Quotation Waiver Form

Background
Under the University’s Quotation Thresholds guidelines, 3 written quotations are required for purchases between $10,000 and $99,999.

This quotation waiver form should not be used for high risk purchases which would require a Strategic Procurement tender process to be undertaken. See user notes for further detail.

Exemption from Quotation
In exceptional circumstances, a request for exemption from quotation may be appropriate and in these situations acceptable reasons for the exemption must be provided. All documentation must be complete, accurate and kept on file within your Faculty, School or Business Unit for audit purposes in line with UWA Finance manual and Records Management Policies.

<table>
<thead>
<tr>
<th>Business Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name and Contact Details of UWA Requesting Manager / Budget Holder</td>
</tr>
<tr>
<td>Supplier Name</td>
</tr>
<tr>
<td>Goods/Services Being Purchased</td>
</tr>
<tr>
<td>Date</td>
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</table>

Please provide detailed reasons for the Exemption from 3 Written Quotations Request
Xx (Faculty, School or Business Unit) are seeking the approval of this quotation waiver to engage xxx (supplier name) to provide xxx (goods or services).

We would like to engage xxx (supplier name) for the following reasons:

- Add own sentences or use some of the examples from the user notes. Supporting documentation may be attached to this form

| Total Procurement / Agreement Value (excluding GST) | $ |
Other Considerations

There are various other factors which need to be considered when undertaking a procurement exercise. Please complete the below checklist adding comments where necessary.

<table>
<thead>
<tr>
<th>Consideration</th>
<th>Advice sought/ action undertaken (Yes/No)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total value of purchases</td>
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**Definition**
- The total cost of the purchase, otherwise known as Total Cost or Whole Life cost, should factor in all elements required to use the product or service required.
- This could include, but is not limited to:
  - Insurance (see below)
  - Freight/Incoterms (see below)
  - Storage costs
  - Maintenance costs (parts or services)
  - Disposal costs
  - Depreciation costs

**Application**
- The total cost cannot be split into smaller orders to bypass the threshold limits.
- If purchasing multiple items of the same type there is commercial benefit in combining purchases to take advantage of economies of scale, i.e. negotiate a better price using a higher quantity as your leverage.
- Items ordered in one go do not need to be delivered at once and call-off orders can be used to “draw down” the quantity as and when required.

Supplier Due Diligence Checks

**Definition**
Commercial checks, often financial, used to assess the risks involved with contracting with/purchasing from a given entity.

**Application**
- Need to be undertaken prior to purchasing goods and services from the Supplier.
- For more information, please visit the Strategic Procurement website to access the Procurement Assist tool, which provides
expert advice and support on all aspects of sourcing, tendering etc. or contact Strategic Procurement for further information.

### Foreign Currency

- Please contact Treasury and Investments (Financial Services) when purchasing goods and services from overseas with a total value greater than AUD $50,000 -
- There could potentially be a cost implication to the University.

### Insurance

- Please contact Risk Management (RM) team for information on Insurance especially when purchasing goods and services from overseas.
- Before purchasing insurance, seek advice from the RM team regarding UWA’s insurance cover:
  - To see if additional insurance is required;
  - To purchase the appropriate level of cover required.
- There could potentially be a cost implication to the University.

### Freight terms

- The freight terms (Incoterms) will need to be negotiated with the Supplier.
- These terms clearly govern and communicate the responsibilities, risks, insurance and other costs associated with the transportation and delivery of goods.
- Please ensure that you are happy with the freight terms and any associated costs before purchasing the goods and services.

### Fair Price

- Even though a supplier may be sole source (the only ones able to supply the products/services) it is still necessary to ensure you are being offered a fair price.
This can be investigated through market analysis, identification of supplier’s discounts off published price lists, comparison to documented price lists e.g. Government contracts etc.

Suppliers often use sales tactics such as “we are the only company who sell this product”. This can sometimes mean that they are the only supplier who offer that “brand” but not the product, i.e. similar products of different brands could be available. Thorough market analysis is essential to ensure better value for money for UWA.

Approval of Exemption from 3 Written Quotations Request

The Quotation Waiver Form needs to be approved by a UWA authorised delegated authority. Please note the Requesting individual of the Exemption from 3 Written Quotations cannot approve their own request.

APPROVAL – to be completed by an authorised University Financial Delegated Officer (Band 5a Delegate)

- The Quotation Waiver Form is **authorised**.
- The Quotation Waiver Form is **not authorised**.

For the following reasons:

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone Number</th>
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<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
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Quotation Waiver Form – User notes, checklist & next steps

- Under the Quotations Threshold process, 3 written quotations are required for purchases between $10,000 and $99,999.
- In order to qualify for exemption from this threshold, a full explanation must be provided outlining the grounds for the exemption.
- High risk goods and services cannot be purchased using this Quotation waiver form.
- Goods and services can be high risk even though the monetary value is lower than $100,000.
  - The risks to people, property, research, the community and the University’s reputation need to be considered.
  - For advice on whether goods and services qualify as high risk purchases, please contact Strategic Procurement.
  - Please see the Quotations Threshold process for further information.
- The following are examples of possible grounds for exemption from quotation. Please note, these are not automatic grounds for approval and each case must be assessed on its own merits.
- All documentation must be complete, accurate and kept on file within your Faculty, School or Business Unit for audit purposes in line with UWA Finance manual and Records Management Policies.

Checklist of reasons and examples for exemption – this is a non-exhaustive list:

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
<th>Example sentence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compatibility with existing equipment/ teaching requirements/ research requirements</td>
<td>Yes / no</td>
<td>The goods required are compatible with existing equipment. Consistency is required to: 1. Prevent additional implementation costing being incurred through changing equipment (costs should be detailed if known) 2. To ensure standardisation of research results</td>
</tr>
<tr>
<td>Research collaboration</td>
<td>Yes / no</td>
<td>These specifics goods are required to align with those used at x institution to ensure consistency of research process and results etc.. in the following experiment xx etc</td>
</tr>
<tr>
<td>Sole Source supplier</td>
<td>Yes / no</td>
<td>I/we have undertaken market research and have *established that there is only one supplier of the goods/services and there are no reasonably satisfactory alternatives. This specific supply is required due to xxxx.</td>
</tr>
</tbody>
</table>
When considering this factor the specifications for the supply/item must be generic and not favouring a specific product by a set supplier. If a specific brand is required justification must be included why only that brand is suitable.

*Keep market research results on file within your Business Unit. You may be required to provide evidence of this to an auditor

| Sole Source supplier in Australia | Yes / no | If/We have undertaken market research and have *established that there is only one supplier of the goods/services in Australia. The goods/services are available from xx country however to purchase would incur additional costing due to freight (detail cost) or insurance (detail cost) and there are no reasonably satisfactory alternatives.

*Keep market research results on file within your Business Unit. You may be required to provide evidence of this to an auditor |

| Urgent requirement | Yes / no | The goods/services are urgently required due to the following factors:...

1. xxx |

Next steps:

- Once the Quotation Waiver has been approved an electronic Purchase Order should be raised (see Strategic Procurement website for further detail).
- Please note this utilises UWA's Terms and Conditions not the Supplier's terms and conditions.
- Please contact Strategic Procurement for Assistance.