Instructions are *green italic*, remove when done.

If red, type there, and font will be correct format.

***Please complete each section in full and as templated to avoid delays in******approval,*** *and ensure all instructions are removed prior to submitting for approval.*

*To be completed and approved prior to approaching the market, extending a contract or awarding a contract. Written approval for an exemption must be obtained:*

* *for any procurement to be conducted outside of Procurement Policy (school-led framework)*
* *for a material change to the Procurement Value, requirement or scope of a procurement or contract that would otherwise require re-approaching the market or using a higher threshold approach than originally used.*

*Ensure that the request includes all potential spend/extensions/scope changes to ensure that approval is based on the total potential requirement and further exemptions will not be requested.*

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| **Exemption Request****(for School-led Projects)** |

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| **The What** |
| **Procurement Title** | [Works Required] for [Type of Project] at [Name of the School] (the School) [K2/Reference number if available] |
| **The Buyer** | School Board for [Name of the School] |
| **The Supplier** | *Add supplier name when using exemption types 1, 3, 4, 6, 7 and 8.* |
| **Exemption Type** | *Select* ***ONE*** *from the following exemption types, and then delete the others.*1. Exemption from open tender to direct source (approach one supplier for a single quote).
2. Exemption from open tender to closed tender (approach at least three suppliers for a quote).
3. Exemption from closed tender to direct source (approach one supplier for a single quote).
4. Exemption from using a panel of suppliers to direct source (approach one supplier for a single quote).
5. Exemption from using a panel of suppliers to closed tender (approach at least three suppliers for a quote).
6. Exemption from using a panel secondary selection process to direct source from a single supplier on the panel.
7. Approval to increase the value of a contract *(if contract has been signed and works underway)* beyond the threshold for the original approach to market.
8. Approval to change the requirement/scope/term of a contract beyond that described in the original approach to market *(if contract is not yet signed and works not underway)*.
 |
| **Exemption Reason***(Must be one of these to meet the Government Procurement Rules. Do not add your own. Rationale section is provided below.)* | *Select* ***ONE*** *of the following exemption reasons, and then delete the others.*1. **Emergency** - unforeseen event or circumstance resulting in actual injury, loss of life and/or critical damage to property or infrastructure (e.g., a major weather event).
2. **Urgent** **situation** – high risk of harm to students or staff (e.g., urgent fencing required to ensure a student’s safety).
3. **Following an open competitive process** advertised within the last twelve months (no supplier met conditions).
4. **Only one supplier** for technical reasons there is no real competition, for intellectual property reasons or a work of art.
5. **Additional requirements** where a change of supplier cannot be made for economic or technical reasons and would otherwise result in significant inconvenience or substantial duplication of cost.
6. **Prototype or pilot** purchased for research, experiment, study, or original development.
 |
| **The Requirement** | * Context of this procurement to the project
* the goods/services/works to be procured
* deliverables, key milestones
* scope and term of the contract
* the capability and capacity required of the supplier to deliver this aspect of the project.
 |
| **The Why** |
| **Background** | Circumstances leading to the exemption request. *For exemptions involving increasing the scope/value/term of an existing contract (exemption type 7 or 8), this should include describing the previous procurement including value and:** date that the original procurement took place
* approach to market method used
* scope of the requirement described in the approach to market
* history of renewals/extensions, variations, scope changes, previous exemptions, etc.
 |
| **Rationale/ Justification** | Explanation of why/how the circumstances and proposed approach justify the reason for the exemption.*For example, details on why it’s urgent, technical reasons why there’s only one supplier, explanation why a change of supplier cannot be made without significant duplication of cost, etc.* |
| **The How** |
| **Proposed Procurement Approach** | Detail the procurement approach to be taken **following approval of** **this exemption,** including:* procurement method
	+ direct source (one written quote)
	+ closed tender (multiple written quotes)
	+ variation/extension/renewal of contract with current supplier
* the potential supplier(s) to be invited to bid and the rationale for their inclusion *(based on your market research)*
* how value for money will be determined *(e.g. comparison of prices with those of similar recent tenders / Project Manager’s experience of market rates, using a cost analyst on your evaluation panel)*
* how the exemption will be limited to a minimum scope/volume/term/value *(e.g. any further requirement beyond that described above will be procured separately through a compliant procurement process / this will be the final extension/exemption for this contract, etc.).*
 |
| **Procurement Value***Refers to value of this procurement only (i.e. if seeking exemption for construction works, do not include cost of professional services related to the project)* | $[amount] Spend to date with same supplier *(if applicable)*$[amount] Spend *(contract value resulting from this procurement only)*$[amount] Contingency *(****minimum 10%****)*$[amount] Potential spend from all possible extensions, renewals, and options to purchase additional goods/services/works**$[amount] Total Procurement Value** *(total all the above values)*[Explanation for make-up of procurement value and how it was estimated (e.g. benchmarked from previous projects, Quantity Surveyor used, etc.)] |
| **Risks** | Describe the risks that relate to the proposed exemption (procurement approach) and how each risk will be treated/managed.*In general, there are always at least three:* * *challenge by other supplier(s) to the proposed approach*
* *quality of the works provided*
* *value for money.*

*Writing ‘there are no risks’ is unacceptable here.*  |
| **Conflicts of Interest** | Everyone involved in the procurement (including as an evaluator) are listed below and have signed a conflict of interest form:* [Name], School Board representative
* [Name], Project Manager, [Organisation]
* [Name, Role], [Organisation]
* [Name, Role], [Organisation]

The following conflicts of interest have been declared: [Nil] *or* [Detail these and detail the Conflict of Interest Management Plan] |
| **Endorsement/Approval** |
| Requested by Procurement Sponsor (Board Representative) | [Signature][Name] [Date] |
| Endorsed by(Property Advisor) | [Signature][Name] [Date] |
| Approved by(Ministry Procurement Advisor/Manager) | [Signature][Name] [Date] |

**Endorsement/Approvals – School Board (school-led) Property Procurement**

All requests must be endorsed by a Ministry Property Advisor.

The endorsing Property Advisor emails the request form to:**SP.Procurement@education.govt.nz**

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| **Procurement Value** | **Endorsement** | **Approval** |
| $100,000 – up to $349,999 | TPHM Property Advisor/Infrastructure Manager  | **Principal Advisor - School Property Procurement** |
| $350,000 or more | TPHM Property Advisor/Infrastructure Manager | **Manager, Infrastructure Procurement**  |