



小额采购工作指导

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文件仅供蔚来内部使用，未经允许严禁外传。

修改记录

版本	修改日期	修改者	主要修改内容
V1.0	2021/09/30	内控部	首次发布
V2.0	2023/01/01	内控部	明确各部门职责； 更新细化定义及要求； 更新小额采购合同审批支持线上功能； 新增回顾管理要求

1 目的

因业务中经常出现快速化、碎片化等特点的采购需求，为了及时响应业务的变化及如实反映变化情况，据此，符合使用条件的采购事项可使用小额采购的敏捷方式且由业务部门直接负责。

2 适用范围

	NIO	New Business
中国	√	√
欧洲	√	√
美国	√	√
其他国家	√	√

3 部门职责

3.1 需求部门

对请购事项是否符合小额采购定义和要求作判断确认，确保小额采购事项的真实合理。必须事先进行申请，并对于小额采购事项的回顾及管理进行配合。

3.2 采购部门

帮助需求部门确认请购事项是否符合小额采购定义，帮助需求部门了解标准采购与小额采购的差异。协助管理小额采购的使用，定期回顾以完善小额采购流程。

3.3 财务部门

确认小额采购请购事项的真实合理且有预算支持。协助进行小额采购的回顾优化。其中，由内控部门主导小额采购的回顾及流程制定。

4 定义及要求

4.1 定义

不含税金额5万以内，且无有效期内的框架合同（包括线上商城）覆盖。（小额采购过程中，对框架合同信息不清晰或有特殊情形时可向采购咨询）。

4.2 要求

原则上小额采购不鼓励针对同一事项多次使用。但其中，UC 店内活动及运营（包括维保）且满足单次事项预算低于 6,000 元人民币时不受次数限制（UD 活动及交付过程中相似类型物料同样适用）。

涉及预付款的小额采购必须与合作伙伴进行合同签订。单次采购金额大于 1 万元人民币或非偶发性的小额采购同样建议与合作伙伴签订合同，且尽可能对公支付。

5 工作步骤

5.1 小额采购流程

5.1.1 采购申请

执行采购前，申请部门在workflow提出“采购申请”（PR），选择“小额采购”类型，对请购事项是否符合定义和要求作判断确认。如已经和采购员进行过询问及确认，则一并附上邮件等确认信息。UC店内活动需注明人均费用。

5.1.2 供应商选择

执行采购前，申请部门需对价格的适当性做出合理判断（尽可能进行询比价），相关信息可在提出采购申请时一并上传。

5.1.3 供应商创建

（对公支付时）如发现供应商不在现有供应商库中，需求部门须提出创建申请，邮件向内控部门公邮 Internal.control@nio.com 提交并注明下述信息：

- 支付方式信息：预付款比例（如涉及）
- 蔚来方记账公司全称(如，上海蔚来汽车有限公司)；
- 合作伙伴公司名
- 合作伙伴公司联系人名
- 合作伙伴联系人电话
- 合作伙伴联系人邮箱(企业邮箱)

5.1.4 合同创建

如需创建合同，需求部门在workflow提出“合同用章”申请，选择“小额采购”合同模板类型，进行合同审批，并与供应商进行签署或电子签署。（蔚来海外公司暂未上线此功能，需求部门可使用其他合同审批系统或者进行线下审批）。

5.1.5 付款

需求部门在WF提交付款申请时需同时上传发票、验收单（或同等效力单据）、合同（若涉及）等必要单据，并确认其与实际收货（接受服务）及金额的匹配性，应及时提交付款申请。

5.2 回顾与优化

内控部门与FBP及采购部门将季度性回顾小额采购事项进行共同管理，对于一年内反复采购的供应商，应纳入标准采购流程，由采购部门进行统一采购。针对滥用小额采购的事项，公司有权进行追责。

- 结束 -



Guidance on Petty Cash Purchasing

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Revision History

Version Number	Date Updated	Revision Author	Summary of Major Changes
V1.0	2021/09/30	Internal Control	Initial Version
V2.0	2023/01/01	Internal Control	Clarified the responsibilities of each department Updated detailed definitions and requirements Updated contract approval method for online Added detective review requirements

1 Purpose

Many purchase requirements are urgent, scattered and need to be approved swiftly. Therefore, to track and respond to business changes and reflect them accordingly, business departments can directly make petty cash purchases when conditions are met.

2 Scope

This guideline applies to below brands and countries:

	NIO	New Business
China	√	√
Europe	√	√
US	√	√
Other Countries	√	√

3 Definition of Responsibility

3.1 Department of Demand

Make judgment and confirmation on whether the requisition meet the definition and requirements of petty cash purchasing. To ensure the authenticity and reasonableness of purchase items. Must apply in advance and cooperate with the detective review and management.

3.2 Department of Procurement

Help the demand department to confirm whether the requisition applies to the definition and help the demand department to understand the difference between standard purchasing and petty cash purchasing. Assist in managing the use of petty cash purchasing by regular review to improve the process.

3.3 Department of Finance

Make sure the petty cash purchasing requisition is true and fair with enough budget. Assist in the review and optimization of petty cash purchasing. The internal control department leads the review of petty cash purchasing and the detective mechanism.

4 Definition and Requirements

4.1 Definition

Within RMB 50,000 not including VAT, and there is no valid frame contract to support including internal online purchasing platform. (When unclear about condition of frame contract or facing complicated situations, you may ask purchasing team to make a judgment).

4.2 Requirements

In principle, petty cash purchasing is not encouraged to be used multiple times. But there is no frequency limit for UC in-store activities and operations (including maintenance) when the single case expenditure is less than RMB 6,000 (it also applies to similar materials used in UD activities and deliveries).

Petty cash purchasing involving advance payments must be contracted. It is highly recommended to sign a contract with the vendor for multiple times purchasing or the total amount over 10,000 RMB. It is also recommended to pay between companies' public account.

5 Procedures

5.1 Purchasing Process

5.1.1 Purchase requisition

Before making a purchase, demand departments submit a Purchase Request (PR) in Workflow and confirm whether the requisition items meet the definition and requirements. If applicant has already inquired and confirmed with the buyer, please attach email and other confirmation information. Please specify the cost per capita if it is a UC in-store activity.

5.1.2 Vendor selection

Before making a purchase, demand departments should evaluate the rationality of the price and submit PR with evaluation (with quotation information is the best).

5.1.3 Vendor registration

When pay through company account, make sure the vendor has been registered in Company Vendor Pool first. If not, demand departments need to submit an application to

the Internal Control department via email (Internal.control@nio.com) with below information:

- Payment method information: prepayment ratio (if applicable)
- Full name of bookkeeping Company
- Name of vendor
- Contact name of vendor
- Vendor contact number
- Vendor contact email (corporate email)

5.1.4 Contract creation

When necessary, the demand department applies for "contract seal" on workflow when necessary, selects the contract template type of "petty cash purchasing", conducts contract approval, and signs (or e-signs) with vendor. (NIO overseas companies have not yet launched this function. The demand departments can use other contract approval systems or offline approval).

5.1.5 Payment

When the demand departments apply payment application in WF, the invoice, receipt (or equivalent documents), contracts (if involved) and other necessary documents need to be uploaded. And applicants need to confirm matching with actual quantity and amount of receipts. The payment applications need to be submitted in time.

5.2 Timely Review

The Internal Control department, FBP and the Purchasing department will jointly review petty cash purchases regularly. For vendors from which NIO purchases repeatedly within 1 year, the Purchasing department shall consider including them to standard purchasing process. Any misuse of petty cash purchase will be investigated, and relevant parties will be held responsible.

- The End -