

# Contract Approval Form

**All contracts/agreements/MOU/licences/leases etc ("contract") must be sent to UNE Legal Services for review and approval. UNE Legal Services will arrange signing.**

*This form must be completed and submitted by the Contract Owner with the contract and supporting documents. Legal Services provides the completed form to the authorised delegate so they can understand what they are being asked to approve / sign.*

## PART A – must be filled in for every contract

UNE details (mandatory)			
Contract Owners / Managers	Project Officer/Contract Owner <i>(person submitting the contract for approval)</i>		
	Contract Manager <i>(person responsible for the ongoing management of the contract)</i>		
Related UNE Ref. Nos  (if applicable)	Faculty, School, Business Area Internal Memo TRIM Ref.	TAG Ref. No. (if applicable)	
Executive Dean Senior Executive		RFT/RFQ/RFE No.	Portfolio School
Contract Details (mandatory)			
Contract title			
Other party (Add supporting doc if multiple)	(check the company name and ACN on <a href="http://www.asic.gov.au">www.asic.gov.au</a> and the entity name/ABN on <a href="http://www.abr.business.gov.au">www.abr.business.gov.au</a> )		ABN/ACN: <i>(if the other party is a company, the ACN is required)</i>
Other party's country	Type of contract		
Contract Background			
Related / Dependent Contracts	Yes	If "Yes":	
	No		
	<i>If your contract depends on another contract, such as a head agreement or parent agreement (eg a Master Services Agreement), or is an amendment or variation, select "Yes"</i>		
Value / Financials	Type of contract	\$AU Total Value (whole of life, inc GST)	Examples
	Revenue		\$ for services by UNE, sponsorship \$ received by UNE, grant \$ received by UNE
	Expense		Procurement / purchasing, spend by UNE
	Lease/Licence		Property lease (either as lessor or lessee) or a property licence.
	Non-financial		MOU, Confidentiality Agreement with no \$ value
Time / Duration of Contract	Start Date		End Date
	Contract term		Extensions / Further Terms
	Automatic rollover?  <i>Legal Services does not recommend automatic rollover</i>	Yes  No	If Yes: what date does the contract manager need to give notice to <b>stop</b> the rollover?  <i>Noticee the responsibility of the contract manager</i>
Sub-contractors  <i>(Will there be any subcontracts under this agreement?)</i>			
UNE approvals (mandatory)			
Budget	The Executive Dean or operational area Director named above has approved the budget and personnel for this contract		

<b>Commercial Activity Rule</b>	This is a commercial activity as defined in the <i>UNE Commercial Activities Rule</i> <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes" Executive Dean / Senior Executive & CEO&VC / UNE Council has approved <input type="checkbox"/> Yes <input type="checkbox"/> No <small>(UNE Commercial Activities Rule <a href="https://policies.une.edu.au/document/view-current.php?id=71">https://policies.une.edu.au/document/view-current.php?id=71</a> to see if a business case is required. Contact UNE Governance for more information)</small>
<b>Financial Approvals</b>	This contract requires VC Tender Committee Approval <input type="checkbox"/> Yes <input type="checkbox"/> No This contract requires Finance & Infrastructure Committee Approval <input type="checkbox"/> Yes <input type="checkbox"/> No This contract requires UNE Council Approval <input type="checkbox"/> Yes <input type="checkbox"/> No If any of the above apply, I <b>must</b> attach a copy of the approval <small>Financial Delegations Rule <a href="https://policies.une.edu.au/document/view-current.php?id=73">https://policies.une.edu.au/document/view-current.php?id=73</a></small>
<b>Procurement Approval</b>	This contract was the result of a competitive procurement process (eg tender or request for quote) <b>OR</b> A Procurement Exemption (RFE) has been obtained from UNE Procurement and is attached
<b>Lease/Licence Approval</b> <small>(leave blank if not a lease or licence)</small>	This is a lease and EBE and UNE Insurance have been consulted and have approved the lease This is a licence to occupy and EBE and UNE Insurance have been consulted and have approved the licence to occupy
<b>Risk Assessment</b> <small>(mandatory)</small>	
<b>Risk assessment</b>	<b>Relevant risks:</b>  <b>Mitigation of risks:</b>
<b>Hazardous materials</b>	Biological materials subject to Biosecurity Import Conditions – the contract involves research or handling of materials that when brought into Australia may require an import permit or quarantine restrictions as set out on the BICON website ( <a href="https://bitcon.agriculture.gov.au">https://bitcon.agriculture.gov.au</a> ) Genetically Modified Organisms (GMOs) – the contract involves handling of substances that contain GMOs subject to the <i>Gene Technology Act 2000 (Cth)</i> Radioisotopes and Radiation Safety – the contract involves handling of substances that contain radioisotopes that are subject to the <i>Radiation Control Act 1990 (NSW)</i> or <i>Nuclear Non-Proliferation (Safeguards) Act 1987 (Cth)</i> Hazardous Substances - the contract involves handling of hazardous substances classified to the <i>Poisons and Therapeutic Goods Act 1966 (Cth)</i>
<b>Foreign entity reporting</b>	Not required: This is not a contract between UNE and a person or entity from another country. <small>(Contact UNE DVCR for a copy of the Foreign Interference Checklist or for more information)</small> Completed: Contract owner has completed the Foreign Interference Checklist and has submitted it to Office of DVCR and has saved it in the contract TRIM file
<b>Defence and Strategic Goods</b>	I have checked the Defence and Strategic Goods List (DSGL) <a href="https://www.defence.gov.au/business-industry/export/controls/assess-apply/self-assessment-tool">https://www.defence.gov.au/business-industry/export/controls/assess-apply/self-assessment-tool</a> and confirm that the goods, software or technology: <input type="checkbox"/> are not the subject of regulatory controls <input type="checkbox"/> are the subject of regulatory controls
<b>Ethics Approval</b>	This is a research contract and will need either human ethics or animal ethics approval
<b>Research Contracts</b> <small>(If the contract is not a research contract, leave this section blank)</small>	
<b>Project title</b>	
<b>Project type</b>	<input type="checkbox"/> Research grant or consultancy <input type="checkbox"/> Travel grant (travel expenses ONLY) <input type="checkbox"/> Fee for service <input type="checkbox"/> Scholarship or student project
<b>Funding source</b>	Funding Body: Is the funding from or sourced by Poultry Hub Australia? Is the funding from a Commonwealth funded research centre (CRC) of which UNE is a participant? Has the UNE DVCR Research Sustainability Fee been built into the budget if applicable?

<b>Student IP</b>	A student will be creating intellectual property		
<b>UNE Student project team members</b>	Name: School: Email: Student ID:	Name: School: Email: Student ID:	Name: School: Email: Student ID:
<b>Student involvement</b>	<p>A student will be accessing confidential information</p> <p>A student will be accessing confidential information about children</p> <p>A student will be employed via the UNE recruitment process to work</p> <p>A student under 18 will be involved</p> <p>The project involves an advertised, competitive student scholarship</p>		

**GIPA Register (mandatory)**

UNE must include contracts (including as varied) with private entities that exceed \$150,000 (incl. GST) on the GIPA register under the <i>Government Information and Public Access Act 2009</i>	The total value of the contract and variations is \$150,000 inc GST or more	Yes	No
	The contract is with a private entity (not with a government dept or agency)	Yes	No
	If ALL of the above are yes, I have completed <b>PART B</b> of this form		

**Signing (Legal Services arranges signing by all parties electronically. Provide details of the other party's signatories.)**

<b>1) First signatory name</b>	
<b>Title</b>	
<b>Email address</b>	
<b>2) Second signatory name</b>	
<b>Title</b>	
<b>Email address</b>	

**CERTIFICATION (mandatory)**

I have read and understood the terms of the contract and am satisfied that it is in the best interests of the University, except as may be otherwise noted above. I recommend the contract for approval and signing.

<b>UNE Project Officer</b>	Signature	Date
<b>Head of School or Director of Operational Area</b>	Signature	Date
<b>Dean or Senior Executive</b>	Signature	Date

**PART B – see GIPA Register section above.  
If all answers were yes, this PART B must be filled in for all contracts with a whole of life value of \$150,000 (inc GST) or more**

**Details for all contracts with a value of \$150,000 or more (insert required information or write N/A)**

<b>Subcontractors to be used by the other party for the contract</b>	Name of Subcontractor: Address of Subcontractor:	
<b>Contract renegotiation</b>		
<b>Price variations</b>		

**Operational or maintenance services**

**Sourcing process**

**Details for all contracts to which any of the following applies:**

- There was no tender process, the contract is not publicly available and the contract has been negotiated directly with the contractor
- There was a tender process and the contract has been negotiated directly with the contractor
- The contract contains an obligation for UNE or the contractor to maintain or operate infrastructure for 10 years or more
- The contract involves a privately financed project as defined by the NSW Treasury guidelines
- The contract involves a transfer of a significant UNE asset to the other party in exchange for a contractor asset  
*(insert required information or write N/A)*

**Transfer of significant assets to the State of NSW**

**Transfer of significant assets to the contractor**

**Cost-benefit analysis**

**Public sector comparator**

**Contractor's full base case**

**Apportioning of risk**

**Guarantees and Undertakings**

**Key Elements**

**For contracts worth \$5 million or more**