



# Quotations, Tenders & Requests for Proposals (RFP) Policy

[PUR004]

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# Quotations, Tenders & RFPs

## Contents

1. Objective.....	3
2. Scope .....	3
3. Definition.....	3
4. Applicable to .....	3
5. Procedures .....	4
5.1 Quotations .....	4
5.2 Tenders / RFPs .....	4
6. Related Legislation, Policies, Guidelines and Practices .....	9
7. Implementation Responsibility .....	9
8. Deviations.....	13
9. Contact .....	13

## Acronyms

<b>B-BBEE</b>	Broad-Based Black Economic Empowerment
<b>CFO</b>	Chief Financial Officer
<b>ED</b>	Executive Director
<b>HOD</b>	Head of Department
<b>ICTS</b>	Information & Communication Technology Services
<b>PPS</b>	Procurement & Payments Services, a division of the Finance Department
<b>PURCO</b>	Purchasing Consortium
<b>RFP</b>	Requests for Proposals
<b>SAP</b>	UCT's Finance System

## 1. Objective

To provide clarity on the UCT Quotation, Tender and RFP policy to ensure that processes are in place to:

- comply with all UCTs purchasing policies,
- to ensure that risks are effectively managed and
- that the interests of UCT are protected.



*UCT undertakes to procure goods in a system which is fair, equitable, transparent, competitive and cost-effective to protect its risks.*

## 2. Scope

Includes all goods and services procured using UCT funds in accordance with the purchasing threshold values and delegations of authorities, but can be used for any purchases, even if below the aforesaid threshold values.

## 3. Definitions

**Quote, Tender or RFP:** a written offer in a prescribed format, which arises from a request to a vendor for the provision of goods or services which may include an open or closed quote, tender or RFP.

- **Open quote, tender or RFP:** allow potential vendors to bid for the business.
- **Closed quote, tender or RFP:** allow selected vendors who have been identified, as potential service providers to UCT, for an agreed period for specialised services, including but not limited to electrical, plumbing, ICTS licenses, data cabling and building contractors to bid for the business.
  - This form of tendering is also used in cases where the market has been tested and it is proven as a fact that there are only a few prospective service providers that are able to make a proposal.
- **Tender** may also refer to RFP or quote.

## 4. Applicable to

The policy applies to all funding administered by UCT, irrespective of source, and to anyone involved in the process of procuring goods or services for or on behalf of UCT.

## 5. Procedures

### 5.1 Quotations

Using the Quotation summary sheet [MM025] and Quotation form [MM024], quotations should follow the same principles as the tender process viz:

- Ensure the process is fair and equitable
- Provide the same information to all parties
- Stipulate closing time
- Maintain confidentiality of pricing
- Keep quotes and summary sheet on file for audit purposes
- Where the vendor selected is:
  - not on SAP, the successful quotation and summary sheet must accompany the invoice, purchase order, [MM010] (with required authorisation) for payment.
  - on SAP, the successful quotation and summary sheet must be available on request.

### 5.2 Tenders / RFPs

#### Tender Register

Once a request has been identified, a tender number is issued by PPS and recorded in the Tender Register using the standard PPS template.

#### Prepare Tender Documents

Tender documents must strive to address two main elements, namely the technical and commercial aspects of the specific requirements.

- **Technical Aspects**

The technical aspects are the primary responsibility of the user department or the end user of the goods or services that are required.

The technical aspects include, but are not limited to:

- the detailed specifications and description of the goods or services to be supplied or scope of work,
- location, and
- methodology of application.



*Care must be taken that specifications are not written to favour a particular vendor or brand.*

- **Commercial aspects**

The commercial aspects are the responsibility of PPS, with assistance from subject matter experts appointed by the CFO.

The commercial aspects include:

- price schedules
- payment terms
- guarantees
- mandatory legislative compliances

## Inviting tenders

The complexity or the nature of the service or the goods required, will determine the time allowed for the preparation and submission of tenders. Generally, a period of 28 days is allowed from date of advertisement to date of tender submission. Mandatory briefing sessions may be scheduled during this period. Open tenders are advertised in the national media, e.g. Weekend Argus, Mail and Guardian, Sunday Times.



*UCT reserves the right to request vendors to submit tenders by means of the 'two envelope' (sealed) method: one envelope detailing functionality, the other specifying price and B-BBEE status. Failure to meet functionality requirements as submitted in the first envelope would eliminate the tenderer from further consideration.*

## Receiving tenders

All tender submissions must be submitted to [tenders@uct.ac.za](mailto:tenders@uct.ac.za). Late tenders will not be considered.

In the event of an error in the submission by a tenderer, quotations and tenders may be amended or withdrawn by such tenderer up to the closing date and specified time in the tender document. Thereafter, in the event of an error, quotations and tenders may not be amended but may be withdrawn prior to acceptance. The names of tenderers and the cost proposals must be recorded in the Tender Register and the pages of the cost proposal of the tender documents must be signed by a PPS staff member.

## Evaluating tenders

The tender evaluation process can be a one- or two-phase process, depending on the complexity and/or specific requirements of commodities or services.

### First Phase

During the first phase of evaluation, all submissions will be evaluated based on functionality as per the evaluation criteria below.



*The minimum qualifying score for functionality must be agreed upon by the Tender Specification Committee prior to advertisement and should be made known to all tenderers through the advertisement or the tender documents.*

### Example of first phase functional evaluation

Evaluation criteria (but not limited to)	Weighting / 100	Score (1 - 5)	Final score ( / 500)
Relevant experience in providing goods and service to tertiary institutions	20	1	20
<b>Competency assessment</b>			
• Track record (References)	10	4	40
• Understanding of scope of work in tenderer responses	30	4	120
• Management & resource capacity	15	2	30
• Professional body / business standards / associations	5	2	10
• Methodology and the implementation thereof	15	5	75
• Submission of information in respect of industry specific requirements	5	5	25
<b>Total score</b>	<b>100</b>	<b>Max 5</b>	<b>320 / 500 (64%)</b>

### Second Phase

During the second phase evaluation, the successful tenderers attaining the minimum qualifying score, will be further evaluated based on the 80/20 or 90/10 preference point system indicated in the [Purchasing Threshold](#) policy, depending on the total value of the tender. In the unlikely event where the tenderer with the highest score is not awarded the tender, the reasons must be documented by the Tender Adjudication Committee.

Depending on whether the 80/20 or the 90/10 preference point system is being applied, the points awarded for B-BBEE compliance, are noted in the [B-BBEE Preferential Procurement](#) policy.

The following formula for second phase evaluation is used to calculate the points for price in respect of tenders and quotations:

$$Ps = 80 \left( 1 - \frac{Pt - P_{min}}{P_{min}} \right) \quad \text{or} \quad Ps = 90 \left( 1 - \frac{Pt - P_{min}}{P_{min}} \right)$$

Where:

Ps = Points scored for comparative price of tender or offer under consideration

Pt = Comparative price of tender or offer under consideration

P min = Comparative price of lowest acceptable tender or offer

Depending on the preference point system used, the B-BBEE points per the table, are added to the result of the formula above.

Based on the overall points, the Tender Evaluation Committee decides on a shortlist.

Shortlisted service providers may be requested to make a presentation to the Tender Evaluation Committee. Copies of all presentations must be kept for record purposes.

The Tender Evaluation Committee then makes a recommendation to the Tender Adjudication Committee.

## Adjudicating tenders

The Tender Adjudication Committee considers the recommendation of the Evaluation Committee in conjunction with any supporting documentation provided. The Tender Adjudication Committee decides to either approve/reject or revert to the Evaluation Committee for further clarification.

Should the Tender Adjudication Committee request further clarification, it will refer the matter back to the Evaluation Committee. Once such information is obtained from the Evaluation Committee, it will be submitted to the Tender Adjudication Committee for further consideration.

In the event of rejection, the Tender Adjudication Committee will provide reasons and make appropriate recommendations to the Evaluation Committee.

Should the recommendation of the Evaluation Committee be approved, the Tender Adjudication Committee, depending on its delegated authority, will convey its decision to Council/Exco or authorise the relevant ED or Dean to enter discussions with the successful tenderer.



## Appointing and awarding tenders

PPS is responsible for facilitating post tender negotiations and assists with drawing up a commercial contract in the best interest of UCT.

- PPS advises the successful tenderer of intention to enter into an agreement. (Letter of Intent)
- UCT enters into a formal agreement with the successful tenderer.
- PPS advises and debriefs unsuccessful tenderers if requested.

## 6. Related Legislation, Policies, Guidelines and Practices

- Purchasing [\[PUR003\]](#)
- Delegated of Authorities [\[GEN002\]](#)
- Threshold values for purchasing procedures [\[PPP002\]](#)
- Broad-Based Black Economic Empowerment (B-BBEE) [\[PUR005\]](#)
- Purchasing Card (PCard) [\[PUR002\]](#)
- Libraries Acquisition of Information Resources [\[PUR008\]](#)
- Asset [\[AST001\]](#)
- [Conflict of Interest](#)
- Acceptance of gifts [\[GEN009\]](#)
- [Quick guide to Sourcing and Tendering](#)

## 7. Implementation Responsibility



### Quotations

Prospective vendors must be identified from the PURCO vendor list. Alternatively, the PPS Vendor Management department can be contacted for potential vendors.

### Tenders / RFPs

PPS facilitates the tender process with committees, comprising relevant stakeholders as defined in the table below. A servicing officer, appointed by the chair of the respective committee, must record minutes of each meeting as well as ensure that all members of each committee sign the Conflict-of-Interest register.

Responsible Party	Responsibilities
<p><b>PPS</b></p> <p>Represented on all committees</p>	<ul style="list-style-type: none"> <li>• Facilitates the tender/RFP process by: <ul style="list-style-type: none"> <li>○ advising the user department on drafting of specifications;</li> <li>○ determining timelines and processes; and</li> <li>○ providing policy advice.</li> </ul> </li> </ul>
<p><b>Specification Committee</b></p> <p>Appointed by the responsible ED/ Dean, comprising members of user department and subject matter experts (external to the department)</p>	<ul style="list-style-type: none"> <li>• Ensures the compilation of unbiased specifications and/or terms of reference i.e. may not refer to: <ul style="list-style-type: none"> <li>○ brand/name</li> <li>○ trademark</li> <li>○ patent</li> <li>○ design/type</li> <li>○ specific origin/ manufacturer, unless there is no other way of describing the characteristics of the work, in which case such reference must be accompanied by the word 'equivalent'.</li> </ul> </li> <li>• Draws up measurable evaluation criteria.</li> <li>• If applicable, includes special conditions in respect of the goods or service.</li> </ul>

Responsible Party	Responsibilities
<p><b>Evaluation Committee</b></p> <p>Appointed by the responsible ED/ Dean, comprising members of user department and subject matter experts (external to the department)</p> <div data-bbox="145 607 213 685"></div> <p><i>Membership of the Evaluation Committee may include members of the Specification Committee</i></p>	<ul style="list-style-type: none"> <li>• Evaluates tenders in accordance with agreed criteria for tender: <ul style="list-style-type: none"> <li>○ Compliance with conditions</li> <li>○ Compliance with specifications</li> <li>○ Consideration of latent factors that might influence the award</li> <li>○ Comparison of prices and allocation of preference points</li> <li>○ Checking for completeness and technical correctness</li> <li>○ Checking all other registers for completeness and correctness e.g. site visits, briefing sessions</li> <li>○ Verifying vendor details</li> <li>○ Verifying claims in terms of preference points and status</li> <li>○ Awarding points in terms of preference points and status</li> <li>○ Calculating points awarded</li> <li>○ Completing a list of tenderers</li> </ul> </li> <li>• Submits a report and recommendations the Tender Adjudication Committee</li> </ul>
<p><b>Tender Adjudication Committee</b></p> <p>Appointed by Council/Exco, ED, Dean or HOD subject to term and/or value of goods or services [<a href="#">GEN002</a>]</p> <div data-bbox="145 1693 213 1771"></div> <p><i>No member of the Evaluation Committee may be a member of the Tender Adjudication Committee</i></p>	<ul style="list-style-type: none"> <li>• Considers the report and recommendations of the Evaluation Committee</li> <li>• Ensures that: <ul style="list-style-type: none"> <li>○ All necessary documents have been submitted</li> <li>○ Disqualifications are justified</li> <li>○ Scoring is fair</li> <li>○ Declarations of interests have been considered</li> </ul> </li> <li>• Depending on its delegation, makes a final award or recommendation as per the delegated authorities.</li> </ul>

## 8. Deviations

Deviations to this policy will be considered, however, such application for deviation [\[MM026\]](#) must be authorised by CFO or nominee. A motivation for the deviation must be provided.

Conditions under which UCT may negotiate with vendors for the purchase of goods or services without having to follow the formal quotation/tender/RFP process detailed in this policy include, but are not limited to, when:

- goods or services can only be supplied by a particular vendor due to:
  - no reasonable alternative or substitute existing; or
  - patent or copyright issues; or
  - the absence of competition for technical reasons.
- unforeseen events or emergencies and the urgency to obtain certain goods or services where these goods or services could not be obtained by means of the formal quotation/tender/RFP process;
- a change of vendor would compel UCT to obtain spare parts or additional equipment or services that are not compatible or interchangeable with existing equipment or services which were obtained from an original vendor;
- where the closed tender is above R5 000 000;
- UCT can purchase under exceptionally advantageous conditions which are only available for a short period. This provision covers the following circumstances:
  - unusual disposals (e.g. auctions and sales) by firms that are not normally vendors; or
  - disposal of assets or businesses in liquidation or receivership.

### **Research exclusions:**

- Application for deviation shall not be required where:
  - the providers of research funds have specified the suppliers and brands of goods and services; or
  - the suppliers and brands of goods and services are stated in research contracts; or
  - end users making use of existing contracts procured by other state enterprises or institutions.

## 9. Contact

Senior Contracts Manager  
Tenders and B-BBEE  
021 650 3751