

Policy on Procurement

Administrative Authority:	Vice-President, Finance and Administration
Approval Authority:	Board of Governors
Approval Date:	April 21, 2017
Effective Date:	April 21, 2017
Latest Revision Date:	June 20, 2024
Next Review:	June 2029

1. Purpose

- 1.1 Laurentian University (“the University”) is committed to maintaining high standards for performance based on fair, ethical, legal, environmental, and professional business practices. The University, its employees and agents shall procure goods and services in an open, fair and transparent manner and in a competitive environment, so that all transactions yield the optimal benefit to the University in the circumstances.
- 1.2 The Ontario Broader Public Sector (BPS) Procurement Directive was issued by Management Board of Cabinet, effective July 1, 2011. The purpose of the Directive is “to ensure that publicly funded goods and services, including construction, consulting services, and information technology, are acquired by BPS organizations through a process that is open, fair and transparent, to outline responsibilities of BPS organizations throughout each stage of the procurement process, and to ensure that procurement processes are managed consistently throughout the BPS”. The University must comply with BPS and other trade agreements, laws and regulations.

- 1.3 The University is also bound by the requirements of funding agencies, to the extent that those requirements comply with applicable procurement legislation and regulation.
- 1.4 The Policy on Purchasing (the “policy”) will apply to all University funds from all sources, including the operating, research, capital and ancillary funds and all other funds held in trust.
- 1.5 This Policy is intended to:
 - 1.5.1 Ensure that publicly funded goods and services, including construction, consulting services, and information technology, are acquired by the University through a process that is open, fair, and transparent; and
 - 1.5.2 Outline responsibilities of the University personnel throughout each stage of the procurement process;
 - 1.5.3 Ensure that procurement processes are managed consistently;
 - 1.5.4 Support collaborative purchasing (group buying) and the adoption and sharing of leading procurement practices;
 - 1.5.5 Promote and encourage suppliers to consider sustainability and social responsibility in their product or service offerings.
 - 1.5.6 Promote and encourage suppliers to adhere to the University Supplier Code of Conduct which is intended to support standards of ethical business, integrity and equity, and align with procurement goals identified in its policies and procedures.

2. Scope

- 2.1 This Policy applies to all employees and agents of the University and to all University funds from all sources, including the operating, research, capital and ancillary funds and all other funds held in trust.
- 2.2 The University is bound by requirements of funding agencies, to the extent that those requirements comply with applicable procurement legislation and regulation.
- 2.3 All employees and agents of the University who, during the course of their duties, are involved in the process of acquiring goods and services including construction, consulting services, and information technology are required to adhere to this Policy.

3. Definitions

3.1 The following definitions, for the most part, are outlined in the Broader Public Sector Procurement Directive, and various Trade Agreements and apply to this Policy and related program.

- “Bill S-211, an Act to enact the Fighting Against Forced Labour and Child Labour in Supply Chains”, an Act and to amend the Customs Tariff (the Act), aim to increase industry awareness and transparency and drive businesses to improve practices.
- “Broader Public Sector (BPS)” means as defined in the Broader Public Sector Accountability Act, 2010.
- “Broader Public Sector Procurement Directive” means BPS Procurement Directive, which replaces the BPS Supply Chain Guideline issued by the Ministry of Finance in 2009 and updated on July 1, 2011.
- *Building Ontario Businesses Initiative Act (2022)* an Act to contribute to the growth of Ontario businesses by providing for circumstances in which public sector entities are required to give those businesses preference when conducting procurement processes for goods and services under a specified threshold amount.
- “Buying Group” means a Public Body or a legal entity whose membership includes Public Bodies, where the procurements of the Buying Group is done in compliance with applicable provisions of the Canadian Free Trade Agreement (CFTA), Comprehensive Economic and Trade Agreement (CETA) and any other applicable trade agreements. The resulting contract between the Buying Group and the vendor stipulates that the same goods and/or services be made available to other Public Bodies via Vendor of Record (VOR) and/or service agreements.
- “Canada-European Union Comprehensive Economic and Trade Agreement (CETA)” an international trade agreement effective as of September 21st, 2017, that expands the opportunities for suppliers in both the European Union [EU] and Canada to bid on public procurements. The rules apply only in certain circumstances, namely:
 - i. procurements by a “covered entity”
 - ii. that are in respect of specified goods, services or construction, which exceed certain minimum value thresholds.

- “Canadian Free Trade Agreement (CFTA)” a domestic (inter-provincial) trade agreement effective as of July 1st, 2017, that replaced the Agreement on Internal Trade (AIT) and promotes open procurement practices among public sector organizations.
- “Competitive Procurement” means a set of procedures for developing a procurement contract through a bidding or proposal process. The intent is to solicit fair, impartial, competitive bids.
- “Consultant” means a person or entity that under an agreement, other than an employment agreement, provides expert or strategic advice and related services for consideration and decision-making.
- “Consulting Services” means the provision of expertise or strategic advice that is presented for consideration and decision-making.
- “Construction” means construction, reconstruction, demolition, repair or renovation of a building, structure or other civil engineering or architectural work and includes site preparation, excavation, drilling, seismic investigation, the supply of products and materials, the supply of equipment and machinery if they are included in and incidental to the construction, and the installation and repair of fixtures of a building, structure or other civil engineering or architectural work, but does not include professional consulting services related to the construction contract unless they are included in the procurement.
- “Contract” means written agreement, letter of intent, memorandum of understanding, or other document that sets legally binding provisions between the University and a Vendor and requires signatures from both parties.
- “Employee” or “Agent” means administrative staff, academic staff or any person directly or indirectly receiving wages from the University.
- “Goods” means moveable property (including the costs of installing, operating, maintaining or manufacturing such moveable property) including raw materials, products, equipment and other physical objects of every kind and description whether in solid, liquid, gaseous or electronic form, unless they are procured as part of a general construction contract.
- “Goods and Services” means all goods and/or services including construction, consulting services and information technology.

- “Invitational competitive procurement” means minimum of three or more suppliers are invited to submit a written quotation.
- “Laurentian University’s Supplier Code of Conduct” means a Code of Conduct outlining the expectations of suppliers on the management of their operations according to the most stringent standards of ethical business, integrity and equity.
- “Limited Tendering” means a procurement method whereby the procuring entity contacts a supplier or suppliers of its choice.
- “Lobbying Act” is an act that recognizes that free and open access to government is in the public interest, that transparent and ethical lobbying is a legitimate activity, that officials and the public should be able to know who is carrying out lobbying activities, and that lobbying registration should not impede access to government. As well, Part II of the Broader Public Sector Act-Lobbyists and Consultants, specifically prohibits the practice of hiring lobbyists using public funds.
- “Ontario-Quebec Trade and Cooperation Agreement (OQTCA)”
A bi-lateral trade agreement between Ontario and Quebec which has been recently revised to align with the CFTA.
- “Open Competitive Process” means a set of procedures for developing a procurement contract through a bidding or proposal process and publicly posting the requirement through an electronic tendering service (i.e., MERX/Bonfire) used by the Federal and Provincial Governments as well as the MASH sector (Municipal, Academic, School Boards and Hospitals). The intent is to solicit fair, impartial, competitive bids.
- “PCard” means procurement card assigned to certain Employees (PCard cardholders) to facilitate small purchases for university purposes.
- “Procurement” means acquisition by any means, including purchase, rental, lease or conditional sale of goods and services (including consulting, information technology and construction).
- “Procurement Services” means positions that manage the Procurement processes.
- “Purchase Order (PO)” means official document sent by the University to a Vendor to capture the purchase of goods or services, the price and terms, and to commit University funds.

- “Project consultants” means planners, architects, engineers, landscape architects and other consultants that may be retained.
- “Quote” or “Quotation” means estimated price (or proposal) issued by a Vendor for the delivery of goods and/or services at a future date based on a predetermined scope.
- “Single Sourcing” means a non-competitive method of procurement of goods or services from a supplier in situations where there is or may be another supplier or suppliers capable of delivering these goods or services.
- “Sole Source” means the use of a non-competitive procurement process to acquire goods or services where there is only one available supplier for the source of the goods or service.
- “Supplier” or “Vendor” used interchangeably throughout this Policy to mean the individual or organization that provides, or may provide, goods and/or services to the University.
- “User” means Employee or Agent who requests a good or service for use by the University.
- Vendor of Record (VOR)-meaning a VOR established by Laurentian University through a formal request for supplier qualification procurement process or a VOR established by a Buying Group as defined above and requiring a 2nd stage process of quotation(s) for the provision of goods, services, consulting services and construction.

4. Policy Statement

4.1 Competitive Procurement Processes

It is the policy of the University that the acquisition of goods and services and construction and renovation work be in accordance with the (BPS) Procurement Directive, The Canada-European Union (EU) Comprehensive Economic and Trade Agreement (CETA), Canadian Free Trade Agreement (CFTA), The Ontario-Quebec Trade and Cooperation Agreement (OQTCA) and guided by the Supply Chain Code of Ethics Policy as adopted on April 15, 2011.

4.2 Non-Competitive Procurement – Sole/Single Sourcing/Limited Tender

The University will employ an open competitive process when required and whenever possible to increase the likelihood of achieving the

greatest value for money. However, in some specific situations as described in this Sole/Single Source Section of this Policy, competitive procurement processes may not be warranted.

In the event that the University employs a non-competitive procurement process for goods, construction, advertising or non-consulting services over \$10,000, formal documentation will be completed in the form required.

4.3 Supply Chain Code of Ethics Policy

All procurement processes will be guided by the Supply Chain Code of Ethics Policy adopted on April 15, 2011 and updated on April 15, 2016.

4.4 Responsibilities

4.4.1 All employees and agents of the University who, during the course of their duties, are involved in the process of acquiring goods and services including construction, consulting services, and information technology are required to adhere to this Policy. Failure to comply with the Policy may result in disciplinary action.

Sample non-compliance to this Policy includes, but is not limited to:

- Making financial commitments with Suppliers without the involvement of Procurement Services
- Falsely reducing the value of a Procurement or splitting a Procurement into multiple parts
- Modifying or terminating Contracts without the involvement of Procurement Services
- Approving a Purchase Order [PO] or signing a Contract without having the authority to do so
- Asking a Vendor to deliver a service or product without an executed PO or Contract
- Failing to disclose any actual or potential conflict of interest; and
- Offering or accepting gifts or hospitality.

4.4.2 Procurement Services' role is to assist employees and agents on all procurement-related matters. Whether it is securing a contract, supporting vendor performance, or assisting with purchase orders and purchasing cards, procurement services' goal is to guide and support internal clients.

4.4.3 Procurement Services is the procurement authority on campus and is the first point of contact for employees and agents seeking to acquire goods and services

including construction, consulting services, and information technology and ensure adherence to this Policy.

4.4.4 Although Procurement Services' may involve multiple stakeholders under different reporting structures, together, it guides internal clients in the engagement of vendors, ensuring the adherence to this Policy, and fostering effective working relationships with internal and external parties.

4.4.5 The table below outlines the main roles that support the Procurement process:

Role	Definition	Responsibility
Requisitioner	An Employee or Agent that creates a request to purchase a good/ service.	<ul style="list-style-type: none"> ● Ensure that purchases have an available budget before a procurement process begins ● Create purchasing requisitions ● Support purchasing requests for the University ● Support internal distribution of goods
Procurement Staff	Employee(s) in a purchasing position and/or dedicated procurement professionals with procurement qualifications in procurement and contracts	<ul style="list-style-type: none"> ● Support purchasing requests for the University ● Guide users on the best means of procurement ● Processes requisitions, reviews and drafts contracts ● Acts as the importer of goods on behalf of the University's brokerage specialists on all customs needs ● Support internal distribution of goods ● Support contract and vendor management ● Promote suitable and exact procurement practice with stakeholders ● Establish procurement guidelines and procedures ● Manage central procurement systems ● Conduct ALL procurements over \$10,000 ● Establish procurement strategies ● Establish institutional contracts ● Manage the approval of contracts and maintain central repository of all procurement contracts, ● Support vendor and contract performance, monitor compliance ● Offer training on best procurement practices ● Lead procurement standardization
Procurement Director/Manager and Executives	Director/Manager of Procurement and Contracts, AVP Financial Services and	<ul style="list-style-type: none"> ● Oversee procurement at the University ● Review the procurement practices of organizations to assess their fairness, openness and transparency, and making recommendations for improvements

	VP Finance and Administration	<ul style="list-style-type: none"> ● Review complaints from suppliers about the awarding of contracts that are valued below the monetary thresholds set out in applicable trade agreements ● Ensure that an alternative dispute resolution process is provided, at the request of each party to the contract, for disputes related to the interpretation or application of a contract's terms and conditions ● Establish procurement standards at the University ● Update Procurement Policy, every five years or as needed. ● Serve as an escalation point ● Approve large transactions and exceptions ● Lead cross-sector improvement initiatives
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4.5 Broader Public Sector Accountability Act, 2010

Under the *Broader Public Sector Accountability Act, 2010* designated broader public sector organizations are bound by expense and procurement rules to ensure open, fair and transparent procurement processes when purchasing goods and services with public funds.

The Act requires that Broader Public Sector Organizations:

- 4.5.1 Ban the practice of hiring external lobbyists using public funds;**
- 4.5.2 Establish consistent procurement practices and expense claim rules for certain broader public sector organizations, of which the University is part; and
- 4.5.3 Add accountability measures related to compliance.

4.6 Broader Public Sector Procurement Directive, 2011

The Broader Public Sector Procurement Directive requires:

- 4.6.1 That all participants in a procurement evaluation be aware of and abide by the restrictions related to confidential information shared through the competitive bidding process;
- 4.6.2 That evaluators refrain from engaging in any activity that may create or appear to create a conflict of interest; and

- 4.6.3 Evaluations be conducted in a fair and consistent manner in accordance with evaluation criteria and methodology set out in the procurement documents.

4.7 Notice of Collection of Personal Information under this Policy

- 4.7.1 The *Freedom of Information and Protection of Privacy Act, 1990* (FIPPA) make public bodies accountable to the public and protect personal privacy. The privacy legislation stipulates a right of access to records held by public bodies and regulates how public bodies manage personal information.
- 4.7.2 Individuals engaged in Supply Chain Activities on behalf of organizations should be aware of the implications of the Freedom of Information (FOI) requirements of FIPPA and the resulting importance of professional conduct. Freedom of Information requests can be made for information on tendering and administration of contracts.

4.8 Accessibility for Ontarians with Disabilities Act, 2005, and its standards

- 4.8.1 The University shall incorporate accessibility design, criteria and features when procuring or acquiring goods, services or facilities, where it is practicable to do so.
- 4.8.2 If the University determines that it is not practicable to incorporate accessibility design, criteria and features when procuring or acquiring goods, services or facilities, it shall provide, upon request, an explanation.

4.9 Capital Projects

- 4.9.1 This section describes the processes by which all capital projects at the University are approved and carried out. It provides the approval authorities for all construction and maintenance projects based on the dollar value of those projects. It also describes the approvals required at certain milestones of the project as well as change orders. This section replaces the 2010 framework titled "Decision-Making Requirements Associated with Current and Future Capital Projects".
- 4.9.2 It is understood that University staff and faculty may expend time and efforts in the development of initial concepts, business cases, and plans related to new capital projects. There should be no significant expenses incurred during this initial conceptual phase. Once the project is properly scoped, project approval through the Finance and Property Committee and the Laurentian University Board of Governors shall be required if the project budget is above the noted threshold. Relevant information such as

but not limited to project costs, schedule, site considerations, impact on operations, annual operating budgets, environmental considerations, space inventory and space utilization should be analyzed and presented for approval.

4.9.3 Approval Authorities

Type of Approval	Cost	Approval Authority
Project Approval	Up to \$100,000	Director, Operations and Maintenance
	\$100,000 to \$250,000	AVP, Facility Services
	\$250,000 to \$1M	VP Finance and Administration
	\$1M to \$2M	President and Vice-Chancellor
	Over \$2M	Finance and Property Committee, Board of Governors
Appointment of Architects & Consultants	Per Appendix A of this Purchasing Policy	
Award of Construction Contract	Per Appendix A of this Purchasing Policy	
Approval of costs in excess or approved total project budget	Up to \$100,000	AVP Facilities Services
	\$100,000 to \$500,000	VP Finance and Administration
	\$500,000 to \$1M (projects up to \$25M)	President and Vice-Chancellor
	\$500,000 to \$1.5M (projects over \$25M)	
	Over \$1M for projects up to \$25M	Finance and Property Committee, Board of Governors
Over \$1.5M for projects over \$25M		

4.9.4 Additional Approval Requirements:

In addition to the approval requirements listed above, the Finance and Property Committee will be required to approve the following items:

- a. Any change of land use, including the placement of new buildings and additions, purchasing/selling of property, and leasing of university owned property.
- b. A presentation seeking approval of the schematic design will be required for all capital projects over \$5M unless the project significantly alters the building fenestration. The report should include information such as a functional space program, site context, plans, elevations, materials, and views.

4.9.5 The Finance and Property Committee may delegate its authority for approval of the appointment of architects and consultants or the award of construction contracts to the Executive Team when a meeting of the Finance and Property Committee is not imminent and approval is required in order to meet the project schedule, provided that the cost of the proposed appointment or construction contract is within the approved project budget for the project.

4.9.6 Project Steering Committee

For all capital projects over \$5M, the Vice-President of Finance and Administration or their delegate shall establish and chair a Project Steering Committee. The committee must establish a Terms of Reference and Project Charter at the onset of the project. This committee shall act as advisory to the Executive Team and shall continue to exist until total completion of the project has been achieved as defined in the project charter. The committee will include a core membership of senior representatives best representing the project such as user(s), normally the Dean(s), Chair(s), or delegates as well as other academic or administrative departments deemed relevant and required in order to promote multi-unit participation together with Facility Services staff who will be responsible for the project delivery.

4.10 Related legislation, policies, procedures and other documents

- 4.10.1 *Accessibility for Ontarians with Disabilities Act, 2005*
- 4.10.2 *Bill S-211 Fighting Against Forced Labour and Child Labour in Supply Chains Act, 2022*
- 4.10.3 *Broader Public Sector Accountability Act, 2010*
- 4.10.4 *Building Ontario Businesses Initiative Act (2022)*
- 4.10.5 *Freedom of Information and Protection of Privacy Act, 1990*
- 4.10.6 *Lobbying Act, 1985*
- 4.10.7 *Ontarians with Disability Act, 2001*
- 4.10.8 Broader Public Sector (BPS) Procurement Directive, (2011)
- 4.10.9 Broader Public Sector (BPS) Expenses Directive, (2011)
- 4.10.10 Canadian Free Trade Agreement (CFTA), (2017)
- 4.10.11 Canada-European Union Comprehensive Economic and Trade Agreement (CETA)
- 4.10.12 Laurentian University's Supplier Code of Conduct
- 4.10.13 Ontario-Quebec Trade and Cooperation Agreement (OQTCA)
- 4.10.14 Policy on Signing Authorizations
- 4.10.15 Supply Chain Code of Ethics Policy

5. History of Revisions

- 5.1 This version of the Policy was adopted on April 21 2017 by way of approval by the Laurentian University Board of Governors.

6. Policy Review

- 6.1 This Policy will be reviewed in June 2029.
- 6.2 The Policy comes into effect the date of its approval by the Board of Governors of Laurentian University and will remain in effect until a newly revised policy has been approved by the Board of Governors.

7. Appendices

- Appendix A Procurement of Goods, and Non-Consulting Services
- Appendix B Procurement of Consulting Service
- Appendix C Responsibilities and Approval Thresholds for Any Goods or Services
- Appendix D Tender Template Bid Irregularity Protocol
- Appendix E Procurement of Infrastructure Professional Services and Construction
- Appendix F Change Orders, Contract Increases, Extensions and Options

Appendix A

**Procurement of Goods
and Non-Consulting
Services**

TOTAL PURCHASE BEFORE TAXES	MEANS OF PROCUREMENT /PURCHASING	PROCUREMENT PROCESS <i>Including approval for and/or any exemptions where applicable</i>	REQUISITION <i>Signing authority</i>	BUDGETING <i>Authorization that funding is available</i>	COMMITMENT <i>Authorization to release the order and confirmation that process has been followed</i>	RECEIPT <i>Order is physically received + authorizes payment by Finance</i>	PAYMENT <i>Authorizes release of payment</i>
\$0 - \$2,999.99	Procurement card (P-Card), Requisition OR Petty cash up to \$100	Single quote, invoice or bill of lading. The Single Quotation can be obtained by department OR Procurement and Contracts Department	Budget Holder (no requisition signing authority required)	Budget Holder	Budget Holder	Budget Holder	Budget Holder
\$3,000 - \$9,999.99	Single written quotation required	Single Quotation can be obtained by department OR Procurement and Contracts Department	Budget Holder	Budget Holder and Financial Services	Director/Manager of Procurement and Contracts OR Procurement Officer OR Procurement and Contracts Specialist of Procurement and Contracts	Budget Holder	Financial Services

Appendix A

**Procurement of Goods,
and Non-Consulting
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\$10,000 - \$49,999.99	Invitational competitive procurement (minimum of three or more suppliers are invited to submit a written quotation)	Procurement and Contacts manages the acquisition process through the use of RFX documents.	Budget Holder	Budget Holder and Financial Services	Director/Manager of Procurement and Contracts	Budget Holder	Financial Services
\$50,000 - \$121,199.99	Invitational competitive procurement (minimum of three or more suppliers are invited to submit a written quotation)	Procurement and Contacts manages the acquisition process through the use of RFX documents.	Budget Holder	Budget Holder and Financial Services	Director/Manager of Procurement, Contract and Risk and one other approval and signature from the Responsibilities and Approval Thresholds	Budget Holder	Financial Services

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**Procurement of Goods,
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TOTAL PURCHASE BEFORE TAXES	MEANS OF PROCUREMENT /PURCHASING	PROCUREMENT PROCESS <i>Including approval for any exemptions where applicable</i>	REQUISITION <i>Signing authority</i>	BUDGETING <i>Authorization that funding is available</i>	COMMITMENT <i>Authorization to release the order and confirmation that process has been followed</i>	RECEIPT <i>Order is physically received + authorizes payment by Finance</i>	PAYMENT <i>Authorizes release of payment</i>
\$121,200 - \$999,999.99 *	Open Competitive Process	Procurement and Contacts manages the acquisition process through the use of RFX documents.	Budget Holder	Budget Holder and Financial Services	Director/Manager of Procurement, Contract and Risk and one other approval and signature from the Responsibilities and Approval Thresholds	Budget Holder	Financial Services

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\$1,000,000 – above	Open Competitive Process	Procurement and Contacts manages the acquisition process through the use of RFX documents.	Budget Holder	Budget Holder and Financial Services	Director /Manager of Procurement, Contract and Risk and one other approval and signature from the Responsibilities and Approval Thresholds	Budget Holder	Financial Services

Appendix B

**Procurement
of Consulting
Services**

TOTAL PURCHASE BEFORE TAXES	MEANS OF PROCUREMENT /PURCHASING	PROCUREMENT PROCESS <i>Including approval for any exemptions where applicable</i>	REQUISITION <i>Signing authority</i>	BUDGETING <i>Authorization that funding is available</i>	COMMITMENT <i>Authorization to release the order and confirmation that process has been followed</i>	RECEIPT <i>Order is physically received + authorizes payment by Finance</i>	PAYMENT <i>Authorizes release of payment</i>
\$0 - \$49,999.99*	Invitational competitive procurement (minimum of three or more suppliers are invited to submit a written quotation)	Procurement and Contracts manages the acquisition process through the use of RFX documents.	Budget Holder	Budget Holder and Financial Services	Director /Manager of Procurement and Contracts	Budget Holder	Financial Services

***Non-competitive process for procurement on Consulting Services must be approved by the President**

Appendix B

**Procurement
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\$50,000 - \$121,199.99*	Invitational competitive procurement (minimum of three or more suppliers are invited to submit a written quotation)	Procurement and Contacts manages the acquisition process through the use of RFX documents.	Budget Holder	Budget Holder and Financial Services	Director /Manager of Procurement, Contract and Risk and one other approval and signature from the Responsibilities and Approval Thresholds*	Budget Holder	Financial Services

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\$121,200 - \$999,999.99 *	Open Competitive Process	Procurement and Contacts manages the acquisition process through the use of RFx documents.	Budget Holder	Budget Holder and Financial Services	Director /Manager of Procurement, Contract and Risk and one other approval and signature from the Responsibilities and Approval Thresholds*	Budget Holder	Financial Services

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\$1,000,000 – above **	Open Competitive Process	Procurement and Contacts manages the acquisition process through the use of RFX documents.	Budget Holder	Budget Holder and Financial Services	Director /Manager of Procurement, Contract and Risk and one other approval and signature from the Responsibilities and Approval Thresholds*	Budget Holder	Financial Services

****Non-competitive process must be approved by the Board of Governors**

Appendix C

Responsibilities and Approval Thresholds for Any Goods or Services

TYPE OF AGREEMENT <i>Required approval and signatures:</i> <i>Position Title</i>	APPROVAL THRESHOLDS <i>>\$1,000,000* *through project or budget approval</i>	APPROVAL THRESHOLDS <i>>\$250,000 One of group A plus any other</i>	APPROVAL THRESHOLDS <i>>\$50,000 any 2 of</i>	APPROVAL THRESHOLDS <i>>\$10,000 any 1 of</i>	APPROVAL THRESHOLDS <i><\$10,000 any 1 of</i>	APPROVAL THRESHOLDS PURCHASING CARD COMMITMENT <i><\$3,000</i>
Group A						
Chairperson of the Board of Governors	x	x	x	x	x	
President & Vice-Chancellor		x	x	x	x	
Vice-President, Finance and Administration		x	x	x	x	
Provost and Vice-President Academic		x	x	x	x	
Vice-President Research		x	x	x	x	
University Secretary and General Counsel		x	x			
Associate Vice-President, Financial Services		x	x	x	x	
Group B						
Director(s) in Finance					x	
Associate Vice-President, Human Resources & Organizational Development, within the purview of the role		x	x	x	x	
Associate Vice-President Information Technology within the purview of the role		x	x	x	x	
Associate Vice-President Facilities within the purview of the role		x	x	x	x	
Chief Advancement Officer within the purview of the role					x	
Director of Operations and Maintenance		x	x	x	x	
Director/Manager, Procurement and Contracts		x	x	x	x	x

Manager of Planning and Projects		x	x	x	x	
Procurement and Contract Specialist AND/OR Procurement Officer					x	x
Budget Holder					x	x

**TENDER TEMPLATE
BID IRREGULARITY PROTOCOL**

	IRREGULARITY	RESPONSE
1	Late Bid.	Automatic rejection and not opened or read publicly.
2	Unsealed Envelope.	Automatic rejection
3	No Bid Security or agreement to bond or insufficient Bid Deposit or agreement to bond.	Automatic rejection.
4	Bids completed and/or signed in erasable medium.	Automatic rejection.
5	All required sections of Bid documents not completed.	Automatic rejection unless, in the consensual opinion of the Director/Manager of Procurement and Contracts and the Associate Vice-President, Facility Services or the Director of Operations and Maintenance, the incomplete nature is trivial or insignificant.
6	Qualified Bids (Bids qualified or restricted by an attached statement).	Automatic rejection unless, in the consensual opinion of the Director/Manager of Procurement and Contracts and the Associate Vice-President, Facility Services or the Director of Operations and Maintenance, the incomplete nature is trivial or insignificant.
7	Bids received on documents other than those provided or specified by the University.	Automatic rejection.
8	Bids containing Clerical Errors, which are trivial or insignificant.	48 hours to correct and initial errors. The determination of what constitutes trivial or insignificant errors shall be made in the consensual opinion of the Director/Manager of Procurement and Contracts and the Associate Vice-President, Facility Services or the Director of Operations and Maintenance.
9	Failure to execute Agreement to Bond (Surety's Consent)	Automatic rejection.
10	Failure to execute Bid Bond by Bidder or Bonding Company.	Automatic rejection.
11	Failure to attend or have a representative in attendance at a Mandatory Information Meeting within the prescribed time period.	Automatic rejection where such meeting is specified as mandatory in the Bid Solicitation.

12	Signature is missing; signatory's authority to bind the corporation or signature missing.	Automatic Rejection.
13	Erasures, Overwriting or Strike-outs which are not initialed:	
(a)	Uninitialed changes to the Tender documents, other than unit prices, which are trivial or not significant.	48 hours to initial. The determination of what constitutes trivial or insignificant uninitialed changes shall be made in the consensual opinion of the Director/Manager of Procurement and Contracts and the Associate Vice-President, Facility Services or the Director of Operations and Maintenance.
(b)	Unit prices in the Schedule of Prices have been changed but not initialed and the Contract totals are consistent with the prices as changed.	48 hours to initial. The determination of what constitutes trivial or insignificant uninitialed changes shall be made in the consensual opinion of the Director/Manager of Procurement and Contracts and the Associate Vice-President, Facility Services or the Director of Operations and Maintenance.
(c)	Unit prices in the Schedule of Prices which have been changed but not initialed and the Contract totals are inconsistent with the price as changed.	Automatic rejection.
14	Mathematical errors which are not consistent with unit prices.	48 hours to correct and initial.
15	Bids, in which all Addenda, have not been acknowledged.	Automatic rejection.
16	Failure to select only pre-qualified sub-contractors or suppliers	Automatic rejection.
17	List of sub-contractors missing in Appendix A	Automatic rejection.
18	Failure to include a price for work for which a unit, separate, itemized or alternative price is required. Unless it is clear that there is no intention to submit a price such as labelling N/A.	Automatic rejection unless, in the consensual opinion of the Director/Manager of Procurement and Contracts and the Associate Vice-President, Facility Services or the Director of Operations and Maintenance the bid document(s) not provided contains information which is trivial or insignificant in which case 48 hours shall be provided to submit the document(s).
19	Failure to insert the Bidder's business name in the bid documents.	Automatic rejection.

20	Any other irregularities.	Automatic rejection. The Director/Manager of Procurement and Contracts and the Associate Vice-President, Facility Services or the Director of Operations and Maintenance shall have authority to waive other irregularities or grant 48 hours to initial or correct such other irregularities determined by them to be trivial or insignificant.
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Procurement of Infrastructure Professional Services and Construction

- Major Capital Projects
It is proposed that all Capital Projects of a value of \$1M (in aggregate) and over and appointment of architects and engineers where estimated fees are expected to exceed \$150,000 be reviewed by the Finance and Property Committee for recommendation to the Board of Governors.
- Project consultants can be retained under each of the following scenarios:
Planners, architects, engineers, landscape architects and other consultants may be retained, and site preparation work authorized, for any approved major capital project. The cost of this activity is to be included as part of the project cost. Regardless of whether or not an architect or consultant is retained as part of a major capital project, their appointment must be approved by the Board of Governors if the estimated cost exceeds \$150,000 or by the President if under this amount (as per Appendix B). All contracts will adhere to the approved procurement process.

Change Orders, Contract Increases, Extensions and Options

1. To increase the value of a Purchase Order or Contract, a change order must be requested and approved based on the PO or Contract's new cumulative value (original value + additional cost or in-kind contribution) according to the Responsibilities and Approval Thresholds for Any Goods or Services set out in Appendix B of this Policy.
2. Changes under 10% (and up to \$3,000) do not require new approvals unless the change caused the total value to go above the original approver's authority, in which case, it must be approved according to the new threshold.
3. Options approved during an initial procurement (for example, contract extensions, contingencies, and extras) do not require new approvals. However, any contract amendments that apply must be signed according to the Responsibilities and Approval Thresholds for Any Goods or Services set out in Appendix B of this Policy.
4. Any change or option (monetary or not) made to Contracts over \$100k require the involvement of Procurement and Contracts Department.