



THE UNIVERSITY OF
NOTRE DAME
A U S T R A L I A

Policy:

Procurement

Effective: 20 August 2019

Audience: Staff

Policy Category: Management
Policy Sub-category: Finance and
Procurement

Key words:	Procurement, tenders
Policy Owner:	Chief Financial Officer
Responsible Officer:	Senior Manager, Procurement and Contract Management
Review Date:	August 2020

Contents

1	OBJECTS OF THE UNIVERSITY	3
2	PURPOSE.....	3
3	SCOPE.....	3
4	RELATED DOCUMENTS	3
5	PRINCIPLES.....	4
6	CONFLICT OF INTEREST.....	4
7	SEGREGATION OF DUTIES.....	4
8	ROLES AND RESPONSIBILITIES	4
9	DEFINITIONS	5

1 OBJECTS OF THE UNIVERSITY

The University's Objects are defined in Section 5 of its Act of Parliament:

The Objects of the University are:

- (a) the provision of university education, within a context of Catholic faith and values; and
- (b) the provision of an excellent standard of -
 - i. teaching, scholarship and research;
 - ii. training for the professions; and
 - iii. pastoral care for its students.

2 PURPOSE

This Policy sets out Principles to be adopted when goods and services are purchased or leased by the University from external suppliers, irrespective of the source of funds.

3 SCOPE

- 3.1** This Policy applies to all procurement of goods or services from external suppliers for and on behalf of the University.
- 3.2** This Policy does not apply to:
 - 3.2.1 the acquisition, leasing and disposal of real estate;
 - 3.2.2 scholarships and grants to students;
 - 3.2.3 purchase of clinical or educational placement services for students;
 - 3.2.4 wages, salaries and allowances paid to Staff Members of the University; or
 - 3.2.5 reimbursements claimable under petty cash in accordance with approved Guidelines as published by the Finance Office from time to time.

4 RELATED DOCUMENTS

This Policy should be read in conjunction with other relevant University policies, and procedures, including the following:

- 4.1** *Standing Delegations of Authority*
- 4.2** *Procedure: Purchasing and Procurement Processes*
- 4.3** *Procedure: Corporate Credit Cards*
- 4.4** *Staff Code of Conduct*
- 4.5** *Policy: Managing Misconduct*
- 4.6** *Policy: Gifts and Benefits*
- 4.7** *Policy: Travel*
- 4.8** *Guideline: Travel*
- 4.9** *Guideline: Hospitality Expenditure*
- 4.10** *Modern Slavery Act 2018 (Commonwealth)*
- 4.11** *Modern Slavery Act 2018 (NSW)*

5 PRINCIPLES

- 5.1 The University's Procurement processes shall comply with the following Principles:
- 5.1.1 **Value for the University**, taking into account the University's Objects, strategy, price, quality, reliability, service, delivery, payment terms, post-delivery support, warranty, and reputation of suppliers;
 - 5.1.2 **Probity**, ensuring well documented and accurate records are maintained throughout the Procurement process;
 - 5.1.3 **Equity**, ensuring activities are undertaken in a fair, consistent and transparent manner;
 - 5.1.4 **Impartiality and integrity**, ensuring that perceived or actual conflict of interests are reported and resolved and that multiple people are involved in the ordering, receiving and payment functions;
 - 5.1.5 **Risk minimisation**, identifying, considering and managing all relevant and associated risks;
 - 5.1.6 **Fit for purpose**, ensuring the quality and standards of goods and services meet the intended use and are accurately commissioned; and
 - 5.1.7 **Sustainability**, adopting practices that take into account environmental, social and economic sustainability issues, including consideration of local community interests where appropriate, minimising environmental impacts of goods and services and considering supplier compliance with legislative obligations.
- 5.2 The University is committed to reducing the risk of modern slavery across its operations and supply chains. This Policy is to be read with and comply with the obligations that arise due to the recent creation of the *Modern Slavery Act 2018* (Commonwealth) and *Modern Slavery Act 2018* (NSW).

6 CONFLICT OF INTEREST

- 6.1 Staff Members involved in Procurement processes must disclose any actual or perceived conflicts of interest arising from the purchasing activity in accordance with the *Staff Code of Conduct*.
- 6.2 Staff Members must not seek or receive any type of benefit, entertainment or hospitality, gift or incentive from any supplier.

7 SEGREGATION OF DUTIES

- 7.1 The University's Procurement processes will include appropriate segregation of duties to avoid end to end control by any individual.
- 7.2 The Staff Member approving the financial commitment on behalf of the University must not be the same person who has obtained the quotations from a supplier and/or evaluated the proposals and/or negotiated the contract.

8 ROLES AND RESPONSIBILITIES

- 8.1 **Chief Financial Officer** has accountability for the Procurement activities of the University and responsibility for: nominating panels of Approved Suppliers; approving exemptions to minimum requirements for a competitive Procurement process; approving issuance of

Corporate Credit Cards; and approving contracts with Approved Suppliers and Preferred Suppliers, in accordance with the *Standing Delegations of Authority*.

- 8.2 Senior Manager, Procurement and Contract Management** has responsibility for the due diligence of suppliers, approval of suppliers; approval of deposits and/or earlier payments to suppliers; oversight of the Planned Procurement process; and for ensuring that a fully auditable transaction trail is in place for all Procurement processes.
- 8.3 Deans of Schools and Heads of Departments (or equivalent)** are responsible for ensuring Procurement processes within their school or department (or equivalent) comply with requirements in this Policy and in the *Procedure: Purchasing and Procurement Processes*, including ensuring that accurate and detailed records of all purchases made are maintained and sent to the Finance Office.
- 8.4 Purchasers** authorised to undertake Procurement activities on behalf of the University must comply with this Policy and the *Procedure: Purchasing and Procurement Processes* and seek guidance if there is uncertainty about any requirements.

9 DEFINITIONS

- 9.1** For the purpose of this Policy, the following definitions apply:

Approved Supplier means a supplier who has been pre-approved by the Senior Manager, Procurement and Contract Management (or delegate) to provide goods and/or services under agreed terms and conditions.

Preferred Supplier means a supplier who, following an approved process, provides goods and/or services under agreed rates/prices and terms and conditions to the University, through a formal contract. These contracts have no commitment for expenditure.

Purchaser means a Staff Member or other person authorised to undertake procurement activities to acquire goods and/or services on behalf of the University.

Procurement means the activities involved in the acquisition of goods and/or services either outright or by lease, to:

- (a) Identify the need to purchase goods and services; and
- (b) Select suppliers for goods and services; and
- (c) Contract for goods and services; and
- (d) Manage the contracts; and
- (e) Manage the suppliers (either Preferred or Contracted).

Staff Member means an Academic Staff Member and/or a General Staff Member as defined in the *Staff Enterprise Agreement 2015-2017* or any replacement Agreement.

Version	Date of approval	Approved by	Amendment
1	20 August 2019	Vice Chancellor	New Policy