then click Search.

**Supplier Tags**

If you are unsure which suppliers are available, then search for groups of suppliers under their tag (i.e. category).

Click Marketplace, then select View Suppliers. Leave the Name field blank and click in the Supplier Tags field to access the drop down menu which displays supplier categories list.

**Tip**

Add in two or more tags at one time to help pinpoint suppliers. For example add ‘preferred supplier’ and ‘laboratory equipment’ to locate the preferred suppliers in this category.

**Tag Searching**

To search within a tag/category, select the tag required which will be displayed in the ‘item search tool’. Once a tag is selected, use the item search tool to look for items within this grouping. This tool only searches for products that are pre-loaded into Unimarket; it is generally used to search for product numbers.

**Advanced Search**

Within the item search tool, there is an Advanced search tool. This may assist to search for items and suppliers. Generally, the Supplier Name search (outlined above) is the fastest way to search for suppliers.

**Product Search Tool** –

This search tab which is always visible is only used to locate very specific products. It only detects some pre-loaded products, and generally, it is not the best way to locate suppliers.

5.4 Locate University preferred suppliers

A special tag/category was created to allow our community to easily identify preferred suppliers. To locate them, refer to searching via Supplier Tags for instructions.

5.5 Premium and Lite Suppliers

Suppliers listed in Unimarket can choose to be either a premium or lite supplier. Lite Suppliers incur no Unimarket costs, and have basic listing without a logo. These suppliers are listed alphabetically and buyers order items via the ‘non-catalogue’ purchasing option (ie a manual order) using free-text entry.

A premium supplier pays Unimarket a subscription fee which allows them some control over how they appear in the system. Premium suppliers are not necessarily preferred. They have additional system features such as displaying their logo, and generally list their products in either a hosted catalogue, or an online (roundtrip) catalogue.
Premium suppliers with a roundtrip facility link their online purchasing store to Unimarket. Buyers begin by creating a requisition in Unimarket, are taken to the suppliers online to select, and then return to Unimarket to complete the requisition, and checkout.

5.6 Create a ‘non-catalogue Item’ / manual order

Buyers can purchase products via the non-catalogue item button from all suppliers. Basically buyers manually type in their order via a free text field. Non-catalogue orders can be used to purchase items from outside of a supplier’s standard catalogue. Generally, quotes requested from suppliers should form the basis of a manual order, and they can also be attached to the requisition.

5.7 Justification

To help add context and speed up the approval process, buyers can add a justification (and upload attachments). The justification field is available at the final checkout stage. The information submitted here is visible to buyers and approvers only (not suppliers). These comments are saved to the requisition, so if they need to be reviewed later, access them via the Orders tab, and select View Requisitions.

If an asset acquisition form has been filled out for the purchase of a capital item, the system has generated an Asset acquisition code (like: AA100123). This code must always be placed in the first line of the Justification field. Refer to the Asset Acquisition User Guide for more information.

5.8 Cancelling an order (for products that have NOT been ‘received’)

If the products/services have not been ‘received’ in Unimarket, buyers can complete a manual close to cancel the entire order (or individual line). By using this option, the buyer is telling the system that nothing has been received on the order, and that nothing further is expected. This will prevent payment if a supplier submits an invoice for undelivered products.

It is the buyer’s responsibility to contact the supplier to notify them the products/services are no longer needed and that the purchase order (or item) has been cancelled. The system does not communicate this change.

To complete a manual close,

**Step 1**
On the Orders tab, select Receiving then search for the order number. (Orders can also be located by altering the State to open and toggling the date range).

**Step 2**
Click on the order number to view, then click Receive on the line item, or click Receive All for the whole order.

**Step 3**
A pop-up box will appear. Use the Action drop down to select Manual Close, and enter a note to complete the action.

**Note**
At any stage, the buyer can re-open manually closed orders by re-tracing these steps.

5.9 Cancelling an order (for products that HAVE been ‘received’)

If a whole purchase order (or line item) that has already been ‘received’ in Unimarket needs to be cancelled, contact ITS Service Desk.
5.10 Supplier Contact Details

Contact details are listed in Unimarket under the Supplier Details tab which is visible once you have selected a supplier.

If the contact information is incorrect, please submit a vendor maintenance request so FSD can update the system.

5.11 Freight and Ship to address

**Freight:** Suppliers may charge additional freight, which can be added to the requisition as a separate line item. This allows buyers to code freight costs, and include the charge in the purchase order approval process. Once the goods arrive, ensure that the freight line is ‘received’ at the same time of the products/services, so the PO and invoice can be matched and payment actioned.

Do not add freight in the shipping field (as shown) because freight costs entered in this field will remain un-coded, and will cause matching issues in Paperless AP. Using this field may create additional system work to match the PO and invoice prior to payment.

**Ship to address:** When generating a requisition, a ship to address must be selected, this can be updated at checkout, it will display the last shipping address used. If a new address needs to be added, due to a new office or building on campus, please email help@waikato.ac.nz, and include the proposed new address.

**Delivery notes field:** Enter special directions or instructions for the supplier or University porters.

5.12 Supressing Email Orders

Occasionally, there may be a need to suppress a purchase order being automatically emailed to the supplier. This can be set at the checkout stage and is only available for lite suppliers.

5.13 Price Range Option

Buyers can generate orders using a price range. This is ideal for services where an exact cost is unknown. The approver will approve the higher amount, and the supplier will see the lower amount. It is important to set the high/low process at realistic levels. Once the service is complete, and the order is received at the actual price, the invoice can be matched to the purchase order, as long as it is within the order price range. This option is only available when a non-catalogue/manual order is used.

5.14 Template orders

Buyers can create template requisitions for repeat orders. This option saves time as the buyer can use an existing template, and adjust as necessary. Buyers create templates once there are items in the shopping cart; look for the create template icon. After templates are saved they can be accessed via the Marketplace tab, under Template orders.

5.15 Periodic Purchase Orders

Raising a purchase order for a period of time reduces the effort required to complete the purchase-to-pay process by only having to raise one PO rather than having a new PO for all invoices. There are however some important aspects to remember when raising, receipting and completing these types of purchase orders. Download FSD guidance with regard to how to manage periodic purchase orders.
5.16 Cancel and resubmit requisition
If a requisition has been submitted but not yet approved, it is still in a ‘pending’ state, so the buyer can retract the requisition. To retract an unapproved requisition click select Orders and then View Requisitions. Using the State drop down menu, select Pending.

5.17 Declined requisitions
Sometimes, requisitions may be declined by an approver. There is a range of reasons why a requisition may be declined, and approvers can enter their explanation. Buyers will receive an email if a requisition is declined.

Declined requisitions can be copied, edited, and resubmitted. Select Orders, then click View Requisitions, using the State drop down menu, then select Declined. The resulting requisitions can then be copied, adjusted, and then re-submitted for approval.

5.18 PDF purchase orders available
Once a requisition is approved, a purchase order is automatically sent to the supplier. Staff can manually download PDF copies of purchase orders from Unimarket of POs for suppliers. To download a purchase order PDF, open the order via the Orders tab, and in the Purchase Order information, look for the Documents icon.

5.19 Terms and Conditions on Purchase Orders
Every purchase order contains the University’s Standard Terms and Conditions of Purchase. These are designed to protect the University, and can be publically accessed via the link displayed at the base of every purchase order.

5.20 Using Project Codes
If you have access to project codes, and have added them to your buyer profile, they can be used for purchases. On the final checkout page, select Organisation Unit from a drop down list. The project organisation unit should be used when you want to select a project (e.g. 101165). The first few digits of the organisation unit must match the project number.

Select account type UOW Project. Once selected account code fields will automatically change to a three-field structure. Using the search option, select the project codes in each field.
6. Travel – Domestic and International

6.1 Visit the University Travel Portal

The portal was developed to provide staff with easy access to a variety of information about travelling on University business. It is housed within iWaikato, and is accessible using the above hyperlinks, or via the Purchasing page.

6.2 About Orbit Travel

Orbit is the University’s preferred contracted travel management company. They provide the University’s central booking process for all travel services including, air travel, accommodation, rental vehicles, shuttles, conferences, and events. Orbit provides reporting across all travel services focusing on savings, travel choices, service opportunities and resolutions, as well as University policy compliance. While staff travel on University business, their safety is paramount, and both the University and Orbit have a ‘duty of care’.

To arrange a travel order, first contact Orbit to organise your travel requirements in detail, or use Orbit Online. Orbit staff will generate a quote in your Unimarket profile, which is submitted as a requisition for approval.

6.3 Getting Started with Orbit

If you are new to the University, and will be booking corporate travel for staff, Orbit provide a one-on-one introductory session to how Orbit works, and their systems. Contact Orbit to request a session.

If you plan to travel on University business, contact Orbit and complete your traveller profile. For more information about travel, visit the University Travel Portal in iWaikato.

All staff who travel on University business MUST enter their mobile phone number on their Orbit Traveller profile as an emergency contact.

6.4 Common Dos

When organising travel, it is important to remember,

- Be careful not to self-approve your own travel (Unimarket only recognises the booker not the traveller)
- Cancel/close any unused or expired travel orders as these keep escalating up the approval chain and affect Project costs.
- If cancelling a travel order remember to advise Orbit. If you are rebooking another quote/purchase order will be required.
- If the purchase order was declined in Unimarket – it is important to notify Orbit so they can cancel the booking at no cost to the University.

6.5 How to Book Travel

1. The travel booker (ie University buyer) coordinates the required travel and accommodation in collaboration with Orbit. This is done via Orbit Online, or by phone, or email.
2. The travel booker will receive an email notification that a travel quote has been pre-loaded in Unimarket, from Orbit staff.
3. The travel booker opens the quote in Unimarket, and proceeds to submit it like a requisition so it can be approved.
4. To locate the quote, click the Task icon, and select Quotes.
5. Select the relevant travel quote from the list.
6. Then click Add to Cart
7. Review the requisition, then click checkout to create the requisition.
8. The requisition then follows the usual process (refer to the flowchart of purchasing) and is sent to the approver for approval prior to final order confirmation and purchase. Never approve your own travel.
6.6 Escalate Travel Requisitions

If you have asked a buyer to organise and book travel on your behalf, please be mindful to **NEVER** approve your own travel arrangements. Unimarket cannot identify who the actual traveller is. So if you have a staff member generating travel on your behalf, you do not approve it if comes to you in the system - use the manual escalation button. This is to comply with University policy.

6.7 Urgent travel quotes and manual escalation of travel requisitions

When urgent travel booking is necessary, travel bookers have the ability to manually escalate travel quotes for urgent approval.

**Manual Escalation of Travel Requisitions:** This function allows travel bookers to escalate their travel requisition if they need urgent approval. This will be useful for airfare quotes with a short expiry date/time. Note: this function is only to be used for urgent travel arrangements, not as part of the standard purchasing process.

**When a Travel Quote Expires**

- You will need to cancel the requisition in Unimarket and notify Orbit. If you are rebooking, another requisition (and subsequent purchase order) will be required.
- If the requisition was declined in Unimarket it is important to notify Orbit so they can cancel the booking at no cost to the University.

**Why would a requisition need to be approved straight away?**

- Booking Tasman or domestic travel on a Friday when airline requires ticketing before the Monday (majority of domestic airfares)
- Sale fares where the airline dictates they require ticketing earlier than normal
- Travel is imminent (within the next few days)
- Airline deadlines dictate that ticketing is required immediately (same day)
- Booking is confirmed at the last minute by traveller.

The Orbit Consultant needs the quote to be approved by 4pm in order to issue tickets & return the itinerary to the traveller.

6.8 Travel Insurance

Many University staff travel overseas on University business to attend meetings, conferences, marketing events, carry out research etc. Before travelling, the University requires staff to register online for comprehensive insurance cover through Allianz. For more details about business travel, personal travel, and study leave travel, visit the [University Travel Insurance](#) on iWaikato. And register your travel online.

6.9 Vehicles and Transportation

Staff who are required to travel on University business commencing and ending at the University of Waikato must use a University fleet vehicle whenever one is available, rather than using a rental or private vehicle. University vehicles can booked via the [Vehicle Booking System](#).

Further information may be obtained by accessing the [Fleet Management Manual and User Guide](#), or email fleet@waikato.ac.nz.

**Private vehicles** must not be used for University business, except where using a private vehicle costs no more than use of a rental vehicle or alternative transportation such as a taxi, or using a private vehicle is necessary on disability or medical grounds.

**Rental Vehicles and shuttles:** Visit the [University Travel Portal](#) to view current our preferred suppliers.

6.10 Global Assistance with Allianz

As a University traveller, your safety is paramount when travelling overseas on behalf of the University. As part of the University’s “duty of care”, staff have access to global travel protection through Allianz Global Assistance who are also our travel insurance provider. Allianz Global Assistance provides immediate 24 hour worldwide assistance, as well as advice for overseas assignments. Available services cover both everyday assistance and emergency assistance needs.
Visit the University Travel Portal for more information about Allianz Global Assistance.

6.11 Travel to High or Extreme Risk Countries

The University has a duty of care for staff when travelling on university business. If the destination you are travelling to has been flagged as a high or extreme risk, then you need to request your travel to be pre-approved, prior to departure. Authority to approve travel to risky destinations rests with the Office of the Vice Chancellor.

Requests must be submitted to the Director, Office of the Vice Chancellor. If permission is granted, travellers need to:

- save their mobile phone number on their Orbit traveller profile, and
- re-check the status of their destination closer to the date of departing in case the risk status has changed, because there may be a requirement to request secondary approval.
- Visit the University Travel Portal for more information.

SafeTravel provides official advice for New Zealanders living and travelling overseas. Travellers can self-register travel plans and review travel advisories. Once you are registered it allows the NZ Government to locate and contact travellers when things go wrong.

7. Specialist University Buyer Groups

7.1 What is a Buyer Group?

These are groups of University staff who have access to restricted suppliers for special purchasing reasons. These suppliers are listed in Unimarket but they are cloaked from staff who are not part of the buyer group. This section outlines the main buyer groups in the University, and their purchasing specialisation. The Procurement Office facilitates these buyer groups on behalf of many facilities/divisions.

7.2 Campus Computers

Campus Computers is a specialist buyer group based in the Information and Technology Services Division. They manage all purchases related to ICT hardware, software, audio visual and IT related services for the University. And, aim to lower the cost of procuring and maintaining IT equipment. All ICT purchases must be made through Campus Computers, as stated in the Procurement Policy.

<table>
<thead>
<tr>
<th>Campus Computer is open from:</th>
<th>8.30am to 5.00pm, Monday to Friday</th>
</tr>
</thead>
<tbody>
<tr>
<td>Room</td>
<td>ITSG.85</td>
</tr>
<tr>
<td>Email</td>
<td><a href="mailto:campus_computers@waikato.ac.nz">campus_computers@waikato.ac.nz</a></td>
</tr>
</tbody>
</table>

7.3 Facilities Management Division (FMD)

The Facilities Management Division is tasked with the overall stewardship of all University facilities. Visit their website in iWaikato to see the range of portfolios they manage, or review the FMD Handbook. Contact FMD via fmdservice@waikato.ac.nz

FMD drives the University’s commitment to implementing sustainable practices on campus, including practices for the protection and restoration of the campus environment.

7.4 Events Management

The University Events Management Team specialises in providing a range of event services for the community. They have good business relations with preferred suppliers, and access to restricted event type suppliers. Contact them directly to see how that can assist with your planned event. They are housed within the Communications, Marketing and Engagement Division. Contact the events team.
7.5 PR and Marketing

The PR and Marketing Network is a collaborating working group that helps protect and maintain the integrity and consistency of the University brand. Nominated staff throughout the University are part of the network, and they have special access to purchase from suppliers for marketing type goods and services. Contact them directly to see how that can assist with your section’s marketing objectives. They are housed within the Communications, Marketing and Engagement Division. Contact the PR and Marketing Network for advice.

7.6 University Fleet Management

Fleet Management is part of FSD, which provides centralised accounting and financial services to the University. Check out the FSD Home Page, and click here to Contact Us. Want to know more about Fleet Management? Have a read of the August 2015 Community article, or go to the Fleet Management Manual and User Guide.

The University has transitioned to a hybrid vehicle fleet. From an environmental perspective, hybrid vehicles deliver higher fuel efficiency and fewer emissions than their strictly petrol counterparts. The above benefits align with the University’s commitment to environmental sustainability.

7.7 Web Design and Development

The University Web Team provides cost-effective solutions, and provides your section with support to partner with a vetted supplier. Contact the manager of the Web Team for support and advice prior to engaging external services for web design or web development. Email your request to webmaster@waikato.ac.nz with the subject line: Advice from Web Team Manager for External Web Design and Development.

7.8 Health and Safety

Under the Health and Safety in Employment Act, the University has responsibilities, as a principal, towards contractors who carry out work for us on or off campus. Contractors need to apply for health and safety approval to work on campus. This is granted after a successful review of a contractor’s health and safety documentation.

Please contact the Health and Safety Coordinator for more information, or download Health and Safety Manual.

8. General Financial Services and Information

8.1 Methods of Payment

There are various methods of payment listed in order of preference. These include:

- Purchase order
- PCard
- Staff Expense Claims
- Manual Payment Exception Form (New Zealand) *
- AP5 Manual Payment Exception Form (International) *
- AP6 Manual Payment Exception Form (Australian) *

Contact FSD via payments@waikato.ac.nz for payment type queries. If you are unsure of the method of payment refer to the payment method decision tree. It can help to select the best payment process to use.

* Manual payments are an exception process used to pay for products. This exception payment method is rarely used and strictly reserved for FSD staff to suggest the use of if a situation is determined to be suitable. Generally, cheques are drafted for manual payments, but electronic payments can also be made via this method (Oracle only vendor) in some circumstances.

8.2 Paperless Accounts Payable (PAP) – Invoice Exceptions

Purchase orders and supplier invoices are automatically matched by our auto matching process, but sometimes things don’t always match. This system helps the University match invoices and purchase orders/payments that need human intervention to get them approved and paid. For additional Help with Paperless Accounts Payable:

- Access the PAP System
- PAP user guide, cheat sheet, and introductory presentation
- Sign up for a PAP introductory session via the professional development website.
- Contact FSD via paperlessap@waikato.ac.nz for queries relating to Paperless Accounts Payable.
- TIP: When PO’s are less than the value of the invoice, the tolerance threshold is either $50, or 20%, whichever it the lowest.

8.3 The PIPE Report (Purchase Invoice, Payment Enquiry Report)

The Pipe Report provides basic information about purchase orders and invoices. Users can check if an invoice has been paid, received, if orders have been cancelled, and see a scanned image of supplier invoices. It is accessible from several locations. From iWaikato it is listed in the quick links when you are on the purchasing page, within Unimarket on the quick links list, or go directly to the Accounting and Finance Utilities page.

To use the PIPE report,
Select a PO enquiry or Invoice enquiry
Enter the PO number, and click search.
Then click on the magnifying glass icon to open up more detail.

To view the scanned invoice, select View Invoice.

8.4 Staff Expense Claims – Online

Where staff incur expenses on behalf of the University and require reimbursement, they are required to submit a Staff Expense Claim via the online system. All claims will be forwarded to the appropriate approver for reviewing. This provides the University with a transparent process for claimed transactions.

Staff Expense Claims online is accessible from iWaikato. Go to the purchasing page and look for it listed in the quick links. For further help and assistance, refer to the Staff Expense Claims User Manual, or contact FSD via staff_claims@waikato.ac.nz.

- Staff must not use on-line staff claims to circumvent the use of approved and preferred suppliers through Unimarket.
- Online staff claims are subject to approval by the staff member’s line manager, who, before approving such claims, must be satisfied that the claim is appropriate and does not circumvent use of the University’s approved and preferred supplier arrangements through Unimarket.
- The End of Year Document Filing Requirements outlined below applies.
- The first time you use this application, you will need to set-up your profile to link in to the finance system.
- Contact ITS Service Desk if you encounter any system or technical issues.
8.5 End of Year Archiving Processes

The University financial year is from 1 January to 31 December. Towards the beginning of year, the annual PCard and Staff Claim archiving process begins. For consistency, all documentation sent to FSD to be boxed up and ready for archiving, and organised as follows:

- Sent to FSD Operations, all boxed and ready for archiving.
- File by month and surname of the staff member.
- The outside of the box should be labelled with Faculty or Department name, “Staff Expense Claims” or “PCard Receipts” and the year, in a separate box if necessary.
- Specific dates will be published each year.
- Forward queries to pcard_admin@waikato.ac.nz or payments@waikato.ac.nz

8.6 Tenders

With regard to procurement and tendering, the University is guided by the principles of the Office of the Auditor General and the Ministry of Business Innovation and Employment (MBIE) Rules of Sourcing. The following principles underpin all procurement activities: accountability, transparency, value for money, integrity, and fairness.

Use the University Tender Register eForm to register your planned tender activity, and request a tender number. Refer to the Tender Manual for more information about the University tendering processes. It is a policy requirement that all University tenders are centrally registered.

31. The Chief Financial Officer is responsible for maintaining a Central Tender Register for all current tender processes.

For tendering advice, contact the University Procurement Manager, Virginia Duncan on ext. 4872 or email vduncan@waikato.ac.nz.

8.7 Central Contracts Register

The Central Contracts Register (CCR) is a tool for the University to store and manage contracts in one central repository. It provides central visibility and transparency of contract management elements throughout our community on one platform. It’s a user friendly system, and staff can set-up alerts to assist managing the contract. It is a policy requirement that University contracts are loaded into the register.

35. The Chief Financial Officer is responsible for: a) supporting the contract management function, and b) ensuring that negotiated contracts are recorded in the Central Contracts Register within Unimarket.

The CCR is housed within Unimarket, and eligible staff gain access to it via the Contracts tab. Contact the Procurement Office to discuss the intended use and associated system set-up requirements for your section. Refer to the central contracts register user manual for more details.

8.8 Staff Discounts - Personal Purchasing

The University has accessed corporate discount packages or negotiated with some suppliers to extend their University pricing to staff for personal purchases. This doesn’t guarantee the best price, so please compare prices with competitive businesses and/or ask about additional discounts or seasonal specials. Visit the staff discounts webpage on iWaikato.

For n3 Employee benefits, download vouchers! Staff can download discount vouchers for personal use from leading retailers. Simply take these in store when making a purchase to receive the discount. Visit the n3 website.

8.9 New Vendor Requests and Vendor Maintenance

The Online Vendor System allows staff to submit a request to set up a vendor who is not a current University supplier, so staff can raise purchase orders to pay for products. New vendor set-up requests must be completed prior to products/services being ordered. Never make a financial commitment with a vendor on behalf of the University prior to raising a purchase order. Vendor maintenance requests are also submitted via this process.
Refer to the New Vendor Request - User Guide for assistance using this system.

A vendor maintenance request is submitted when an existing vendor company details have changed. All vendor maintenance requests are submitted via the Online Vendor System.

8.10 Staff gifts and benefits, or gifts from external parties

Keeping a gifts register helps us to ensure that we have a robust record keeping system in place to support effective decision making, monitoring, and management. The Procurement Office oversees the University central gift register. It is accessible via the purchasing page in iWaikato, using the quick links list.

A gift is defined as a good, service, or voucher that is provided by an external party free of charge, and which would not ordinarily be a legitimate expectation associated with the staff member’s employment with the University. A prize or award is defined as a good, service, or voucher, provided to a staff member by a professional organisation of which they are a member. For more details about gifts, refer to the procurement policy.

8.11 Vouchers

A voucher is defined as a document or card that is exchangeable for products and/or services to a specified value.

Petrol / Fuel Vouchers

- Petrol / fuel vouchers may only be purchased by research project leaders, and only for the purposes of reimbursing external participants in research projects for private vehicles mileage claims.
- The purchase and issue of petrol/fuel vouchers must follow the Voucher Guidelines as set out by the Manager Financial Operations, Financial Services Division.

For additional guidance, refer to the Vouchers and Gifts section in the PCard Manual. PCard may be used for the purchase of vouchers and gifts for internal and external use in accordance with the Procurement Policy, with prior approval and subject to Fringe Benefit Tax.

8.12 Fuel cards - Caltex Star card


8.13 Loyalty programmes

Staff must not allow membership of any loyalty programme to influence their business decisions on behalf of the University. Loyalty schemes may include but are not limited to services such as Flybys, Airport Lounge Clubs, any accommodation/reward point system, and so on.

8.14 Supplier credit applications

If a supplier sends staff a credit account application, please forward this to the Procurement Office. We will liaise with the supplier on your behalf to complete the application.

8.15 n3 Trade Cards

The n3 Trade Card provides ‘in-store’ discounts when purchasing items for the University, and is used in conjunction with PCard. When paying with PCard, follow the usual process for expenses, so keep the GST receipt. Where the University has a supplier set up in Unimarket, the preference is to raise a purchase order. For participating suppliers, visit the n3 website http://www.n3.co.nz/trade-card. To request an n3 Trade Card, contact the Procurement Office.

8.16 Recording fixed assets

A fixed asset is defined as an item that has a purchase value that satisfies the capitalisation thresholds as set by the Chief Financial Officer, and has a useful life that is estimated by the Chief Financial Officer to be in excess of one year.
Complete an Asset Acquisition Form
An asset acquisition form must be completed prior to all capital purchase made through Unimarket in the following categories: Plant and equipment; Art collection; Vehicles; and Land. Click here for the asset acquisition form user guide.

Submit an Asset Retirement Form
An asset retirement form must be submitted when staff wish to request disposal of University owned capital assets. An asset should be disposed of when it is no longer fit for any University purpose. This occurs when an asset becomes obsolete, comes to its ‘end of life’ or becomes unserviceable. An asset cannot be disposed of merely because it is fully depreciated. Click here for the asset disposal procedure. Or, submit an asset retirement request.

Be Advised: Deans, Heads and equivalents are responsible for ensuring that all purchases of fixed assets within their area of responsibility are recorded on the University’s Fixed Assets Register, by notifying the Fixed Asset Officer, Financial Services Division.

8.17 HR Termination Process
When a staff member leaves the employ of the University, FSD is formally notified by HR. From a financial perspective, staff should consider the following:

- Change to who is on the Approval Chains (Organisation Units). To view these, click here then select ‘View Organisation Approvers’
- To submit changes to approval chains, contact your financial coordinator or financial analyst for advice
- Check for any unfulfilled purchase orders by using the PIPE Report.
- If there are any unfulfilled orders in Unimarket, submit a Receive on Behalf request, click here
- Refer to the PCard Manual for the termination processes for PCards
- Travel profile closed (including Orbit, Rental car Blue Chip, Global Assistance)

9. Audit and Compliance

9.1 University Purchasing Process for Expenditure up to $50,000
Compliance with the University’s Procurement Policy ensures that staff purchasing products and/or services do so in a sustainable, compliant and cost effective manner for the University as a whole.

Overarching Purchasing Principles

a) Purchase order prior to commitment - In line with the Procurement Policy the University’s overarching principle when purchasing is to raise a requisition through to an approved purchase order prior to receiving the products/services.

b) Receiving (ie receipting) - The final part of the purchasing process is ‘receiving’. This should be completed within 5 working days of the products and/or services being delivered and accepted by the University.

c) Sufficiency of Budget - Purchases can only be made where a sufficient budget exists.

d) Whole of Life Cost – When considering the value of your intended purchase the whole of life or total cost must be taken into account, including the purchase price, ongoing maintenance costs and residual value (where applicable).

e) Vendor Set up is Essential - To raise a purchase order the supplier must be set up in the University’s Unimarket Purchasing System. This must be done prior to any financial commitments being made.

9.2 Types of University of Waikato Suppliers

Approved supplier: has been approved by Procurement to supply products and/or services to the University.

Preferred supplier: has been awarded preferred status for the supply of specified products and/or services to the University; this follows a competitive process which has resulted in a procurement contract. More than one preferred supplier may be awarded a procurement contract for the same products and/or services.
9.3 Low Value Purchases - up to $2,000

When there is supplier available: For low value purchasing where there is an approved or preferred supplier available, a purchase order must be raised. Quotes are not necessary unless the buyer requires a competitive price check.

When there is no supplier available: When the purchase is of a low value, is a ‘one off’, and there is no preferred or approved supplier, PCard (University business credit card) is an appropriate method of payment. Please refer to the PCard Manual and supporting PCard policy for more details on correct use.

9.4 Medium Value Purchases – from $2,000 up to $50,000

When there is a preferred supplier available: When purchasing from a preferred supplier the above competitive price checking is not required as the best price has already been negotiated on your behalf (for the University as a whole not necessarily on a specific product). If more than one preferred supplier is in place for products and/or services then the buyer may choose which preferred supplier to use based on their purchasing requirements. The Procurement Office is happy to challenge a preferred supplier on pricing, service, quality, or new terms and conditions of purchase on your behalf.

When there is no preferred supplier available: When there is no preferred supplier for the products/services, good business practice is to obtain three written quotations. This is to ensure that the most competitive price is achieved without compromising service or quality. If there is an existing University approved supplier that can supply the required products/services, they must be given the opportunity to quote along with potential suppliers. Occasionally, only one supplier may be available to supply a specific or specialised good or service. In this situation, please contact the Procurement Office to discuss further.

Accepted Quote: If the successful quote has not come from an approved supplier, a new vendor request will need to be submitted. The purchase cannot proceed until the vendor is set up in Unimarket and a purchase order raised.

Filing of Quotation Documentation: All information including quotations, email communications between the University and suppliers or potential suppliers must be filed electronically by the Faculty or Division buyer. The Procurement Office or external auditors may request copies of these written quotations for auditing purposes.

9.5 High Value Purchases - over $50,000

Where there are no preferred suppliers in place, the University should run an RFx (ie tendering).

9.6 Reporting

Annual Reports – Centralised: These are produced for the CFO and may include but are not limited to:
- Spend exceeding $50,000
- Procurement of goods or services from alternative suppliers where the University has arrangements with preferred suppliers.
- PCard Misuse Reporting and Investigations
- Gift Report
- Central Contract Register Report
- Top Spend, and Weekend Spend

9.7 Audits

The University frequently undergoes financial audits for all areas of finance. These are conducted by external independent auditors and internal staff. Buyers and approvers have a responsibility to fully comply and participate in any audits that the University undertakes.
10. Asset Management

10.1 Fixed Assets Guidelines

Effective asset management and capital expenditure are essential for the continuity, development and growth of the University. They are closely linked to the goals and strategies of the University. The purpose of these guidelines is to ensure that capital expenditure by the University is planned, evaluated, authorised, implemented, monitored and reported in a systematic manner, to meet the objective of best practice.

1. Asset Definition and Categories
   a) Assets are future economic benefits controlled by the University as a result of past transactions or events. Assets in the University can be defined by their nature and include:
      i. Fixed assets (capitalized assets including electronic resources) refer to section 1.b);
      ii. Work in progress;
      iii. Intangible assets (ie nonphysical assets such as goodwill, patents and other intellectual property) and software;
      iv. Current assets (ie assets that have an initial economic life of less than one year, or are able to be realized within one year; and
      v. Investments.

   b) A capitalized asset results from meeting all of the following conditions:
      i. Item that has an estimated useful life in excess of one year;
      ii. Has a cost that satisfies the capitalization thresholds set out refer to section 1.c);
      iii. Has not been acquired or constructed with the intention of resale; and
      iv. May include such expenditure incurred on an existing asset to improve its functionality and/or extend its useful life but not merely reinstate the future economic benefit of an asset (i.e. repairs and maintenance).

   c) The capitalization thresholds are;
      i. Items costing $2,000 and over, other than
      ii. Computing equipment $1,000 and over,
      iii. All individual works of art irrespective of price.

      These thresholds apply to:
      ▪ Individual assets;
      ▪ A collection of related items or components that cannot operate in isolation, whose combined original cost exceeds the threshold;
      ▪ An additional accessory which is acquired for permanent attachment to an existing capitalized asset. The cost of the accessory is to be added to the existing asset if it meets any of the capitalization thresholds; and
      ▪ Pooled assets of a similar type, whose combined cost exceeds the threshold. Items whose value exceeds the threshold must be separately detailed in the Asset Register and cannot form part of a pool of assets.

   d) Non capitalized items refers to items that are flagged as ‘non capitalized’ in the Asset Register. These include leased assets and attractive items.

   e) Leased assets refer to assets acquired through operating leases. Finance leases may not be entered into. Leased assets are not recorded as capitalized assets as the risks and rewards of ownership are retained by the lessor rather than the University as the lessee.

   f) Operating leases must adhere to the same policy as the outright purchases of assets even though leased assets are not capitalized. Leasing is merely a means of acquiring assets. Leasing an asset involves substantially the same benefits, costs and risks as purchase and so the same decision making framework is required. All operating leases must be approved by the Director of Finance on sign off from Dean/Director.

   g) Attractive items are those items that do not meet the capitalization criteria in section 1.c) but are to be tracked through the Asset Register because they are prone to accidental or deliberate loss due to portability and attractiveness (eg VCR, TV set, audio equipment, cellphones, cameras, PDAs etc).
h) Computing equipment referred to in section 1.c) includes desktop and portable PCs, printers, servers, scanners, monitors, base unit (box), palm pilots, data storage and tape drives, hubs, routers, switches and PABX machines.

2. **Planning for Capital Expenditure**
   This process involves:
   a) Annual and long-term planning (5 year plans) including prioritization and ranking of capital expenditure within Schools/Faculty/Divisions. A five year capital plan is to be updated annually and submitted to Financial Services Division.
   b) Preparation and submission of requests to proceed with capital expenditure; and
   a) The review and scheduling of capital expenditure.

3. **Internal Leasing**
   An internal lease is an arrangement whereby the asset is purchased centrally and leased to a School/Faculty/Division. The lessee School/Faculty/Division incurs depreciation charges for the use of the asset.
   a) Internal leasing is to be treated as follows:
      i. Assets approved for acquisition through an internal lease are recorded against the activity centre and budget of the lessee School/Faculty/Division.
      ii. Depreciation is charged to the operating budget of the lessee School/Faculty/Division
   Please note: All computer equipment from 2007 is going to be managed through an internal lease arrangement between ITS and the Schools/Faculty/Divisions.

4. **Asset Disposal**
   This process involves the actual disposal of assets and ensures the Asset Register and financial accounts reflect the disposal.
   a) School/Faculty/Divisions may determine that an asset is:
      i. Obsolete
      ii. Unserviceable
      iii. To be traded-in
      iv. To be sold
   b) An asset cannot be disposed of merely because;
      i. Its is fully depreciated; or
      ii. Its depreciated value is less than the capitalisation threshold set out in section 1.c) of these guidelines.
   c) Where an asset is sold, any funds received from the sale of asset must be recorded/receipted to the VC funds.

5. **Repairs and Maintenance**
   Repairs and maintenance expenses for capital items are operating costs and cannot be capitalised.

10.2 **Asset Acquisition - User Guide**
   A new asset acquisition form (AAF) must be completed online prior to any capital purchase made through Unimarket. This form populates a database, and will enable FSD to integrate the information directly into the asset creation process. An acquisition form is required for all capital purchases through Unimarket in the following categories,
   - Plant and equipment (Old Resource Codes 754x, New 8840)
   - Art collection (Old 7560, New 8860)
   - Vehicles (Old 755x, New 8850)
   - Land (Old 7500, New 8800)

**Help and FSD Contacts**
If you require additional information please contact your FSD Management Accountant or Petrus on ext 4182.

**Access**
The online form is accessible within iWaikato via the quick links list on the purchasing page, and via the finance utilities page. The form can be accessed by all University staff, everyone has ability to create AAFs. Staff can only view or edit AAFs that they have created themselves.
Overview of the asset acquisition process

Step 1
• Complete an asset acquisition form to create an asset acquisition number (AAN).

Step 2
• Raise a purchase order, and place the AAN in the justification field.
• Charge to Account code 01-99-9999-99-88xx-0000 with corresponding organisation unit.

Step 3
• Receipt order in Unimarket.

Step 4
• Update details like tag, serial, asset number and name. You will receive email notification linking you to AAF to prompt this.

Step 5
• Invoice received from supplier and processed against order.

Step 6
• Item added to Fixed Asset Register by FSD.

Creating an Asset Acquisition Number

Each asset acquisition form generates a unique asset acquisition number. This number must be entered into the justification field during the Unimarket checkout process, which creates a link between the order and the Asset Acquisition.

Tips
- You should complete one asset acquisition form for each asset that you plan to create.
- You can use the same AAN on multiple Unimarket orders.
- If possible, you should not place multiple AAN on a single Unimarket order. The automated creation process is not sophisticated enough to work out a many-to-one order.

Step 2
Click ‘Create New Asset Acquisition form’ and fill in the required details. Fields with * are required, and help can be found by hovering the mouse over the field name. Refer to the table below for further explanation.
Form field name | Description and advice
--- | ---
Asset Acq No | This is automatically allocated and should be placed into the Justification field on the Unimarket order.
Asset Number | Optional: This will be the asset number in the asset register. The system will automatically generate the number if you leave this field blank. You may prefer to use the Tag no field for your asset identification. This can be added later.
Asset Name | The name of the asset in the Asset register
Description | Optional: If you require a more detailed description of the asset
Category | This is the type of asset you are purchasing
Purchasing Cost Centre | Although this list is specific asset depreciation codes related to your purchasing cost centres, rather than your old 75xx capital codes, please select the code based on the first 3 segments. If the value you require is missing then please email assets@waikato.ac.nz or talk to your FSD Advisor
Location | The physical location of the asset. Select the room no. If the room does not exist then enter the closest location and email assets@waikato.ac.nz with a request to add the location.
Person Responsible | The person in charge of the asset. Select from a list of employees.
Est in service date | An estimate of when the Asset will be complete and ready to use. This is purely for informational purposes to gauge when the asset is complete.
Actual in service date | The actual date that the asset is complete and ready to use, regardless of if we have received all the invoices or finished paying for the asset.
Estimated Amount | An estimate of the total cost that will make up this asset. This is purely for informational purposes to gauge when the asset is complete.
Est no of invoices | An estimate of the number of invoices that will make up this asset. This is purely for informational purposes to gauge when the asset is complete.
Funding Source | If this purchase is to be funded by Research money then select the type of funding. If it is mix funded then select the major type.
Part of existing asset | If these costs are to be added to an existing asset then indicate Yes. By default this is set to No and a new asset will be created
Parent Asset Number | Enter the asset no that the costs should be added to. You should refer to the Brio Asset Confirmation listing for assets within your area. If this is Unknown, then place Unknown here and in the Comments box below add details of asset so that the asset administrator can search the asset register
Life extended | Indicate if by adding these costs to an existing asset this will extend the life of the old asset. If Yes then note your estimate in the box below.
Comments | Any comments that relate to this asset and will assist with the asset addition process

**Step 3** Use the *Copy AAF* button (top right corner of online form) to create a new AAN. You can then update the details that need to be changed.

**Editing an Asset Acquisition Form**
The home screen will list all the AAFs that you have created. To edit an AAF you just press the orange arrow. This page will also indicate how far through the assets creation process your AAF is by displaying the Quantity Ordered, Received and Assets added.
Unimarket order and Asset Acquisition Numbers

Raise a requisition in Unimarket, and during the Unimarket check out process, note that there are some changes that need to be made:

**Change a)**
Expenditure will be coded to the Fixed Asset clearing accounts (88xx series). eg 01-99-9999-99-8840-0000. You will no longer code capital expenditure to your cost centre.

**Change b)**
Add the Asset Acquisition Number (AAN) to the Justification field. The AA prefix is important. If you need to add further justification text then that is fine either before or after the AA number.

**Change c)**
Select the new approval chains related to your capital purchase codes (88xx). These will reflect the capital delegations levels held within the Financial Authority Policy, which require capital to be approved by Level F Department/School Chairs, Managers, Unit Directors or Equivalent or above. Note: if the organisation unit is missing you can Maintain Organisation Units from the quick links list on the purchasing page in iWaikato.
AAF updated with approved purchase orders
Once purchase orders have been raised and approved, they will show up on your AAF list.

Unimarket Receipt and Update of AAF with Tag and Serial numbers
Once the goods or service has been delivered you can receive them in Unimarket. The creator of the AAF will get an email notification (and url link) prompting them to update the AAF details.
At this stage, you will see details of the PO receipt within the AAF and will be able to add Tag (the departmental tracking system that you may know the asset as) and/or serial number. Both are optional. You may also like to check the Asset Name, Location, Person responsible and add Asset No if you wish.

All lines create one asset. Enter Tag and/or serial number in the first line.

If the quantity ordered was greater than 1, then you can optionally create multiple assets and enter multiple tag and serial numbers, eg you ordered two fridges.

AAF updated when Asset Created
Once the AP invoice has been processed, matched to the PO and added to the Fixed Assets Register (FAR) this will appear:

10.3 Asset Disposal Procedure
This procedure applies to all staff of the University of Waikato who wish to dispose of University owned capital assets.

Definition of capital assets: Capital Assets are those assets purchased by the University and funded specifically from capital budgets or research budgets authorised for capital purchases. These assets will appear on the fixed asset register.

Reasons for disposal: An asset should be disposed of when it is no longer fit for any University purpose. This occurs when an asset;

- Becomes obsolete, ie no longer provides the service it was purchased for
- Comes to its end of life as defined in specific asset policies, ie computers older than 5 years
- Becomes unserviceable. Can no longer be maintained to the required standard.
- An asset cannot be disposed of merely because it is fully depreciated.

If an item is lost or stolen please contact the Fixed Asset Officer, Petrus Rijkers (rgty3069@waikato.ac.nz).

Approved methods for the disposal: Assets may be disposed of through various methods provided a fair market value is obtained:

- Appropriate auction
- Tender process
- Through a reputable trade dealer
- Used as a trade in
By a method authorised by another University policy eg ICT equipment is disposed in accordance with the
Provision of Computers for Staff and Recycling and Disposal of University Computer Equipment Policy
Through authorised donation schemes

Only when the above has been considered and rejected may the item be recommended for scrap.

Authorisation for disposal: In accordance with the Financial Authority Policy, University assets must not be
disposed of without the prior approval of the CFO. Financial Authority Policy

The following process is required to ensure all capital asset disposals are approved:

a) The Head, Dean or equivalent will recommend to the CFO that an asset or group of assets should be
disposed of. The information required for the recommendation includes:
   i. Asset name and unique identification on the asset register
   ii. Cost and book value on the asset register
   iii. Rationale for disposal
   iv. Estimated market value
   v. Proposed method of disposal
   vi. Time period for disposal

b) The CFO will respond with either
   i. Approval or,
   ii. Request for more information or
   iii. reject recommendation with an explanation

c) Once authorised by the CFO, the Head, Dean or equivalent may proceed with the disposal. Once
disposal has occurred the Head, Dean or equivalent must provide the Fixed Asset Officer with the
following:
   ▪ A copy of the CFO’s authorisation for disposal,
   ▪ The value of proceeds received,
   ▪ The date of disposal,
   ▪ Evidence of physical disposal or
   ▪ Advice that the asset has been dismantled

d) The Fixed Asset Officer will remove the asset from the Fixed Asset Register.

e) All proceeds from the sale are to be deposited into the University bank account and coded to 01-DF-
F100-30-4630-0000. An official receipt must be issued for all disposals where money has been
received. All sale proceeds are inclusive of GST.

Breaches of this procedure: Line managers must report any breaches of this procedure to the Chief Financial
Officer.

Approving authority:
Chief Financial Officer
Date of issue: 16 August 2013