

FACULTY OF HEALTH & BEHAVIOURAL SCIENCES
GUIDE TO PURCHASING & PROCUREMENT

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INTRODUCTION

The Faculty has the need to develop a web-based Purchasing Guide, which will contain links to other relevant policies and procedures already written by the University.

This Guide will currently act as the foundations of Faculty purchasing and will be continually upgraded, hopefully containing helpful information tailored to meet the needs of Faculty staff that use it.

The manual will be fully maintained and updated by the [Faculty Purchasing Officer](#).

FORMS

[FACULTY PURCHASING FORMS](#)

[Other Forms - UOW Financial](#)

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PURCHASING AND PROCUREMENT

GENERAL

Obtaining Quotations

The University's purchasing and Procurement Policy has recently been revised regarding the requirements for quotations for goods and services.

The current requirements are summarised as:

- Purchases under \$2,000 – Catalogue, Website, phone & verbal quotes are acceptable;
- Purchases from \$2,000 but under \$20,000 - at least one written quote;
- Purchases from \$20,000 but under \$100,000 - at least three written quotes, based on a written outline of specifications supplied to suppliers;
- Purchases \$100,000 or more – refer to the Competitive Tendering and Contracting Procedures;

If you are unable to secure the required quotes then you should document the reasons why. Quotation documentation should be incorporated with the documentation for any subsequent orders to be raised or accounts to be paid. Please refer to the full policy for more specific details. It can be found at this website: <http://staff.uow.edu.au/finance/policies/purchasing.pdf>

PURCHASE ORDERS

Raising a Requisition to procure goods

See Guidelines for [Purchasing Requisition Form-General](#) & [Purchasing Requisition Form-Gas Bottle](#) at the respective links. Below is a list of [Preferred Suppliers](#) for some goods.

Returning of Goods against any Purchase Order

The Supplier should be contacted first to confirm that this is possible and you should obtain a Return Number. It should also be confirmed whether a re-stocking fee will be charged.

The [Faculty Purchasing Officer](#) should then be kept in the loop by emailing him with a brief statement containing the Return Number (if applicable), Purchase Order Number, Product Code(s) being returned and why they need to be returned to prevent any Tax Invoice(s) against the purchase order being paid prior to a Credit Note being received.

Standing Orders

Contact [Faculty Purchasing Officer](#) to discuss this option.

CONTRACTS AND AGREEMENTS FOR SERVICES

Maintenance Agreements

“Currently Under Development”

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PREFERRED SUPPLIERS

Name	Service / Products	Phone No.	Website
Ansell International	Gloves	1800 337 041	www.ansellhealthcare.com
BOC Gas	Gas Bottles, Regs, etc	1800 658 278	www.boc.com.au
Crown Scientific	Scientific Supplies, Chemicals, etc	1300 727 696	www.crownsscientific.com.au
Corporate Express	Office Supplies	132 644	www.ce.com.au
Dell Computers	Computer Hardware	M.Dietrich 3641	www.dell.com.au
DHL Transport	Courier, Customs Agent	131 406	www.dhl.com.au
Electrolux Home Products	White goods	1300 363 672	www.electrolux.com.au
FedEx Express	Courier, Customs Agent	132 610	www.fedex.com.au
Frank Vaughan	Printer toner/cartridges	1800 656 755	www.frankvaughan.com.au
Harcourt Assessment	Assessment Forms, etc	1800 263 951	www.harcourt.com.au
Hertz	Car rental	02 4226 2103	www.hertz.com
Livingstone International	Scientific Supplies, Chemicals, etc	1300 721 721	www.livingstone.com.au
MCT Computers	Computer Hardware	02 9746 9848	www.mctcom.com.au
Panasonic Australia	White goods, Audio/Video Equipment	1300 880 600	www.panasonic.com.au
Q-Stores	Office Supplies, Scientific Equipment	1800 424 613	www.qstores.dpws.nsw.gov.au
Richard Thomson	Hospital & Medical Supplies	1800269534	N/A
Ryans Dry Cleaning	Dry Cleaning	02 4229 3111	N/A
Sci-Tek Systems	Air-conditioning/Fridge Technicians	02 4229 3184	N/A
Sigma Aldrich	Scientific Supplies, Chemicals, etc	1800 800 097	www.sigmaaldrich.com
STA Travel	Travel Consultants	02 4226 2077	www.statravel.com.au
Sturman Electronics	Audio/Video Equipment	02 4226 6690	www.sturmans.com.au
Telstra	Communication products	131 679	www.telstra.com.au
Travelscene Wollongong	Travel Consultants	02 4226 2222	www.internet-travel.com.au
Wilson Logistics	Courier, Customs Agent	02 8347 4000	www.wilsonlogistics.com.au
Wollongong Drawing Office & Equipment.	Office Supplies, Data Projectors, etc	02 4229 9333	www.wdoe.com.au
UOW Bookshop	Books, Videos, etc	02 4221 8050	www.unishop.uow.edu.au

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ASSETS

GENERAL

What are assets?

The term “asset” applies to all equipment purchases over \$2000 (ex gst) that are not consumable type item(s) and also equipment of an “attractive” nature between \$500 to \$2000 (ex gst), eg. scientific instruments, mobile phones, CD Player, etc.

Please note:

All equipment of an “attractive” nature under \$500 (ex gst) that are not consumable type item(s) shall be coded to Object Code 7960 (Material/Consumable items) and will be recorded on the Faculty Asset Register, eg. mobile phone, CD Player & VHS Player, DVD Players, etc.

Definitions:

Consumables: Items that usually have an expected shelf life of less than 12 months or an expiry date.

- Computer equipment over \$2000 (ex gst) = object code 6704
- Other equipment over \$2000 (ex gst) = object code 6731
- Computer equipment between \$500 to \$2000 (ex gst) = object code 6801
- Other equipment between \$500 to \$2000 (ex gst) = object code 6805
- Assets over \$2000 (ex gst) = object codes 6704 to 6790 depending on classification of item and the Unit’s DETYA activity. ** GST code = GSTCAPITAL **

To view the current list of UOW Object Codes please visit the following link:

[UOW Information for Staff](#), then go to the heading [Finance & Insurance](#) at the bottom of that web page, then click on Object / Account Codes.

ACQUISITION

What do you need to do with assets?

All assets must be recorded on the University’s or Faculty’s asset register. It is important that you take the following steps to ensure detailed and relevant information about each asset purchase is forwarded to [Faculty Purchasing Officer](#) who will then take steps to notify the [Asset Management Officer](#), in Finance.

- Record specific information on ProMaster ([UOW Visa Card](#)) and JDE, eg. description, make, model and serial number (if you would like to know how to add more text/attachments in JDE call Katie Singh, Ext: 5971).
- Send a copy of the invoice or similar document detailing the description, make, model and serial number to [Faculty Purchasing Officer](#) who will then take steps to notify the [Asset Management Officer](#), in Finance.

This will ensure that the asset label received will be meaningful and relevant to the item that you have purchased.

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TRANSFER

Discuss this option with the [Faculty Purchasing Officer](#).

DISPOSAL

Discuss this option with the [Faculty Purchasing Officer](#).

Asset Disposal Form

University Asset Disposal Policy

STOCKTAKE

Audit 2002 - Complete

Audit 2003 - Complete

Audit 2004 - Complete

Audit 2005 - Due April/May

FACULTY ASSET REGISTER PROCEDURES

“Currently Under Development”

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PAYMENT OF EXPENSE CLAIMS

GENERAL

Certifications for Payments of Accounts

This is an area where procedures will be progressively tightened up. For an invoice or claim to be paid signatures from 2 people in the unit incurring the expense are required so as to minimise the risk of inappropriate expenditure. The signatures required relate to:

- **Authorisation.** A staff member with an official financial delegation can only sign this. It may be signed before receipt of an invoice such as on a requisition or order, or signed on the invoice or claim if no previous authorisation has been given. If the amount of an invoice more than 10% higher than its related order then it should be referred back to the authorising officer for re-authorisation. Please note that authorising officers cannot authorise payments for reimbursements to themselves or for their travel.
- **Verification of Receipt of Goods or Performance of Service.** Any staff member, except the authorising officer, who can verify that the goods have been received or the service has been performed, may sign this. Signature may be on a receipt form or delivery docket, or noted on the invoice. If the invoice relates to prepayment for goods or services then there should be subsequent advice of verification after the event has occurred.

Documentation with Accounts to be Paid

There should be adequate documentation with any account for payment to satisfy:

- that the expense is a legitimate official University expense and not of a private nature.
- how the amount for payment was arrived at, showing the rates used in calculation.
- any inspection by auditors without having to be referred back to originating officers for clarification.

If standard documentation is insufficient then text should be attached to explain any unusual circumstances, clarify the nature of the transactions or explain the calculations. Regular items that often need further explanation are:

- Catering/Meals - the purpose of the function/meeting needs to be indicated;
- Travel Expenses not related to an approved Travel Form (i.e. single day travel) – the purpose of the travel should be indicated and preferably approved in advance;

Prepayment of Goods and Services

Contact the [Faculty Finance Officer](#) to discuss this option.

Payments in Foreign Currency

Foreign currency transactions are processed each Thursday morning by Finance Office staff. This means if the necessary paperwork is provided to Finance by close of business each Wednesday evening, it will be processed first thing on Thursday. Any request for foreign currency payment arriving after close of business Wednesday will be processed on Thursday of

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the following week. The exceptions to this are invoices with payment terms. These will continue to be processed when the invoice becomes payable. Contact the [Accounts Payable Supervisor](#) for further information.

Payments and Reimbursement for Gifts

Contact the [Faculty Finance Officer](#) to discuss this option.

Payments for Minor Expenses

In general claims for amounts of \$100 or less will not be processed via Workflow unless reasons are provided as to why such claims cannot be handled via use of Petty Cash or UOW Visa Card. For any further information regarding this process Contact [Faculty Finance Officer](#).

INVOICES FROM SUPPLIERS OF GOODS AND SERVICES

Invoices against an Order

Please send the Receiver Form (which is emailed to the Staff Member requesting goods to be purchased upon their behalf) signed & dated with all Packing Slips/Delivery Dockets, Tax Invoices and/or any other relevant paperwork to [Faculty Finance Assistant](#) in our Faculty Office within 5 working days from receiving any goods.

Please Note:

Payment cannot be arranged on Statements. Only payment can be made against Tax Invoices.

Invoices NOT against an Order

Prior to sending any Tax Invoices to the [Faculty Finance Assistant](#) please ensure that they have been signed and dated by a staff member who either received the goods or has knowledge that they were received by their respective Department/Unit/Centre.

The Tax Invoice shall also be stamped by the red Tax Invoice stamp with Department/Unit/Centres Name, Cost Centre & Object Code to be charged and Financial Delegate (Approver).

Please Note:

Payment cannot be arranged on Statements. Only payment can be made against Tax Invoices.

STANDARD UNIVERSITY TERMS AND CONDITIONS FOR SUPPLIERS

All Suppliers are strictly 30 day terms except for preferred Suppliers which have long term Contracts or Standing Orders with the University and their submission in writing has been approved by the [Assistant Finance Manager](#).

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CHART OF ACCOUNTS

GENERAL

Account Code

For any transaction to be processed through the University Ledgers an Account Code is required, consisting of a 9 digit [Cost Centre](#) Code and a 4 digit [Object](#) Code.

Cost Centre	Object
999 99 9999	9999

COST CENTRES

Code Structure

Responsibility Centre	Source of Funds	Project
999	99	9999

Responsibility Centres

Code	Description
200	Faculty General
202	Biomedical Sciences
203	Nursing
204	Psychology
205	Public Health
208	iiMH
380	Smart Foods Centre

OBJECT CODES

Master List of Objects

To view the current list of UOW Object Codes please visit the following link:

[UOW Information for Staff web page](#), then go to the heading [Finance & Insurance](#) at the bottom of that web page, then click on Object / Account Codes [xls - 96.5 kb].

Current Commonly Used Objects

[Objects – Common to purchasing.xls](#)

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OTHER PURCHASING METHODS

CORPORATE PURCHASING CARDS

General

This is the preferred payment method for Conference Registrations, Subscriptions, Publications and making small purchases (consumable type items) with Suppliers that aren't listed with the University's payment system (JDE). Contact your Department Admin staff so they can arrange this. If you require any further information regarding this please contact the [Finance Assistant](#).

[University Corporate Credit Card Policy](#)

[Corporate Credit Card - Frequently Asked Questions](#)

Equipment & Assets

Copies of all Tax Invoices related to Assets purchased ([see definition of an Asset by using this link](#)) on any Faculty Visa Card (Corporate Credit Card) should be sent to the [Purchasing Officer](#) so he can have these items added to either the UOW Asset Register (all items deemed attractive and over \$500) or the Faculty Asset Register (all items deemed attractive and under \$500).

Current Faculty Cardholders

Unit	No. of cards
Faculty	3
Biomed Sci	5
Nursing	3
Psychology	2
Public Health	3
iiMH	2
Smart Foods	3

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CORPORATE EXPRESS

General

Corporate Express is the preferred University supplier of stationery items. There is an on-line ordering facility that the University is able to utilise to place orders. This facility has been rolled out to Faculty units, which have been assigned Account Codes by Corporate Express as follows:

Faculty Unit	Account Code
<i>Faculty Office</i>	<i>UOWC10</i>
<i>Biomedical Science</i>	<i>UOWC13</i>
<i>Nursing</i>	<i>UOWC11</i>
<i>Psychology</i>	<i>UOWH16</i>
<i>Public Health</i>	<i>UOWC17</i>
<i>Smart Foods Centre</i>	<i>UOWC21</i>
<i>Illawarra Institute for Mental Health</i>	<i>UOWG17</i>
<i>Northfields Clinic</i>	<i>UOWH21</i>

Non-Stationery Items

Corporate Express has expanded its range of products available to be ordered on-line, now including higher value items such as office furniture. However, many of these items may be obtained at more competitive rates via other avenues. As a general rule higher value non-stationery items should be referred to the [Faculty Purchasing Officer](#) on a Purchase Requisition.

Low value items may be ordered via Corporate Express, however, there may be a need to later transfer relevant charges to a more appropriate [object code](#).

Office Furniture

The preferred method for purchasing office furniture is for the Faculty to lodge requisitions via University's Buildings and Grounds Division who have expertise in this area. The relevant contact person there is Barry Lake on extension 3084.

Faculty Procedure

- Faculty units raise Corporate Express orders on-line for stationery and low value items only.
- All other items are to be referred to the [Faculty Purchasing Officer](#).
- The Delivery Notes accompanying goods delivered from Corporate Express to Faculty are to be signed by an authorising officer and also by another staff member certifying receipt of goods. The payment stamp may be used for this purpose, although Delivery Notes are not processed for payment.
- The default Object code for charges is "Stationery" and the default Cost Centre code is usually the "Housekeeping" Cost Centre for a Faculty Unit. If any items charged relate to another Cost Centre or Object then a Journal Entry Request should be raised to transfer the relevant charges.
- The signed Delivery Notes and, if applicable, Journal Entry Requests are then to be forwarded to Faculty Finance Assistant (Hayley McCarrol) located in the Faculty Office Bldg 41 Rm 237.

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- Faculty Office will check the Delivery Notes and Journal Entry Requests regarding the appropriateness of the transactions and the codings and then process the Journal Entry Requests in JDE.

Equipment & Assets

Copies of all Delivery Dockets related to Assets purchased ([see definition of an Asset by using this link](#)) using Corporate Express should be sent to the [Purchasing Officer](#) so he can have these items added to either the UOW Asset Register (all items deemed attractive and over \$500) or the Faculty Asset Register (all items deemed attractive and under \$500).

UNIVERSITY PURCHASING AND PROCUREMENT POLICY

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VEHICLE HIRE (HERTZ-PREFERRED SUPPLIER)

Travel Absence & Authority Form (T Form)

- [T Forms](#) are to be completed to cover all instances of vehicle hiring. This is a University requirement for travel insurance coverage. Quick Orders are no longer to be used.
- Estimates of costs, even if only “guesstimates”, are to be included on [T Forms](#), together with University account codes to be charged.
- The **T Number** from the approved [T Form](#) must be quoted as the University’s reference number to the Supplier when hiring a vehicle.
- The approved [T Form](#) is to be sent to Faculty Office where a register of Travel Authorities & Absences is maintained.

Payment of Invoices

- For any invoice received relating to vehicle hire the **T Number** must be quoted on it if the supplier has not already done so.
- Staff member who hire vehicles are to certify on subsequent invoices for payment that the hiring actually eventuated satisfactorily, or otherwise.
- The certified invoice is to be forwarded to Faculty Office for processing of the payment.

Hertz Contacts

- The preferred vendor is **Hertz** as the University has negotiated a corporate rate.
- The contact details for the local branch of Hertz are:

<i>Address:</i>	74 Flinders Street, Wollongong	<i>Telephone:</i>	4226 2103
<i>Representative:</i>	Lisa Davies	<i>Fax:</i>	4228 8975
<i>Email:</i>	ldavies@hertz.com		
- Alternatively the Hertz Reservation Department may be contacted on 133 039.
- When booking quote the University’s Corporate Rate Number: **CDP 341560** as well as quoting the relevant **T Number**.
- Hertz will provide a Reservation Number for each booking. This Number is to be written on the T Form prior to submitting it to Faculty Office.

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Hertz Rates

- Below are the daily Corporate Rates, exclusive of GST, applicable to the University for the year 2002 and should be used as a guide ONLY.

Group	Vehicle Type	Example	1-6 Days	7-29 Days	30+ Days
A	Economy	Mazda Metro	35.50	31.95	30.18
B	Compact (Manual)	Ford Laser	35.50	31.95	30.18
H	Compact (Auto)	Ford Laser	42.00	37.80	35.70
C	Intermediate	Toyota Camry	46.00	41.40	39.10
D	Full Size	Ford Falcon	49.00	44.10	41.65
E	Wagon	Ford Falcon	55.00	49.50	46.75
T	Minibus	Toyota Tarago	78.00	70.20	66.30

- Rates include unlimited kilometres, Collision Damage Waiver which provides cover for accident damage to the Hertz vehicle and/or Third Party Property. An Accident Damage Excess of \$700 applies. Optional Extras are Accident Excess Reduction, Personal Accident Insurance, Personal Effects Cover, and Protection Package.

VEHICLE HIRE (UNIVERSITY POOL CARS)

[UOW Vehicle Hire Form](#)

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DELEGATIONS

FINANCIAL DELEGATES WITHIN FACULTY

Current Financial Delegates

There are many staff members within the Faculty who are currently signing authorities to incur expenditure but do not have any official delegation to do so.

Current General Financial Delegates as approved by University Council are as follows:

<u>Unit</u>	<u>Position</u>	<u>Amount</u>
Faculty	Dean	\$ 100,000
	One Registered Nominee of Dean above Level B	\$ 50,000
	Administrative Assistant to Dean	\$ 5,000
	Two Registered Nominees of Dean	\$ 5,000
Department	Head	\$ 50,000
	One Registered Nominee of Head above Level B	\$ 50,000
	Administrative Assistant to Head	\$ 5,000
Key Centre	Director	\$ 50,000
	Administrative Assistant to Director	\$ 5,000
Research Institute	Director	\$ 50,000
	Administrative Assistant to Director	\$ 5,000

Note: “Registered” means formally registered with Personnel and Financial Services.

If a staff member does not hold a position with an official delegation or is not a registered nominee then he/she should not be signing as an authorising officer to incur expenditure, be that on purchase order/requisition, invoice certification, petty cash or corporate purchasing card. This means that many staff such as researchers should be referring paperwork to their Head of Department or Director for authorisation.

Also delegates within Departments, Key Centres and Research Institutes are restricted to authorising expenditure only for Cost Centres within their unit. For example, although a staff member may work into 2 units they can only authorise expenditure for that unit for which they hold an official delegation.

Certain areas of expenditure such as Travel, Motor Vehicles and Staff Related Expenses, have specific financial delegations, which are more restrictive than general financial delegations. Delegations are located at:

http://www.uow.edu.au/admin/personnel/financial_deligations.html

Identified positions as per the above table are shown in Attachments A and C.

UNIVERSITY DELEGATIONS POLICY

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[Explanatory Notes to Financial Delegations](#)

[Schedule of Financial Delegations](#)

[Schedule of Staff Delegations](#)

[Schedule of Research Delegations](#)

RESPONSIBILITIES OF DELEGATES – PUBLIC FINANCE AND AUDIT ACT

[Section 12 \(1\) & \(2\) – Commitment of Expenditure](#)

[Section 13 – Payment of Accounts](#)

AUTHORITY TO INCUR EXPENDITURE (STAFF RESPONSIBILITIES)

- Authorise incurrence of expenditure, if a delegated officer under Section 12 of Public Finance & Audit Act, via purchase requisitions, cheque requisitions, endorsement of invoices not against orders, Corporate Purchasing Card transactions and Petty Cash claims.
- Ensure the availability of funds for any purchase requisition or payment claim that he/she authorises. If a Cost Centre is in deficit then an explanation regarding funds coverage will be required before a transaction is processed.
- Ensure that purchases and payments properly account-coded and are in accordance with relevant budgets, providing an explanation when not.
- Ensure that adequate documentation is provided with all payment requests and purchase requisitions payments, sufficient to show that the transactions relate to legitimate University business.
- Ensure that any purchase requisition raised by him/her, or payment claims where he/she will be the recipient, are authorised by another appropriate Authorising Officer.
- Ensure that they only authorise transactions to be charged to a Cost Centre of their unit. Where an expense is to be incurred by a Cost Centre relating to another Faculty or University Unit then authorisation is required by an appropriate delegate of that Unit. For this Faculty the delegates of Units are restricted as follows:

Faculty Unit	Cost Centres beginning with
Biomedical Sciences	202
Nursing	203
Psychology	204
Public Health	205
IIMH	208
Smart Foods	380

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Certification for Receipt of Goods and/or Performance of Service

- Certification must be made for all payment claims prior to them being processed. Prepayments, however, are an exception. For prepaid items certification is required to be made after the event and forwarded to Faculty Office for attachment to previous payment documentation.
- Any staff member who can verify the receipt or performance can make the certification. It is usually made by the person raised the relevant purchase requisition. The person who authorised the incurrence of expenditure must not make certification.

Supplementary Explanatory Documentation

- If existing documentation with any Payment Request or Purchase Requisition does not clearly explain the purpose of the transaction, or does not clearly indicate that it relates to legitimate University business, then further explanation will be required and attached to the documentation before it is processed. For example for catering, entertainment and travel related transactions should indicate the meeting or function that they relate to. Such explanation will allow appropriate text to be entered into JDE and should satisfy potential queries from auditors who examine documentation.
- Supplementary explanatory documentation should be legible and properly attached to related documentation. Please refrain from attaching “Post-It” notes or scraps of paper. Where explanatory notes cannot be legibly written on existing documentation the please attach a typed memo.

Other

- Ensure that correct address and EFT details are on Cheque Requisitions submitted by Staff and Students for payment.
- Monitor financial performance of Part-Time Teaching and Housekeeping budgets

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INTERNAL CONTROLS

GENERAL

The University of Wollongong has established a system of controls to carry out its operations in an economical, efficient, effective and orderly manner. The primary objectives of the University's internal control systems are to ensure:

- the reliability and integrity of information;
- compliance with policies, plans, procedures, laws and regulations;
- the safeguarding of assets;
- the economical and efficient use of resources; and
- the achievement of operational goals.

The key organisational control is the University's Delegations Policy. This is web deployed for easy access and maintained by the Division of Personnel & Financial Services. The Delegations Policy details authority limits for specified University officers.

The following principles have been adopted by the University to ensure effective control:

- Clearly established lines of responsibility and delegation.
- Responsibility for initiating business transactions on the University's behalf, and for custody of the University's assets separated from responsibility for maintaining the accounting records.
- Responsibility for any series of related transactions divided among two or more staff members or departments. Thus, the work of one staff member acts as a check on the work of another.
- Reconciliation of bank statements, payroll records, accounts receivable records, and other suspense accounts to general ledger records.
- Registration of the receipt, issue and usage of all accountable documents, in particular, cheques and receipt books.
- Internal Audit responsible for continuing review and study of the internal control system. Non-compliance with established procedures are reported directly to the Vice-Chancellor and Audit & Review Committee of Council.

PUBLIC FINANCE & AUDIT ACT – SECTION 11

SEGREGATION OF DUTIES

The following summarises the key job functions that have been segregated:

- Users with access to create purchase orders or enter accounts payable invoices are not allowed access to add or change records in the address book. The Payee Control function in JDE will be enabled to facilitate this.
- However, users with access to create accounts receivable invoices, have retained access to add or change customer records in the address book. The University understands and recognises the risk associated with this particular lack of segregation.
- Staff who create purchase orders must not approve those purchase orders. That is, a person independent of the purchase order creation, must approve the purchase order.
- Staff who create purchase orders must not approve receipt of goods for those purchase orders. A person independent of the purchase order creation must approve and match receipt of goods.

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- Staff who enter accounts payable invoices must not approve payment of those invoices. A person independent of the invoice entry process must approve invoice payments.
- Staff who create accounts receivable invoices may also process credit notes and debt write-offs. However, these transactions are supported by documentation with sign-off by authorised delegates, who do not have access to create accounts receivable invoices.
- Staff who create general journals and other system journals must not approve those journals for posting to the general ledger. A person independent of the journal creation process must approve the posting of journal.

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RELATED PARTY TRANSACTIONS

UNIVERSITY CODE OF CONDUCT

INTERNAL AUDIT AND REVIEW

General

Many staff members seek to commit University funds to purchase goods or procure the services from businesses that either they, or people close to them, are associated with them. Such proposed related party transactions are acceptable provided that the University is clearly informed of the nature of the relationship so that an assessment can be made as to whether there are likely to be conflicts of interest, whether proposed transactions are being negotiated at “arms length” and on generally acceptable terms to the University.

The University is subject to the Public Finance and Audit Act and is financially accountable to the Parliament of NSW. Accordingly the University’s accounts are open to independent scrutiny and the transactions should reflect legitimate University business and the exercise of due economy. It is important that related party transactions are appropriately authorised and documented to reflect these requirements.

The University’s Code of Conduct (see below) refers to conflicts on interest, close personal relationships and financial interest, however no clear procedure has been formulated. As a result the Faculty has formulated its own procedure (see below).

Excerpts from the University Code Of Conduct

Conflicts of Interest

The potential for a conflict of interest arises when an employee is placed in a situation where private interests could influence or appear to influence judgments made during the course of his/her professional duty to the University.

Close Personal Relationships

A potential conflict of interest may arise when an employee of the University is in a personal relationship and in a position to:

- advance or hinder the interests of a member or potential member of the University on the basis of their personal relationship; and/or
- act to the detriment of the University's interests because of their personal relationship.

Examples of the types of personal relationships include family relationships, close friendships, sexual relationships or relationships where there have been previous instances of serious conflict between the parties.

Financial Interest

A potential conflict of interest may arise when a staff member has a financial interest in a company and is in a position to influence contracts for business between that company and the University.

In many cases, only the individual staff member will be aware of the potential for conflict of interest. Therefore the onus is on that person to notify the appropriate senior member of staff,

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such as the Head of the Department/Unit or Dean of a Faculty, if a potential or actual conflict of interest arises.

Any person who is directly affected by the potential or actual conflict of interest may refer the matter to the appropriate senior member of staff.

Failure to disclose by employees of the University, the potential or actual conflict of interest can render decisions null and void, and can lead to disciplinary procedures under the relevant award.

Faculty Procedure

Where staff propose to purchase goods or utilise the services of a party related to them they are seek approval prior to committing any University funds.

All proposed related party transactions are to be submitted to the Dean for approval, with a recommendation from the Head of Department if appropriate. The submission is to contain a clear declaration of the relationship with the related party, together with an indication as to why the related party is the preferred supplier of goods or service and that the proposed transaction will demonstrate exercise of due economy with University funds. The University Purchasing and Procurement Policy also must also be complied in terms or requirements for quotes and tenders.

For Related Party Transactions the Faculty will maintain a register of businesses declared by staff members to be associated with them or people closely associated to them.

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CONTACTS

FACULTY FINANCE AND PURCHASING

Faculty Staff are located in Building 41 Room 237. The Fax Extension Number is 4718.

Position	Occupant	Ext	Email
Faculty Finance Officer	Peter Roope	3699	proope@uow.edu.au
Faculty Purchasing Officer	Gunter Sagan	4060	gsagan@uow.edu.au
Faculty Finance Assistant	Hayley McCarrol	5337	hayleymc@uow.edu.au

DEPARTMENTS AND CENTRES

Unit	Position	Occupant	Ext	Email
Faculty IT	Support Officer	Melissa Dietrich	3641	dietrich@uow.edu.au
Biomedical Sciences	Admin Assistant	Melissa Errey	3881	merrey@uow.edu.au
Biomedical Sciences	Admin Assistant	Nola Hurt	4161	nhurt@uow.edu.au
Biomedical Sciences	Technical Officer	Roza Dimeska	4091	roza@uow.edu.au
Nursing	Admin Assistant	Heather Todd	3339	htodd@uow.edu.au
Nursing	Admin Assistant	Magda Heaslip	4193	magda@uow.edu.au
Nursing	Admin Assistant	Val Dimitrievska	5542	val@uow.edu.au
Psychology	Admin Officer	Len McAlear	4445	len_mcalear@uow.edu.au
Psychology	Laboratory Assistant	Lisa Czubala	3637	lisa_czubala@uow.edu.au
Public Health	Admin Assistant	Bev Moate	3463	bmoate@uow.edu.au
Public Health	Admin Assistant	Pat Gracie	3463	patricia@uow.edu.au
Smart Foods Centre	Business Officer	Stuart Parker	4968	sparkar@uow.edu.au
iiMH	Admin Assistant	Marie Johnson	4207	mjohnson@uow.edu.au

PERSONNEL & FINANCIAL SERVICES

Position	Occupant	Ext	Email
Assistant Director – Finance	Damien Israel	5540	damien_israel@uow.edu.au
Assistant Finance Manager	Ron Bryant	3975	ron_bryant@uow.edu.au
Finance Training Officer	John Walter	3284	john_walter@uow.edu.au
Accounts Payable Supervisor	Simone Britt	5967	simone_britt@uow.edu.au
Debtors Supervisor	Gay Pados	5263	gay_pados@uow.edu.au
Management Accountant	Michael Ramsey	3942	michael_ramsey@uow.edu.au
Budget Accountant	Steve Corris	5933	steve_corris@uow.edu.au
Budget Accountant	Chan Shah	3460	chan_shah@uow.edu.au
Contracts Administrator	Currently Vacant	5749	@uow.edu.au
Asset Management Officer	Alison Kerin	5264	alison_kerin@uow.edu.au
Personnel Officer	Barry Fitzsimmons	3934	bfitzsim@uow.edu.au

OFFICE OF RESEARCH

Position	Occupant	Ext	Email
Contracts Finance Officer	Currently Vacant	4409	@uow.edu.au
Research Grants Finance Officer	Narelle Adams	3350	narelle_adams@uow.edu.au

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