Research Infrastructure Scheme

Post-Award Information Session
7 December 2022

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Carlos Araes, Category Manager, Procure to Pay
Topics Covered

• Summary of grant outcomes
• RIS outcomes – FAQ
• RIS reporting requirements
• Support for your RIS project
• Procurement (Carlos Araes)

Followed by Q & A
Congratulations on being funded!

Note all Faculties have finalised their approved RIS project.

To date, **33 RIS applications have been funded**:

- 32 Faculty projects
- 1 Network Lab renewal

Due to the financial impacts of Covid-19, RIS budget has been moderated since the 2020 round, resulting in reduced number of project being funded.
RIS Award FAQ

Why is my allocated budget less than requested?
• Last project in the fundable range for your Faculty
• GST or ineligible items included (e.g. site fit out, salary of research management staff)
• No competitive quote: individual items rather than ”package deal”
• Your Faculty approved a reduced amount for another reason

When will my funds be released?
• Projects have been sent to the RGC for set-up – award letters to go out by end of the year
• Funds will be released in January 2023.

Can funds for 2023 one-year projects carry forward to 2024?
• Yes, allocation to RF444 project code allows for carry forward BUT needs to be justified and requested during the reporting period.
RIS – advice for next round - compliance

Formal quotes and **signed** site checklists need to be attached to the application. Do not include casual email correspondence as a quote.

Salaries are awarded based on UNSW salary rates – use the salary calculator provided. Make sure the necessary adjustments for step-increases and indexation have been factored in. Any under-quoting of salaries will not be corrected.

Do NOT request ineligible items! This may impact the overall eligibility of your proposal.

Do NOT include GST!

Ensure you are not named on more than the maximum number of RIS proposals permitted per applicant.

Adhere to all deadlines
RIS requires annual reporting

Reporting is very simple and short

Reporting is to fulfill our obligations to the University Executive and Council:

Requests for extension to the project need to be made via the annual reporting process

Information from the reports will be used to establish a register of equipment / infrastructure funded under RIS

The register is available on the RIS website and will be updated following each round of the scheme

https://research.unsw.edu.au/unsw-research-infrastructure-scheme
Reporting process

Annual reports are collected via Qualtrics, or for Network Labs via a Word document.

Our office will contact Lead Investigators in late November/Early December 2023 to request reports.

Any requests for extension to the project need to be made via the annual reporting process.

Reporting needs to be completed annually for each RIS project you hold, for as long as the project remains open.

**Reporting for RIS funds released in 2023 are due 31 January 2024, unless otherwise communicated**

You can preview report questions at:

https://research.unsw.edu.au/reporting-projects-funded-under-unsw-research-infrastructure-scheme
When starting your project:

Follow UNSW’s **Procurement Policy** – more to follow later

Be aware of **compliance issues**:
- Consult RECS *prior to* purchasing any items potentially requiring ethics approval
- Consult RECS for drones

Be aware of any **space and installation issues**:
- Funds not to be used for general site fit out / refurbishment
- Sensors, monitoring cameras ….. and anything that you install on campus outside of your own lab: seek approval
  - From EM for campus / roof / building installations

*If in doubt – please ask!*
Resources

**PVCRI:**
Resources (including these slides) are available on the Research Infrastructure website at:
https://research.unsw.edu.au/unsw-research-infrastructure-scheme
Enquiries: pvcresin@unsw.edu.au

**RGC:**
RGC website:
https://research.unsw.edu.au/research-grants-and-contracts-rgc
Enquiries: rgc@unsw.edu.au

**Procurement:**
Procurement Website:
https://unsw.sharepoint.com/sites/finance-hub/SitePages/Procurement-Processes.aspx#anchor
Enquiries: procurement@unsw.edu.au

**Research Ethics and Compliance Support:**
https://research.unsw.edu.au/recs
Procurement

How do I get the best research value for my project funds?

Do I have to buy from the supplier I provided in the RIS grant?

Do I have a foreign exchange / currency variation risk? And if yes, how do I manage this?

Which procurement process do I use?

Do I need a purchase contract (agreement)?

When can I start?
Research Infrastructure Scheme:  
Supporting Collaborative Research

Information Session  
Strategic Procurement  
05 December 2022  
Carlos Araes  
Category Manager  
Procure to Pay
Where to start?

Procurement Website:  https://unsw.sharepoint.com/sites/finance-hub/SitePages/Buying%20and%20Paying.aspx

**Buying Guide**

<table>
<thead>
<tr>
<th>START HERE</th>
<th>BUYING REFERENCE GUIDE</th>
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<tbody>
<tr>
<td>Is there a UNSW Supplier capable of providing the specific category of goods or services?</td>
<td>- Buy from catalogues in place, or UNSW supplier can be engaged directly. There is no need to obtain any additional quotes. UNSW credit card should not be used.</td>
</tr>
<tr>
<td>NO</td>
<td>- For bulk buying or purchase above $350,000, engage Procure to Pay as there could be additional opportunities to leverage from UNSW suppliers.</td>
</tr>
<tr>
<td>Is there a UNSW Panel Supplier capable of providing the specific category of goods or services?</td>
<td>- UNSW panel suppliers (applicable for all panels except UNSW panel suppliers for building contractors and major construction works – see next section).</td>
</tr>
<tr>
<td>NO</td>
<td>- Between $0 to $250,000 = minimum 1 written quote from 1 supplier from the panel.</td>
</tr>
<tr>
<td>Are the goods and services likely to cost less than $3,000?</td>
<td>- Between $250,000 to $1M = minimum 3 written quotes from 3 different suppliers from the panel obtained via an RFX process.</td>
</tr>
<tr>
<td>NO</td>
<td>- More than $1M = sourcing activity with all suppliers from the panel or other strategy approved by Procure to Pay.</td>
</tr>
<tr>
<td>Are the goods and services likely to cost between $3,000 to $50,000?</td>
<td>- No written quote but written evidence of price (e.g., screen snapshot, email) required.</td>
</tr>
<tr>
<td>NO</td>
<td>- UNSW credit card may be used.</td>
</tr>
<tr>
<td>Are the goods and services likely to cost between $50,000 to $500,000?</td>
<td>- Engagement of a Contractor (email HR for the specific process). This includes the use of NSW Government Panel Suppliers.</td>
</tr>
<tr>
<td>NO</td>
<td>- Minimum 1 written quote which represents best value for money is required.</td>
</tr>
<tr>
<td>Are the goods and services likely to cost between $500,000 to $3,000,000?</td>
<td>- Credit Card exposure.</td>
</tr>
<tr>
<td>NO</td>
<td>- Minimum 3 written quotes or exemption approved by the relevant financial delegate within your reporting line for independent review and approval.</td>
</tr>
<tr>
<td>Are the goods and services likely to cost more than $350,000?</td>
<td>- Engagement of a Contractor (email HR for the specific process). This includes the use of NSW Government Panel Suppliers.</td>
</tr>
<tr>
<td>YES</td>
<td>- Procurement Strategy approved by Procure to Pay.</td>
</tr>
<tr>
<td>Are there any UNSW credit card suppliers?</td>
<td>- This includes the use of NSW Government Panel Suppliers.</td>
</tr>
<tr>
<td>BUYING STRATEGY busty approved by Procure to Pay</td>
<td>- When credit card can be used then no purchase order is raised.</td>
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- All amounts are exclusive of GST
- The amount that is to be approved by the financial delegate be estimated cost over the proposed term (including all extensions if applicable) of the engagement including supply, freight, installation, implementation, training and ongoing service, support and maintenance; this is not a cost per annum. The amount must not be divided into separate transactions for the purpose of bringing it below the threshold value.
- Reoccurring purchases where recrurent invoices are received, a bulk purchase order is to be established for the total proposed term, approved by the delegate who holds the appropriate Total Value delegation. Refer to Procurement Policy.
- SOW or Work Order or relevant contract form is required for all engagements under NSW Government or other Panel arrangements.
Templates

Easy to use Templates
Procurement Website: https://unsw.sharepoint.com/sites/finance-hub/SitePages/Procurement-Templates.aspx

- Exemption Template ($50 > $350k)
- Confidentiality Agreement and Declaration of Interest
- SOW – Statement of Work
- Procurement Strategy Template
- Request for Quote (RFQ)
- Risk Assessment Template
- Procurement Recommendation
- Site Services and Installation Checklist
- Contract Variation Approval Request
- Contact Sign-off Checklist
- Successful / Unsuccessful Supplier Letters
- Foreign Currency Purchase Fixed Rate Form

Opting for UNSW RFQ document

Request for Quote (RFQ)
Use these templates to seek quotations from suppliers to supply goods or services to UNSW.

- Meet procurement principles – VFM, probity, fit for purpose, Risk
- Easy to use – self guided (help formulate all types of requirements)
- Save time – gather supplier information, UNSW T&Cs (useful when
- Comparable – Request the same to all potential suppliers
Find a Supplier

UNSW Supplier & Panel Supplier

If you’re new to buying at UNSW, our Buying Reference Guide will help you work out the procedure to follow, depending on the size and nature of your purchase.

You’ll need to determine whether your:

- can use a UNSW Supplier or UNSW Panel Supplier
- should obtain quotations from suppliers
- can use your University credit card
- should involve Procurement

Once you know the process to follow, choose a tile or quicklink on this page.

- Procurement (purchases >$350k and advice)
- Purchase Orders (<$350k) - Buying and Paying Dashboard
- UNSW credit cards and student payments
- My Expenses (SAP Concur)
- Vendor management
- Forms and templates

✓ If the equipment/system value is >350k (excl. GST), Don’t wait to contact us

✓ If the equipment/system value is ≤350k, visit the Procurement website and follow the procurement guide by visiting the procurement website

Available Categories

- General Lab Supplies - (Consumables)
- General Lab Equipment’s
- Lab Cold Storage
- Lab Supplies - (Chemicals)
- Lab Gases - (Compressed)
- Lab Gases - (Bulk)

What else?
Tender Mystery

The 4 Step Process – (Source to – Contract)

Procurement Website: [https://unsw.sharepoint.com/sites/finance-hub/SitePages/Procurement-Processes.aspx#anchor](https://unsw.sharepoint.com/sites/finance-hub/SitePages/Procurement-Processes.aspx#anchor)
# RME Procurement checklist

## STEP 1: CONFIRM SITE INSTALLATION READINESS

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<tr>
<td>1.</td>
<td>Do I have a Site for Installation ready to host the equipment? And if not, am I in contact with EM with the site installation check list kept up to date?</td>
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## STEP 2: CHECK COMPLIANCE WITH UNSW PROCUREMENT POLICY AND PROCEDURE

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<td>3.</td>
<td>If the total value of the equipment incl. delivery, installation, acceptance testing, warranty and/or on-going support services is greater than 350k, have I contacted Procurement? (<a href="mailto:procurement_direct@unsw.edu.au">procurement_direct@unsw.edu.au</a>)</td>
</tr>
<tr>
<td>4.</td>
<td>If I am not compliant with the procurement policy and procedure (Exemption), have I justified this to the relevant financial delegate when the contract value is below AUD 350k? And if the total value is greater than AUD 350 excl. GST, has procurement signed the strategy/exemption document before entering into discussions (direct negotiation) with the supplier?</td>
</tr>
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<td>5.</td>
<td>Am I getting the best value for money and if yes have I demonstrated it? (Have I asked the supplier for add-ons, extended warranty, consumables...?)</td>
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## STEP 3: CHECK SUPPLIERS QUOTATIONS

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<td>6.</td>
<td>Are the quotes I have obtained still valid?</td>
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<td>7.</td>
<td>Do the quotation of the successful supplier contain the supplier’s sales Terms and Conditions (T&amp;Cs), including specific clauses that expose UNSW and my budget to any risks? E.g. exposure to price variation because of Foreign currency fluctuation? Have I asked the supplier to remove their terms from the quotation in order to mitigate risks and make sure UNSW terms take precedence?</td>
</tr>
<tr>
<td>8.</td>
<td>If the supplier requests upfront payment(s), i.e. before acceptance of the Goods/services, have I negotiated this in order to pay as little as possible prior to acceptance?</td>
</tr>
<tr>
<td>9.</td>
<td>Does the quotation contain the description of the intended purpose as well as an accurate description of the Goods and Services the supplier will provide?</td>
</tr>
<tr>
<td>10.</td>
<td>Are my specific acceptance tests included in the suppliers’ quotations or am I aware of the suppliers standard acceptance protocol and is this acceptable?</td>
</tr>
<tr>
<td>11.</td>
<td>Does the quotation contain the right Incoterm (DAP or DDP at the exact place of delivery, i.e. delivery dock or lab)?</td>
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## STEP 4: CONTRACT NEGOTIATION

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<tr>
<td>12.</td>
<td>If I the supplier doesn’t agree to remove its T&amp;Cs from the quotation or request UNSW to sign their agreement, have I introduced UNSW agreement template? And if things get difficult, have I contacted procurement?</td>
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## STEP 5: CONTRACT REPORTING (GIPA act)

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<td>13.</td>
<td>If the value of the Contract (Purchase Order) is greater than AUD 150k incl. GST, have I sent the contract to procurement or the legal office in order to comply with the NSW GIPA reporting act?</td>
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## STEP 5: RAISE PURCHASE ORDER

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<td>14.</td>
<td>Have I contacted treasury to secure the foreign currency rate (hedge foreign currency fluctuations) if the quotation is in foreign currency or in AUD with a reference to foreign currency variation?</td>
</tr>
<tr>
<td>15.</td>
<td>After the contract has been executed or a quotation agreed on with the successful supplier, have I contacted the Finance Service Team responsible for my faculty to raise the PO? Have I provided the following documents to them: - Relevant financial delegate approval (Signed recommendation document or email)? - Signed Agreement if an Agreement was executed between UNSW and the supplier? - The relevant deal if it is a foreign currency PO? - The supplier’s quotation if it is referenced in the PO and / or agreement?</td>
</tr>
</tbody>
</table>
Questions?