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Purchasing and Tender Policy and Procedure



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PURCHASING AND TENDER POLICY AND PROCEDURE

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SU governance and management documents are available at www.sun.ac.za/policies.

¹ Owner: Head(s) of responsibility centre(s) in which the policy operates.

² Curator: Administrative head of the division responsible for the implementation and maintenance of the policy.

9. PURCHASING AND TENDER POLICY AND PROCEDURE

Policy number: Finance Committee 24/04/2009

Scope: The policy stipulates the financial guidelines and procedure with regard to purchasing goods and services and obtaining tenders.

CONTENTS

-
- A. POLICY FOR CENTRALISED PURCHASING MANAGEMENT
 - B. SUMMARY OF PURCHASING POLICY
-
- 1. BBBEE, ENVIRONMENTAL STATEMENT AND LABOUR PRACTICES
 - 2. PURCHASING THRESHOLDS FOR QUOTATIONS AND TENDERS
 - 3. QUOTATIONS
 - 4. TENDER POLICY AND PROCEDURE
 - 4.1 Policy: Determining responsibility
 - 4.2 Procedure at commencement of tendering
 - 4.3 Regulations of the tender committee
 - 4.4 Procedure on receipt of tenders
 - 4.5 Procedure at the opening of the tender box and tenders
 - 4.6 Evaluation of tenders that need not be submitted to the tender committee
 - 4.7 Evaluation of tenders to be submitted to the tender committee
 - 4.8 Timing and return dates for tenders – shortest possible options
 - 4.9 Recommendations, decisions, confirmations and notification
 - 4.10 Samples
 - 4.11 Negotiations with the tenderer
 - 4.12 Sole tenderers
 - 4.13 Communicating with tenderers
 - 4.14 Procedure following the approval of tenders
 - 4.15 Urgent tasks
 - 4.16 Amendment or extension of accepted tenders after approval
 - 4.17 List of approved suppliers
 - 4.18 Sole tender documents
 - 4.19 Repeat purchases
 - 4.20 Availability of documents
 - 4.21 Accounting responsibilities relating to projects
 - 4.22 Alteration of tender documents and applications
 - 4.23 Responsibilities in the tender process

- 4.24 Compilation of contract tender lists for individual projects
- 4.25 Tender procedure and awarding of tenders with regard to projects (Facilities Management)
- 4.26 Formal nomination and appointment procedure with regard to consultants on Facilities Management projects
- 4.27 Approval of the appointment of ad hoc consultancy services for capital, maintenance and minor works projects only

5. GENERAL PURCHASING

- 5.1 Items with a purchasing price of less than R1 000
- 5.2 Capital goods (asset items)
- 5.3 Consumable goods and services

6. CONTRACTS AND STANDARDISED GOODS

- 6.1 Bookings for air travel
- 6.2 Car rental bookings
- 6.3 Printing
- 6.4 Multifunction units, photocopiers and network-based printers (MFPs)
- 6.5 ICT equipment
- 6.6 Furniture and equipment
- 6.7 Items that reflect any SU or associated SU marks (excluding print and graphics)
- 6.8 Short-term letting of facilities
- 6.9 Software

7. DELIVERY OF, AND PAYMENT FOR, GOODS AND SERVICES

8. GENERAL

- 8.1 Inventory control
 - 8.2 Purchasing of goods and services
 - 8.3 SU suppliers list
-

A. POLICY FOR CENTRALISED PURCHASING MANAGEMENT

The management strategy of Stellenbosch University (SU) entails the decentralisation of decision making and capacities as much as possible within a centralised management and coordinating structure. The **purchasing function** of Stellenbosch University is, however, managed by a **centralised Purchasing and Provision Services Division**, and provisioning and its control is computerised. The policy and system require that **all purchases** be channelled to the central office for purchasing to be coordinated and administered. An **official university order**, as issued or confirmed by computer by an authorised buyer on behalf of the Chief Operating Officer, **is therefore the only means by which the University can be bound to a purchase, service or lease transaction.**

Stellenbosch University is a corporate body and can therefore be bound by contractual rights and obligations.

The University Council has decided that the following officials, in terms of delegated authority and responsibility, may sign contracts on its behalf:

- The Rector
- The Chief Operating Officer
- The Chief Director: Finance

No other staff member, department, division, bureau or institute is thus authorised to enter into a contract on behalf of SU, with the exception of research contracts. All research contracts must still comply with this policy.

For research contracts, separate delegations are in place and are subject to the Research Contracts Policy. The delegations are based on contract amounts. Delegated authority is granted to the Deputy Vice-Chancellor: Research, Innovation and Postgraduate Studies and deans. Only where specific delegations are in place, vice-deans (research), directors of specific schools and heads of department have signing authority.

The complete policy for research contracts is available from the Division of Research Development (DRD). The DRD should be contacted before any research contracts are negotiated or signed. All prospective contracts in terms of which services or goods are purchased must comply with this policy, and the Purchasing and Provision Services Division must be approached for approval before such contracts are signed or purchases are made.

A centralised purchasing division ensures that buyers negotiate the right goods and services in cooperation with clients at the most advantageous prices and conditions for all departments and divisions of the US. **This** makes it possible for staff in departments and divisions to concentrate **on their own core tasks.**

B. SUMMARY OF PURCHASING POLICY

The official Purchasing Policy of Stellenbosch University applies to all purchasing of goods and services from funds managed SU or held in trust, from all suppliers on the University's preferred service providers database.

- All requests for goods and services at SU have to be made by means of an official SU order.
 - No goods or services may be delivered by preferred service providers if they are not in possession of an official SU order.
 - No goods or services may be purchased and paid for by means of a personal payment to be claimed from SU at a later date. Please see section 5.1 for exceptions.
 - SU reserves the right to refuse repayment for any personally incurred expenses for goods and services required for official SU purposes.
 - The Purchasing and Tender Policy and Procedure depends heavily on the Rules in respect of Delegated Authority and Responsibility. Any deviation from the policy must be preapproved in terms of the Rules in respect of Delegated Authority and Responsibility.
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1. **BBBEE, ENVIRONMENTAL STATEMENT AND LABOUR PRACTICES**

The purchasing and tender policy stipulates financial guidelines, processes and procedures to meet legislative requirements.

1.1 **Policy**

- The purchasing and tender process will be fair, equitable, impartial, transparent, competitive and cost-effective, offering an opportunity in an ethical manner to all service providers, representative of all communities, without discrimination on the basis of race, gender or physical disability, to do business with SU.
- No compromise regarding quality, standards, services and prices will be allowed.
- In terms of tenders, BBBEE must be an evaluation criterion for all domestic purchases.
- For all tenders for domestic purchases more than R1 500 000, the tenderer must supply an environmental and labour practice statement to qualify as a tenderer, to be considered by the tender committee.

1.2 **Points awarded**

1.2.1 **Tenders up to R50 000 000**

- For tenders up to R50 000 000, the BBBEE weighting is 20%, and points will be awarded as follows:

BBBEE status	Points
1	20
2	18
3	14
4	12
5	8
6	6
7	4
8	2
No BBBEE status	0

1.2.2 **Tenders above R50 000 000**

- For tenders above R50 000 000, the BBBEE weighting is 10%, and points will be awarded as follows:

BBBEE status	Points
1	10
2	9
3	6
4	5
5	4
6	3
7	2
8	1
No BBBEE status	0

2. PURCHASING THRESHOLDS FOR QUOTATIONS AND TENDERS

Capital goods (furniture and equipment), consumable goods and services:

- R 0 - R 5 000 No quotes required
- R 5 001 - R 20 000 At least one written quotation
- R 20 001 - R 100 000 At least two written quotations
- R 100 001 - R 500 000 At least three written quotations
- R 500 001 - R1 500 000 At least three written quotations (sealed, see 3.3 below) or tenders, depending on the evaluation criteria
- R1 500 001 and above Tenders

Building and construction work, landscaping, minor capital work & immovable equipment:

- R 0 - R 5 000 No quotes required
- R 5 001 - R 20 000 At least one written quotation
- R 20 001 - R 100 000 At least two written quotations
- R 100 001 - R 500 000 At least three written quotations
- R 500 001 - R1 500 000 At least three selective tenders/three written quotations (sealed) from the approved suppliers list.
- R1 500 001 and above At least five selective tenders from the approved suppliers list.

Please note that the above thresholds are applicable to the total value of an order and not to the individual item value of an order. Above mentioned thresholds are applicable to all external purchases. In terms of internal purchases, the thresholds are only applicable to purchases above R500 000. A detailed explanation of the applicable quotation and tender procedure follows below.

Ad hoc professional consultancy services for capital, maintenance and minor works projects only:

- R 0 - R 2 000 No quotes required
- R 2 001 - R 50 000 At least one written quotation
- R 50 001 - R 150 000 At least two written quotations

Please note: Appointments above R150 000 to follow formal appointment process regulated under item 4.27.

SU vehicles

A minimum of three quotations must be obtained at all times and are obtained by the Purchasing and Provision Services Division in collaboration with the Division of Transport Services. If possible, one quote should be obtained from a local agent. If the local supplier is less than R2 000 more than the lowest quotation received, the vehicle may be bought from the local supplier.

Private purchases on the SU car scheme or in own name

Personnel may seek the assistance of the Division of Transport Services with the obtaining of quotations. Obtaining quotations in this regard is not compulsory.

Entertainment and accommodation

Entertainment and accommodation costs are not subject to the above thresholds but are dealt with in terms of the limits contained in the Entertainment Policy (4.5) and the Travel and Accommodation Policy (4.9).

Conference, seminar, events and course costs

Certain costs are not subject to the above thresholds but should be affordable in terms of the relevant budget. The following costs are not subject to the above thresholds:

- Meal and accommodation costs are not subject to the above thresholds but are dealt with in terms of the limits contained in the Entertainment Policy (4.5) and the Travel and Accommodation Policy (4.9).
- Hiring of facilities
- Cost of facilitators, presenters and entertainers

Academic textbooks

The purchase of academic textbooks in excess of R1 500 000 does not have to be placed on tender. Three sealed quotations must be obtained.

Television sets and cell phones

All purchasing of televisions and cell phones must be done in collaboration with the Division of Financial Services to ensure compliance with legislative and operational management requirements.

Sole providers

If a product or service is supplied by a sole provider, the necessary proof must be submitted.

3. QUOTATIONS

- 3.1 Sealed quotations and tenders are obtained by means of a standard quotation or a standard tender document that is available from the Purchasing and Provision Services Division. This document makes provision for specific conditions for support, installation, guarantees, maintenance, etc., and has to be produced on request from the auditors, among others, and made available for control purposes. All sealed quotations must be attached to the requisition loaded on the financial system.
- 3.2 Quotations must be obtained according to purchasing thresholds.
- 3.3 A sealed quotation is a written quotation received in a sealed envelope or electronically from a service provider. The sealed quotation must be sought by the Purchasing and Provision Services Division. Written quotations are obtained by either the department itself or the Purchasing and Provision Services Division at the request of the department concerned. The sealed quotations are opened and checked by the Purchasing and Provision Services Division and submitted to the department in question. The department, in conjunction with the Purchasing and Provision Services Division, decides on a suitable quotation. At this point, a requisition is entered into the SU system. All quotations must be uploaded onto the system. Any request for extension of the submission date for closed quotations must be in writing by the requestor and be reviewed and approved by the relevant department and the Purchasing and Provision Services Division.
- 3.4 Sealed quotations for goods and services must be obtained from suppliers on the preferred suppliers list, wherever possible.
- 3.5 The person who requires the goods or services is free to obtain quotations; the Purchasing and Provision Services Division will not be bound to such quotations and will be free to obtain further quotations as may be necessary.
- 3.6 Written quotations are solicited by either the department itself or by the Purchasing and Provision Services Division at the request of the department concerned, before a requisition is entered onto the SU system. The requisition should provide relevant details regarding the required goods and services, e.g. quantities, specifications, etc. The Purchasing and Provision Services Division checks and approves the requisition if it satisfies all the requirements of the purchases policy and if the product meets all pricing and quality standards.
- 3.7 Quotations must provide a detailed explanation of the specific job, goods or service to be provided, as well as the type of material, surfaces and trade names of goods that have to be used or provided.
- 3.8 The Purchasing and Provision Services Division will decide on a successful supplier in consultation with the department, division, project leader or person that requires the goods or services. Should a dispute arise, the quotation will be allocated in consultation with the Director: Financial Planning and Budgeting. Departments or divisions should provide details and specifications for goods or services to the Purchasing and Provision Services Division in good time for budgetary or ordering purposes, so that there is sufficient time to do the necessary product and market research, locally and/or overseas.

Minimum periods for this process are as follows:

Local quotations	At least two weeks
Overseas quotations	At least four weeks
Local/overseas tenders	At least six weeks
Local capital project tenders (Facilities Management)	At least 10 working days

(Physical emergency services are excluded)

- 3.9 Departments or divisions should not directly contact local or foreign agents out of hand if a costly purchase or lease transaction is planned and may definitely not finalise any purchase before an official purchase number has been issued. The Purchasing and Provision Services Division has access to manufacturers (local and overseas) who supply directly to SU and of whom departments and divisions may be unaware. If agents and representatives become involved before the

manufacturers have been approached directly; the possibility arises that negotiations may be disturbed and impeded to SU's detriment.

- 3.10 Quotations must be signed by suppliers. However, this will not be necessary if the quotation was received electronically. Stamped signatures on quotations and tenders are not acceptable.
- 3.11 All written quotations for purchases above R5000 must be uploaded to financial system.
- 3.12 There might be instances where it is not possible or necessary to obtain the required number of quotations or tenders, e.g. publicity items by sole or limited-service providers and third parties, or standardised items that might jeopardise guarantees. In cases such as these, and with the prior approval of the Director: Financial Planning and Budgeting, the number of quotations or tenders sourced may be limited. Departments will have to give a detailed motivation for deviating from the policy. The department concerned must upload to the SU system their motivation as well as the approval given. If it is a sole provider with the necessary proof, additional quotations do not need to be obtained, and in the instance of tenders, a sole tender will be done.
- 3.13 All relevant documentation received by Purchasing, including invoices, guarantees and additional quotations, will be returned to the department concerned for uploading to the SU system with any requisition request.
- 3.14 All quotations should be sourced at the same time, and all quotations older than one month shall be invalid and must be replaced with new quotations. All quotations obtained by a department must be uploaded to the SU system. An attempt must be made to spread purchases evenly among suppliers in instances where quotations or tenders are equal in value.

If more than one quotation has been obtained but have expired as a result of the period of validity having been exceeded, the lowest bidder shall be approached to confirm whether the price would be valid for a further period. The confirmation must be done within 30 days after the quotation lapsed. If the validity of the price is confirmed, the process of placing an official order may continue; if not, the process shall be repeated – i.e. new prices have to be obtained from all bidders.

4. TENDER POLICY AND PROCEDURE

4.1 Determining responsibility

- 4.1.1 All tenders are centrally administered and obtained by the Purchasing and Provision Services Division on the standard SU tender document that describes specific terms and conditions of SU tender purchases.
- 4.1.2 Tenders from preferred service providers will be obtained according to purchasing thresholds and the minimum lead period for tenders as defined in the purchasing policy and procedure.
- 4.1.3 All hard-copy tender documents must be returned to the Purchasing and Provision Services Division. Original hard-copy documents will be filed for five years.
- 4.1.4 The Purchasing and Provision Services Division is responsible for purchasing all goods and services, locally as well as internationally.
- 4.1.5 The purchasing function is specification driven.

4.2 Procedure at commencement of tendering

- 4.2.1 Departments and divisions, professional teams, project leaders and other persons who may be involved in the process must plan their activities so that sufficient time will be available for the Purchasing and Provision Services Division to conduct the tender process. Before any tender process commences, the Purchasing and Provision Services Division must receive written confirmation that all expenses that may possibly be incurred have been approved in principle.
- 4.2.2 A detailed written document must at all times be drafted to indicate quantities, specifications and other information, such as drawings, measurements, etc., of goods and services for which tenders are requested. Details of samples or prototypes that are to be submitted by the tenderer must also be explained. This document will be known as the specifications document. The project leader or person who is authorised to request the goods or services to be purchased bears the responsibility for this.

The specifications document must be approved and signed by the person who has the capacity to authorise the expenditure. The specifications document may be compiled by a tenderer or prospective tenderer in exceptional cases only, with the agreement of the tender committee. If necessary, a consultant or his/her associate may compile the specifications document, but this person may tender or be involved with the tender in exceptional cases only and with the approval of the tender committee.

The specifications document must contain sufficient details of the specific goods or services desired. Specification documents may not give preference to certain brands or providers. The tender process cannot be initiated if full specifications are not submitted in writing.

The detailed specifications document must be handed in for the Purchasing personnel to be able to initiate the correct tender procedure. A target date for the delivery of goods must also be indicated, if possible.

The specifications document must be submitted to the buyer.

- 4.2.3 The nature of the eventual contract must be determined, e.g. year contract, service contract, repairs, maintenance, etc., and must be entered as such in the tender register.
- 4.2.4 The Purchasing and Provision Services Division allocates a tender number and description to the tender and enters these details into the tender register. Tender numbers must start on the number one (1) each year and follow on from there. The number is followed by a forward slash (/) and the year (e.g. 13/2000). If the tender is done on Oracle Cloud Financials, the system will allocate the tender number. For capital projects executed by Facilities Management, that division will allocate a unique tender number.

- 4.2.5 The tender committee will determine the starting date for the tender. For capital projects executed by Facilities Management, the Director: Facilities Operations and/or Project Management Office will determine the tender commencement and closing dates.
- 4.2.6 The Purchasing and Provision Services Division will determine the closing date for the tender in conjunction with the chair of the tender committee. The closing date must afford the tenderer a reasonable amount of time.
- 4.2.7 The Purchasing and Provision Services Division will determine the date until which tenders must be binding for acceptance and indicate this date in the tender document. The tender should be binding for acceptance for at least two calendar weeks following the date for the acceptance of tenders. (Reason: Should the successful tenderer be unable to perform or deliver for whatever reason, or should there be any delay in the process, the second-best candidate may be selected as the successful tenderer without necessarily having to restart the tender process.)
- 4.2.8 The Purchasing and Provision Services Division will determine the tender acceptance date in cooperation with the chair of the tender committee.
- 4.2.9 The following information must be included in the tender document distributed to tenderers by the Purchasing and Provision Services Division:
- Tender number
 - Description of the goods/services to which the tender applies
 - The starting date for the tender
 - The closing date and closing time for the tender
 - The date until which the tender should be binding with regard to acceptance
 - The acceptance date for the tender
 - Proposed delivery date
 - Specifications document
 - Required documentation
- 4.2.10 The relevant buyers must consult the list of approved suppliers to identify a list of suitable potential suppliers who could be invited to tender, which must be in line with the tender purchasing thresholds.
- Should there be too few or no approved suppliers who could deliver the relevant goods and/or services, the buyer in question, together with the chair of the tender committee, should decide on a manner of invitation to open up the tender process more widely.
- 4.2.11 The invitation to tender must be confirmed by e-mail, and the copies must be filed together with the list as stipulated in paragraph 4.2.10.
- 4.2.12 A record of each tender has to be kept in the tender register with regard to:
- the names of potential suppliers who have collected tender documents; and
 - the name and signature of each person who collected a tender document.

Any information requested by a tenderer must be provided by the chair of the tender committee to the Purchasing and Provision Services Division for distribution. The Facilities Management professional/internal quantity surveyor or project manager will compile documentation for Facilities Management.

4.3. Regulations of the tender committee

Name and objective

The committee is known as the tender committee of Stellenbosch University. The tender committee must see to it that the best possible conditions are negotiated for the University in the selection of all tenders that serve before the tender committee.

Composition

With a view to tenders for purchasing goods and services valued from R1 500 001, the tender committee comprises:

Institutional tenders, strategic tenders and tenders that might pose a reputational risk to SU:

Tender committees are constituted by the RC head in conjunction with the Chief Director: Finance. The constitution of the tender committee and the review of the criteria and weight percentage must be submitted to the Finance Committee, for recommendation to the Rectorate for approval. The RC head decides, in consultation with the Senior Director: Student Affairs, whether a particular tender is of such importance to students that it warrants the inclusion of a representative of the Students' Representative Council to serve on the tender committee. Alternatively, a proper way of consulting with the student community should be determined before the tender committee commences its activities.

The RC head in conjunction with the Chief Director: Finance identifies the chair of the tender committee. Such chair might be the RC head or a staff member who has no interest in the outcome and who does not work in the Purchasing and Provision Services Division.

Tender committees are constituted at different levels of senior management, depending on the nature of the transaction and the risk to SU's reputation. The Rectorate member or the dean, in conjunction with the Rectorate member responsible for coordinating risk management, is responsible for requesting a more senior tender committee should the potential reputational risk warrants this.

Tenders with no reputational risk:

In instances where a tender poses no risk to SU's reputation, e.g. the purchase of equipment or apparatus, the tender committee is determined by the department that is doing the purchase. The tender committee must be approved by the Chief Director: Finance when purchasing products or services, and in terms of the Regulations with regard to Delegation of Powers and Responsibilities for capital tenders.

The Purchasing and Provision Services Division fulfils a technical advisory and a compliance function with regard to every tender committee, but no staff member of the Purchasing and Provision Services Division may serve as a member of any tender committee.

A tender process of superior quality requires proper training for both tender committee members as well as other role players in the tender process. If any training is needed, this must be indicated by the chair of the committee.

The contravention of policies, procedures and management practices is deemed as serious and may result in immediate dismissal in terms of SU staff policy.

The Purchasing and Provision Services Division appoints a person to scrutinise tender specifications and to advise the tender committee on the tender process and risks involved in tenders.

The tender committee appoints a person as its secretary to take down minutes of meetings.

The tender committee must consist of at least three members.

Duties and responsibilities

The duties and responsibilities of the tender committee include the following:

- The activities of the tender committee are conducted in accordance with the procedure set out in the Purchasing and Tender Policy and Procedure.
- The activities and recommendations of the tender committee are confidential and may not be made public by members of the tender committee, except when the information is officially made public by the committee.
- The tender committee can, at its own discretion and depending on the nature of a tender, invite other knowledgeable Stellenbosch University personnel or consultants to advise the committee, but if they are not members of the committee they may not participate in the scoring.
- The tender committee is not obligated to recommend selection of the lowest or any tender.
- The tender committee may only deviate from the approved tender policy and procedure of the University when there is prior approval in terms of the Regulations with regard to Delegation of Powers and Responsibilities. The tender committee sees to it that an equitable and transparent tender process is followed.

Evaluation criteria

The following is applicable when the tender committee determines evaluation criteria:

- Before the tender process commences, there must be agreement about a scorecard that indicates the factors that must be measured, as well as the weight of such factors.
- Evaluation criteria should be clear and systematic.
- When determining the evaluation criteria, the RC head determines whether, and to what extent, the tender process and the resultant transaction affect other environments and sees to it that the evaluation criteria take this into account.
- The scorecard is used in the evaluation of the submitted tender and the tenderer's oral submission (if applicable).
- The evaluation criteria are made public when the tender invitation goes out, but do not include the weighting per review category.
- BBEE must always be a criterion in terms of paragraph 1.2.
- If it is a sustainable sourcing tender, human dignity must account for be at least 20% of the weighting. The formula to be used to calculate the 'human dignity' factor/percentage is contained in the Sustainable Sourcing tender documentation.

4.4. Procedure on receipt of tenders

- 4.4.1 Tenders may be received electronically, or be delivered to the office of the buyer, or be placed in the tender box. If tenders are placed in a tender box, the following procedures will apply:
- 4.4.2 The tender box must be placed in the immediate vicinity of the office of the Buyer or in another appropriate position, in such a manner that adequate, continuous security will be possible.
- 4.4.3 The tender box must be constructed of suitable material to ensure the security of the tenders. The tender box must be fitted with locks or other security devices and must remain locked except when it is opened for tenders to be opened.
- 4.4.4 If the tender box is physically taken to another location for tenders to be removed from it, a notice of a reasonable size and prominence must be placed in the place of the tender box to give clear indications to prospective tenderers as to alternative methods of handing in tenders. Tenders handed in during this time must be carefully recorded, and persons who deliver tenders should sign a document as proof of handing in the tenders.
- 4.4.5 At times when the tender box is opened, new tenders must be accepted across the counter by a person selected by the buyer.
- 4.4.6 If the tender box is to be opened at its usual location, the tenders are placed in an

appropriate container that can be locked before being taken to the buyer. The responsible person selected according to 4.4.5 must give a verbal report to the Buyer concerning any tenders that may have been handed in during the opening of the tender box, as soon as the tender box has again been made available for the handing in of tenders. Such tenders must be deposited in the tender box without delay. If the tender box is to be opened at its usual location, the tenders are placed in an appropriate container that can be locked before being taken to the Buyer.

- 4.4.7 No tender that is handed in late may be considered in the tendering process. (Such tenders may only be considered in exceptional cases, with the approval of the Director: Financial Planning and Budgeting.)

- 4.4.8 When tenders are received electronically, their date of receipt at the office of the Director: Purchasing and Provision Services must be entered in the tender register, and the tender must be deposited in the tender box without delay.
- 4.4.9 When tenders are delivered, the date of delivery and the name of the person delivering it must be entered in the tender register, and the person who delivered the tender must sign the tender register. The recipient must then place the tender in the tender box in the presence of the person who delivered it.

4.5 Procedure at the opening of the tender box and tenders

- 4.5.1 The opening of the tender box, the opening of sealed envelopes and the entry of tenders that do require the involvement of the tender committee must take place in the presence of a member of the tender committee, or the committee chair must authorise a buyer to handle the opening.

Any member of the tender committee may also be present during this process. On opening the tenders, the date on which the tenders are opened, must be written on the front page of the tender documents.

- 4.5.2 Tenders must be recorded in a tender register. Allowance must be made for the signatures of all persons that have to be present at the opening, to serve as proof of the completeness of the opening process and the correctness of the procedure that is followed.
- 4.5.3 The original tenders as well as the tender prices must be filed and must remain locked away in the safe of the Purchasing and Provision Services Division, except during the evaluation of tenders.
- 4.5.4 No tender information contained in the tender documents may be made public.

4.6 Evaluation of tenders that need not be submitted to the tender committee

- 4.6.1 All tenders received must be provided to the members of the tender committee by the buyer. The tenders, copies thereof or scheduling documents may under no circumstances be made available to persons or parties who are already engaged in the particular service or are similarly contracted.

In the case of capital tenders, tenders must be handed to the project leader.

- 4.6.2 All tenders received must be further evaluated on the basis of the evaluation criteria for tenders.

The Purchasing and Provision Services Division administers the purchasing process, while the recommendation is made as set out in paragraph 4.2 of this document.

The project leader or the head of the division must propose a recommendation in writing, to be handed in together with the written summary of the tenders.

The project leader, head of the division or committee that makes the final recommendation with regard to the acceptance of a specific tender must evaluate the tenders on the basis of the evaluation criteria for tenders, the price, and the proposed written recommendation of the project leader, head of the division or committee.

The final recommendation for the approval of a tender must be made in writing and sent for a decision, confirmation and notification in accordance with the regulations of the SU Council and the purchasing thresholds.

4.7. Evaluation of tenders to be submitted to the tender committee

- 4.7.1 The chair of the tender committee must call a meeting of the tender committee in good time so that the committee can have an opportunity to evaluate the tenders and make a recommendation. See paragraph 4.3 for determining evaluation criteria.
- 4.7.2 All tenders that were received for a project must be handed to the chair of the tender committee by the buyer.
- 4.7.3 All tenders received for a specific project must then be further evaluated in accordance with the evaluation criteria for tenders. The tender committee must make a recommendation or issue an approval, depending on the nature of the tender. For tenders posing a potential reputational risk or institutional or strategic tenders, a recommendation must be made to the Finance Committee, who will make a recommendation to the Rectorate for approval.
- 4.7.4 The tender committee must in all instances decide whether a specific separate contract must be concluded over and above the tender document.
- 4.7.5 The tender committee must at all times apply the tender policy and procedure of SU. The activities and decisions of the tender committee must be regarded as confidential and may not be made public by members of the tender committee, except when such information is officially made public by the committee.
- 4.7.6 If members of the tender committee are in any way related to a tenderer or have any vested interest in a tender, this relationship or vested interest must be made known and entered in the minutes at the commencement of the meeting of the tender committee. Such members of the tender committee may attend the meeting at which a decision on a specific tender is to be made but may not vote or be considered in the decision with regard to the allocation of the tender, unless the other members of the tender committee decide otherwise. The non-disclosure of relationships/interests and of the receipt of gifts is deemed as very serious and may lead to disciplinary action against staff and/or the annulment of a tender process and/or suspension of a supplier's contract. Each tender document contains a clear exposition of the considerations that might lead to an annulment of the tender process, and the way in which this will be done. Donations to SU or SU staff will not affect the evaluation and awarding of tenders.

4.8. Timing and return dates for tenders – shortest possible options

- 4.8.1 If it is possible to speed up the process, the buyers involved will allow the process to run as fast as possible. In all instances, though, the timing schedule as described below and the return dates for tenders will be assumed to be the shortest possible time for the Purchasing and Provision Services Division.
- 4.8.2 In the case of tenders on the abbreviated tender basis, whether submitted to the tender committee or not, the following timing schedule and return dates will apply, with day 1 being the day on which the specifications document is received:
- Day 1 - Receipt of specifications document
 - Beginning of day 4 - Creation of tender
 - End of day 15 - Closing date for tender
 - Beginning of day 20 - Handing over to evaluator
 - Beginning of day 25 - Date of acceptance
 - End of day 27 - Notice to unsuccessful tenderers
 - Beginning of day 33 - Placing of order

NB: The dates above exclude weekends, university holidays and public holidays.

4.8.3 In the case of tenders that are to be opened in public, whether submitted to the tender committee or not, the following timing schedule and return dates will apply, with day 1 being the day on which the specifications document is received:

- Day 1 - Receipt of specifications document
- Beginning of day 7 - Creation of tenders
- End of day 17 - Closing date for tenders
- Beginning of day 22 - Handing over to evaluator
- Beginning of day 27 - Date of acceptance
- End of day 29 - Notice to unsuccessful tenderers
- Beginning of day 35 - Placing of order

NB: The dates above exclude weekends, university holidays and public holidays.

4.9. Recommendations, decisions, confirmations and notifications

4.9.1 The procedure followed for recommendations, decisions, confirmations and notifications pertaining to tenders must be in accordance with the document dealing with purchasing thresholds, which incorporates the procedure prescribed by the SU Council.

4.10. Samples

4.10.1 If the specifications document requires tenderers to provide samples, the samples must be delivered to the office of the buyer between 08:00 and 16:00 on weekdays, excluding university holidays and public holidays.

4.10.2 The Purchasing and Provision Services Division must issue a sample receipt form to the person delivering the samples when the samples are received. The receipt form must be made out in duplicate, and the copy should be filed by the Purchasing and Provision Services Division.

The sample receipt form should contain the following information:

- Tender number
- Description of the sample
- Date of handing in
- Signature of the person who delivered the sample
- Last date on which the sample may be collected again in the case of unsuccessful tenderers

This must be entered in the tender register to confirm that the tenderer has handed in the samples as required.

4.10.3 Samples handed in by unsuccessful tenderers may be collected from the office of the buyer between 08:00 and 16:00 on weekdays, excluding university holidays and public holidays, on presentation of the sample receipt form, which must then be filed against the copy. The person who receives the sample in return has to sign the sample receipt form as proof.

- 4.10.4 Samples must be locked away for safekeeping. If the sample is handed to an evaluator, project leader or body for testing, the sample receipt form has to be endorsed with the relevant details, and the person who receives it has to sign the endorsement.
- 4.10.5 If samples have to be sent away for testing, the tenderer must be contacted telephonically in advance for permission to do such testing, as the tenderer has to bear the cost of the testing.
- 4.10.6 This telephonic request must be confirmed by e-mail or in writing by the tenderer before the testing can proceed, and such confirmation must be filed.
- 4.10.7 The final date on which unsuccessful tenderers may collect their samples before such samples are to be auctioned for the account of SU will be 60 days subsequent to the date of the acceptance of the tender. From time to time, the Purchasing and Provision Services Division compiles a written description of samples that have not been collected by the prescribed date or cannot be utilised by SU in some other way, and hands this to the relevant division or person responsible for auctions at SU.

4.11. **Negotiations with the tenderer**

- 4.11.1 Coordinating relations between users and suppliers is an important part of buyers' function. Prices have to be obtained and compared in accordance with purchasing policy and procedure. Recommendations with regard to suppliers are made in cooperation with users in departments and divisions.
- 4.11.2 Contact with tenderers should be limited to requests for additional information if it becomes evident during the evaluation process that valuable information is needed to be able to compare tenders with one another, or that information is needed with regard to any other matter that may be to SU's advantage. Contact may lead to additions and amendments to original documents.

The nature, reason and outcome of any negotiations with tenderers must be included in written form in the tender documents that are submitted to those who will be responsible for making the recommendation. Essential amendments pertaining to tenders must be submitted at the first subsequent meeting of the tender committee. Negotiations regarding price, services and products, unless preapproved in terms of the Regulations with regard to Delegation of Powers and Responsibilities, may only occur with the successful tenderer once the evaluation process is complete. Purchasing and Provision Services must be part of these negotiations.

Continuing negotiations may take place between SU and those on the list of approved suppliers, as two-way communication is seen as a feature of the partnership.

4.12. **Sole tenderers**

- 4.12.1 Should there be only one tenderer, this must be clearly indicated on the tender checklist.

4.13. **Communicating with tenderers**

- 4.13.1 The relevant buyer must inform unsuccessful tenderers of the decision in writing. Communications must be uploaded to the SU system.
- 4.13.2 All communication with tenderers before and after the tender must be done by the Purchasing and Provision Services Division.

4.14. Procedure following the approval of tenders

- 4.14.1 The successful tenderer must accept the award via e-mail.
- 4.14.2 No orders may be placed before a tender is awarded and accepted.
- 4.14.3 The contract between the two parties must be finalised and signed, if necessary, as specified by the tender committee. In certain instances, the contract first has to be concluded before orders can be placed. The tender committee should give clear instructions in this regard.

4.15. Urgent tasks

- 4.15.1 Tasks or services that cannot be procured in accordance with the normal procedure because of their urgency should be avoided wherever possible.

In view of the brevity of the process for the allocation of tenders outlined above, it should be possible to accommodate all tenders.

Departmental chairs, heads of division, professional teams, project leaders and other stakeholders must consider the procedure and time limits indicated in this document when planning.

- 4.15.2 Requests for urgent tasks that cannot be accommodated within the prescribed tender process must be accompanied by a motivation from the person who authorises incurring the expense. This documentation must be handed in at the office of the buyer. The request and accompanying motivation must be referred to the Director: Financial Planning and Budgeting. The Director: Financial Planning and Budgeting must evaluate the matter to decide whether the task really is urgent and should be accommodated outside the tender process.
- 4.15.3 Tender documents must be completed by the supplier within three (3) days of approval.
- 4.15.4 Emergency/after-hours maintenance tasks that cannot be carried out via the normal purchasing procedure because of their urgency shall be handled as follows:
 - A written order shall be issued to the service provider. Should the total of this order exceed R500 000, it shall be approved beforehand (telephonically) by the relevant head of division or, should (s)he be unavailable, by the Chief Director: Facilities Management.
 - If the total order exceeds R1 000 000, it must be approved beforehand (telephonically) by the Chief Operating Officer or his/her delegate.
 - The written order shall be confirmed by an electronic order within two working days.
 - The head of division shall approve the placement of the electronic order, regardless of the amount.

4.16. Amendment or extension of accepted tenders after approval

- 4.16.1 A written motivation must be compiled by the project leader, department or divisional head concerned, and be approved by the tender committee or as determined by the SU delegation document, before the work may proceed.

4.17. List of approved suppliers

- 4.17.1 A list of approved suppliers must be kept.
- 4.17.2 The document "Application by prospective supplier to be placed on the list of approved suppliers" must be sent to identified suppliers. A record must be kept of all application documents that are sent out. These documents must be received back as soon as possible and considered in accordance with evaluation criteria to determine whether the applicant could be added to the list of approved suppliers.
- 4.17.3 The Purchasing and Provision Services Division must continually be involved in market and product research to detect other suitable suppliers. Invitations to these prospective suppliers must be directed by email. These applicants must also be evaluated according to the evaluation criteria.
- 4.17.4 An effort must be made to have at least five suppliers on the list of approved suppliers for each product group or service.
- 4.17.5 If applicants are found not suitable for inclusion in the list, there generally is no need to supply reasons for this.

4.18. Sole tender documents

- 4.18.1 In the case of urgent tasks or sole tenderers, the suppliers have to complete the tender document in order to place the minimum information concerning suppliers on record and to bind the supplier to the conditions of the tender.

4.19. Repeat purchases

- 4.19.1 In the case of a repeat purchasing transaction of below R250 000, tenders do not have to be called for if the requirements listed below are met.

A repeat purchasing transaction is defined as a transaction that is contracted for within six (6) months of the previous purchasing transaction. The products and services for which repeat purchases are made must be of exactly the same kind and specifications as the original transaction.

A repeat purchasing transaction may be undertaken after consultation with the Director: Financial Planning and Budgeting if the Purchasing and Provision Services Division considers it to be to SU's advantage.

4.20 Availability of documents

- 4.20.1 All the documents referred to in this policy and procedure are available from the Purchasing and Provision Services Division.

4.21 Accounting responsibilities relating to projects

- 4.21.1 Expenses and costs that accrue against one project cannot be justified against another project. No journal may be posted to transfer expenditure or costs of one project to another, except in the case of original posting errors.
- 4.21.2 Amounts approved in budgets for specific projects cannot be transferred to other projects without prior approval from the Rectorate.

4.22 Alteration of tender documents and applications

- 4.22.1 Any person found to alter tender documents or application forms without prior approval of the Director: Financial Planning and Budgeting will be subject to disciplinary action in terms of SU's disciplinary code.

4.23 Responsibilities in the tender process

In the tender process, liabilities apply with regard to the following responsibilities:

- The Rectorate or the delegated management member or body – Responsible for the approval of the tender committee and any requirements that the tender process must satisfy.
- Members of the tender committee – Responsible for the consideration of tender applications free from personal interest, which includes the approval of tender specifications, the determination and application of evaluation criteria, the determination of the nature and method of communication with tenderers, including the type of information that must be conveyed (before and after the tender process), and the awarding of the tenders.
- The Purchasing and Provision Services Division – Responsible for compliance with the tender policy (which includes the random sourcing and handling of tenders and quotations) as well as the disclosure and management of risks with regard to product delivery, thresholds and price stipulations.
- The user division – Responsible for technical specifications and quality control, as well as the disclosure and management of related risks.

4.24 Compilation of contract tender lists for individual projects

Tender lists (contractors) for individual projects shall be compiled by the project team from the approved list of service providers/contractors. The compilation of the approved list of service providers/contractors shall take place in cooperation with the Purchasing and Provision Services Division.

- Approval to proceed to tender is given, according to delegations, by:
 - Programme manager
 - Director: Project Management OR Director: Facilities Operations
- Tender committee:
 - Project Management Office (PMO): One member (PM)
 - Development Planning & Design: One member
 - Facilities Operations (FO): One technical member
 - Facilities Operations (FO): One facilities manager
- Criteria for selection:
 - Whether the contractors are on the approved list of service providers
 - Whether the contractors have specific expertise in, and experience of, the service required
 - The contractors' history of delivering similar work of a satisfactory quality
 - The scope and nature of the required service versus the contractors' capacity and available resources and workload
 - References

Note: SU BBBEE scoring systems are applied where applicable.

- Approval of tender committee's recommended list of tenderers:
 - Programme manager
 - Director: Project Management OR Director: Facilities Operations

4.25 **Tender procedure and awarding of tenders with regard to projects (Facilities Management)**

The tender procedure and awarding of tenders with regard to main contractors for projects shall be handled as follows:

(Project budgets and contract documentation already approved by both the Finance and Legal Services divisions)

- The project manager or SU agent shall attend to the tender/contract documentation.
- The project manager shall determine the tender period as well as the cut-off date and time for tenders and shall inform the relevant buyer in the Purchasing and Provision Services Division and the SU agent accordingly.
- The buyer shall open the tender box on the closing date for tenders and shall read out the prices.
- The buyer shall hand the tender documents to the project manager.
- The project manager shall examine the documentation and prepare a tender report, which is to be submitted to the tender committee selected by the project team.
- The tender committee issues an evaluation report, recommending the tenderer to be appointed.
- Approval of tender evaluation to be signed by:
 - Programme manager
 - Senior quantity surveyor: Project Management
- Final recommended contractor to be recommended by tender committee
- Final recommendation for approval (in line with delegations):
 - Programme manager
 - Director: Project Management OR Director: Facilities Operations
 - Director: Business Management
- Final approval of appointment (in line with delegations):
 - Programme manager
 - Director: Project Management OR Director: Facilities Operations
 - Chief Director: Facilities Management

Final approval of appointments – per project – shall take place in accordance with the approved delegation of responsibilities and decision-making powers with regard to facilities management.

At the end of each calendar year, a complete report on the appointment of contractors shall be made to the Chief Operating Officer. The report shall include the contractors who were appointed and how the work was divided among them.

4.26 **Formal nomination and appointment procedure with regard to consultants on Facilities Management projects**

The annual compilation of the approved list of consultants shall take place in cooperation with the Purchasing and Provision Services Division.

- The consultant selection panel shall consist of the following members:
 - Project Management Office (PMO): One member (PM)
 - Development Planning & Design (DP&D): One member
 - Director: Facilities Operations (FO): One technical member
 - Facilities Services (FS): One facilities manager
- Recommendation of final consultant team to be done by consultant selection panel (listed above).

- Final recommendation for approval of appointment (in line with delegations):
 - Programme manager
 - Director: Project Management OR Director: Facilities Operations
 - Director: Business Management
- Final approval of appointment to be signed by:
 - Chief Director: Facilities Management

In the recommendation and appointment of consultants, the following criteria shall be considered:

- Whether the consultant is on the approved panel
- Whether the consultant has specific expertise in, and experience of, the required service
- Whether the consultant has done work of a satisfactory quality in the past
- Whether the consultant has specific prior knowledge of the facility where the service has to be provided
- The consultant's BBBEE status
- Whether the consultant is locally based (relevant to the campus where the project is situated)
- The Rate tariffs, and discounts offered

Final approval of appointments, on a project basis, shall take place in terms of the approved delegation of responsibilities and decision-making powers with regard to Facilities Management.

Professional fees shall be calculated in accordance with, and up to a maximum of, the latest applicable regulations published in the Government Gazette.

4.27 **Approval of the appointment of ad hoc consultancy services for capital, maintenance and minor works projects only**

In accordance with the procurement policy (item 2), the appointment of ad hoc consultants through quotations is to be approved by:

- Programme manager
- Director: Project Management OR Director: Facilities Operations

Note

Where any consultant is appointed as the 'SU agent' specifically to handle projects or parts of projects on behalf of Facilities Management (architects, quantity surveyors, engineers, etc.), the standard SU procurement policy shall apply.

5. GENERAL PURCHASING

5.1 Items with a purchasing price of less than R1 000

To keep ordering costs to a minimum, purchases of consumable items (besides contract items such as gases, car rental, courier services, chemicals, glassware, etc.) of which the ordering costs are less than R1 000 per order may be done by the employee and claimed via the Expenses module.

5.2 Capital goods (asset items)

5.2.1 All assets must be procured through official suppliers, using a valid purchase order and applicable item code from the SU catalogue.

Catalogue items, defined as assets, are recognised and classified based on purchase price as one of the below asset types:

- a. Asset register items – linked to account 6975 (asset budget):
 - Capitalised assets: Measured at cost to qualify as trackable asset register items, qualifying as property, plant and equipment in the financial statements, depreciated over their useful life.
 - Expensed assets: Measured at cost to qualify as trackable asset register items, expensed immediately from account 6975 to account 1407.
- b. Smaller furniture and equipment: Measured at cost to qualify as non-trackable items, not added to the asset register – linked to account 1406 (operational budget).

Asset register items are measured at cost and categorised based on the thresholds below to qualify as either capitalised assets (cost \geq threshold) or expensed assets (cost < threshold):

Category description	Category code	Threshold amount	Residual value %	Useful life in years
Computer equipment	R	R4 000	0	4
Other equipment (lab & research) \geq R100 000	A	R20 000	0	20
Other equipment (lab & research) <R100 000	A	R20 000	0	10
Artworks	K	R20 000	0	5
Vehicles	V	R50 000	40	4

NB: No asset may be purchased privately and later claimed for reimbursement. Assets acquired privately cannot be capitalised in SU's asset management module.

5.2.2 Specific standards are continually set and developed by the Purchasing and Provision Services Division, Physical Infrastructure, IT, etc. in cooperation with relevant clients to ensure that specifications and standards of products are continuously improved.

5.2.3 An attempt is being made to standardise the following capital goods:

- Computer equipment
- Office furniture and equipment
- Audiovisual equipment
- Multifunction units, photocopiers and network-based printers (MFPs)
- Other specialised and/or research equipment

5.3 Consumable goods and services

- 5.3.1 Departments or divisions direct requests for the purchasing of goods and services from external suppliers to the Purchasing and Provision Services Division via the **Requisition for purchasing** function on the system.
- 5.3.2 Departments or divisions direct applications for the acquisition of stock items to the relevant supply store via the **Requisition for supplies** function and furnish the relevant commodity number(s) of the desired item(s).
- 5.3.3 Departments or divisions are responsible for the proper completion of all the relevant fields of the online requisition as well as other details that are required to ensure that a complete and correct record of the transaction is entered into the SU bookkeeping system.
- 5.3.4 Quotations must be uploaded onto the system.
- 5.3.5 Each requisition for purchasing is referred to a particular buyer, who, among others, determines the availability of the product and the final purchasing price before the necessary order is placed.
- 5.3.6 An official SU order form will be sent by e-mail to the relevant requester. Departments or divisions must provide their own order numbers to suppliers.
- 5.3.7 Departments or divisions that obtain order numbers must themselves arrange timely delivery of the goods to the right location and must also follow up with suppliers if goods are not delivered or are delivered incorrectly.
- 5.3.8 An attempt is being made to purchase consumable goods, services and supplies used regularly by departments or divisions by means of term or annual contracts. These contracts are negotiated by the SU buyers. Informal Western Cape regional agreements and national agreements are also entered into by PURCO SA.

The aim of such agreements is to negotiate, in the case of high volumes, better service delivery, prices and quality on a collective basis. This is applied particularly with regard to high-frequency consumable articles. Coordination and contract management of these agreements is handled centrally by the Purchasing and Provision Services Division.

In cases where tenders are accepted, SU is contractually bound to purchase the goods and services from the appointed supplier for the period of the contract. Any deviation from these contracts shall render SU guilty of breach of contract and liable for the consequences.

Note: Departments and divisions are requested first to contact the Purchasing and Provision Services Division for the purchasing of standardised capital goods and the goods and services above before requesting quotations and prices. This will prevent frustration, duplication of work, and the wasting of precious time.

NB: No order may be cancelled without the knowledge of the buyer who placed the order.

6. CONTRACTS AND STANDARDISED GOODS

These specific policy provisions must be read in conjunction with the general Purchasing and Tender Policy and Procedure.

6.1 Bookings for air travel

6.1.1 **Account number 1153/1155, Travel and accommodation costs**, must be utilised in all instances for official air travel bookings.

6.1.2. The following rules apply in all instances when air trips for official purposes are undertaken, irrespective of the cost centre (university funds, research funds, or funds that have been generated personally – so-called ‘own funds’) against which the expense is incurred.

6.1.2.1 An official university order must be issued to accredited SU travel agents for all approved official travel by air.

6.1.2.2 **SU reserves the right to refuse compensation for any official air travel booking – and the accompanying expenditure incurred by the user – that is made without an official SU order being issued.**

6.1.2.3 Travellers who wish to make use of alternative travel agencies not listed on the SU system have to pay for the booking themselves. Travellers may not make personal payments at travel agencies listed on the SU system; an official SU order number must be issued. Requests for the reimbursement of costs or order numbers with regard to alternative travel agencies must include the following documentation:

- Three quotations, two of which must be from Maties Travel Bureau or Neelsie Travel Agency. These agencies must provide SU with quotations for audit purposes and to ensure that more expensive flights are not booked.
- The quotations must all be obtained on the same day, and travel insurance must be equal to Diners Phase II cover for international flights and Diners Phase I cover for domestic flights.
- The reimbursement of costs with regard to alternative travel agencies shall only be approved if the abovementioned stipulations have been adhered to and the alternative travel agent is cheaper. The application must be sent to the Director: Purchasing and Provision Services.
- The traveller must be the credit card holder.

6.1.2.4 An air travel insurance claim incurs a R500 transaction fee. The transaction fee shall only be paid from SU funds if the cause of the claim occurred during the official part of the journey. If additional air travel insurance is taken out, this shall be for the staff member’s own account.

- 6.1.2.5 Air travel is normally undertaken in **economy discount class** only. Where there is a deviation from this procedure, and air travel is undertaken in business class (J), first class, full economy class, etc., the relevant dean/departmental chair/discipline head/executive head is expected to obtain advance authorisation from the Director: Financial Planning and Budgeting.
- 6.1.2.6 **All payments** for official air travel bookings shall be made with SU's **corporate travel credit card (Diners Club International)**, which has been launched at the University's official air travel agencies. On payment, travellers will immediately receive the obligatory air travel cover.
- Phase I for domestic flights
 - Phase II for international flights
- 6.1.2.7 The following information needs to be supplied on the requisition for purchasing:
- Purpose for which the air trip is being undertaken
 - Number of travellers, and their names
 - Full itinerary and airline(s) to be used
 - Fund(s) and cost centre(s) from which purchase will be covered
- 6.1.2.8 **Personal expenses such as passport costs are for the account of the staff member. Tickets purchased via the internet cannot be changed; In the event of cancellation, the full cost of the ticket will be lost.**

6.1.3 Procedure for users with regard to domestic flights

When official bookings are made, the best discount rates available in economy class must be insisted upon. If not, travel agents are inclined to book in full economy class. Currently, full economy flights between main centres are significantly more expensive than discounted flights.

Various options for discounted flights are available in economy class, provided that proper planning is done and the booking is made early. Specific conditions of payment shall apply, and there will be costs involved should changes and upgrades occur.

Three written quotations from Maties Travel Bureau or Neelsie Travel Agency must be obtained for domestic flights and attached to the requisition. Refer to paragraph 6.1.2.3 if an alternative travel agency is used.

Important:

Information must be sent to the Purchasing and Provision Services Division before 13:00 so that it can be checked and processed in time.

6.1.4 Procedure for users with regard to international flights

All relevant information as indicated under paragraph 6.1.3 applies to international flights also.

Three written quotations from Maties Travel Bureau or Neelsie Travel Agency must be obtained for international flights and attached to the requisition. Refer to paragraph 6.1.2.3 if an alternative travel agency is used.

Important:

Information must be sent to the Purchasing and Provision Services Division before 13:00 so that it can be checked and processed in time.

Prospective travellers unfamiliar with SU's air travel procedure should first contact the Purchasing and Provision Services Division on 021 808 4839.

6.2 Car rental bookings

Hiring of vehicles for official use

6.2.1 Bookings must be made with car rental companies at least 48 hours in advance. Voucher requests must also be submitted 48 hours in advance.

6.2.2 The following rules apply in **all instances** when vehicles are hired for official use, irrespective of the cost centre (university funds, research funds, or funds that are self-generated – so-called 'own funds') against which the expense is incurred:

- a. The University makes use of the PURCO tender for car rentals.
- b. Tariffs for the hiring of vehicles for official use are available on request from the Purchasing and Provision Services Division. Only vehicles in economy class may be hired.

Motivated requests for hiring vehicles in other (more expensive) classes shall be considered only if these are recommended by the relevant responsibility centre head and submitted in good time in writing to the Purchasing and Provision Services Division.

- c. No booking for vehicle hire will be accepted without an official requisition having been created for this purpose. The purpose of the journey and the names of the travellers must be provided at all times.

The University reserves the right to refuse to compensate the user for costs incurred should a vehicle be hired without the issuing of an official order for that purpose.

- d. Vehicles hired for official use within South African borders are insured against damage resulting from accidents and theft under the University's comprehensive policy. No additional insurance is required.
- e. The relevant service provider must give **written permission** for the use of the hired vehicle beyond South African borders, in which instance the service provider's obligatory accident and theft cover will have to be taken out.
- f. On acceptance of the booking, the supplier will issue a booking confirmation. The booking confirmation must be presented when the hired vehicle is collected from/delivered to the service provider. **The service provider will hand over the hired vehicle only if the booking confirmation is presented.**
- g. The person who will be driving the hired vehicle must receive the vehicle in person and present a valid driving licence. The service provider must keep a copy of the driving licence on record and must ensure that the driver meets the required conditions and qualifies for vehicle hire. All other persons who may also drive the vehicle have to be registered similarly to ensure that insurance cover remains valid.
- h. Cancellation of an order for a hired vehicle must be sent to the service provider via the Purchasing and Provision Services Division as soon as possible. If a cancellation is not confirmed in time, the hirer will be liable for one day's hire.
- i. When vehicles are hired in a foreign country, the University, on submission of the necessary proof, will normally only refund costs incurred with regard to vehicles in **economy** and **compact** class. Claims for compensation with

regard to vehicles in other classes will be considered only on receipt of the necessary written motivation and at the recommendation of the relevant dean, directed to the Director: Purchasing and Provision Services.

- j. Enquiries may be directed to the Purchasing and Provision Services Division on 021 808 4500.
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6.3 Printing

Departments/divisions are expected to obtain **quotes** from suppliers for all printing, binding and graphic design, according to procurement thresholds.

Corporate stationery: The Corporate Communication and Marketing Division shall develop new designs as required, within the guidelines of the approved Corporate Identity Brand Manual.

Graphic design: If a business is appointed to do graphic work, a purchase order shall be issued and completed for this purpose (the graphic work, in all formats, then becomes SU property), and the graphic design work and page layout must comply with SU's corporate identity requirements and standards (Brand Manual). A separate request for the corresponding **printing** shall then be issued. The graphic work shall be provided electronically to calculate a quote for printing.

Copyright protection of third-party material: During the reproduction of study material, SU is exposed to risks of copyright infringement if care is not taken in the process. SU's Innovation and Commercialisation Division has the mandated responsibility for all copyright aspects at SU (www.innovus.co.za).

SU has concluded a blanket licensing agreement with DALRO, and SU staff are expected to report the use of third-party content in study material at <http://plo.uct.ac.za/user.php>. For the use of copyrighted material exceeding the legally permissible quantities, transactional copyright permission must be applied for.

Enquiries regarding copyright protection:

Please direct all enquiries to:

Purchasing and Provision Services, 021 808 9426
Ms Carol Kat, Director: Copyright, Trademarks and Short Courses, carolk@sun.ac.za
Ms Lemeez Hendricks, Copyright Clearance Officer: Publishing Liaison Office, CHEC, lemeez@chec.ac.za

STELLENBOSCH UNIVERSITY
Guidelines enquiries/reporting
Ms Carol Kat, Director: Copyright, Trademarks and Short Courses, 021 808 2992, carolk@sun.ac.za

CAPE HIGHER EDUCATION CONSORTIUM (CHEC)
Direct reporting
Ms Lemeez Hendricks, Copyright Clearance Officer: Publishing Liaison Office, 021 035 0291, lemeez@chec.ac.za, <http://plo.uct.ac.za/user.php>

6.4 Multifunction units, photocopiers and network-based printers (MFPs)

Policy with regards to obtaining MFPs

- All units are obtained subject to a hire contract, unless there is a request to buy the unit.
- Any deviation from this policy must be approved by the head of department of the environment that applies for it, as well as the Director: Financial Planning and Budgeting.

Procedure for procuring MFPs

Application by the department

The department applies, or is requested by SUNCOM, to have a unit replaced, and provides the following information:

- Name of department
- Contact person
- Telephone number
- Room in which the unit will be located
- Serial number of current units to be replaced OR
- If it is to be the first unit, the estimated number of copies that will be made per month
- Information regarding network connection and payment system used
- Any accessories required for the unit

Submission of processed quotations to the department

- All product purchases are done by SUNCOM in line with the policy rules and regulations.
- SUNCOM submits quotations to the department, which then provides SUNCOM with written confirmation of approval for the purchase. If the department does not choose the most affordable option, the head of department needs to give approval along with reasons.

Ordering and delivery of the unit

- SUNCOM creates a memo for the installation of the new unit and sends this to the selected provider. (This document is used as the official SU 'order'.)
- The Senior Director: SUNCOM or his/her delegate approves this 'order' before it is dispatched.
- The provider supplies the contract to SUNCOM.
- SUNCOM checks the contract, makes a copy to attach to the complete record of all relevant correspondence regarding the matter, which has to be filed with SUNCOM, and sends the original contract to the Legal Services Division for signing and finalisation.

Control

- A control sheet that lists all processes chronologically and is to be checked by the Senior Director: SUNCOM or his/her delegate will be provided with each order as part of internal control.
 - All documentation is retained for up to five years or however long the unit remains on campus.
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6.5 ICT equipment

6.5.1 General

As a general rule, SU uses standardised ICT (information and communication technology) equipment. All ICT equipment is subject to a specified tender process to appoint preferred suppliers.

However, properly motivated requests for the procurement and acquisition of non-standard ICT equipment are considered. ICT equipment includes hardware and devices such as computers (desktop, laptop, mobile device (tablet or iPad), servers, networking equipment) and audiovisual (AV) equipment used for processing and transmitting digital information.

All ICT equipment that generates data and is connected to a physical LAN or Wi-Fi network must be purchased in accordance with this policy. The procurement of desktop printers or any maintenance materials thereof needs to be preceded by engagement with SUNCOM to evaluate the optimal and most cost-efficient printing solution for the relevant environment.

Regulations

- The correct item description should be selected upon PO creation for all ICT Equipment, and these should be requested per requisition for purchasing.
- IT does continuous market and product research to keep track of technological developments. IT will determine standardised ICT Equipment that will satisfy SU expectations and needs.
- IT will provide technical support, maintain, deliver and set up the operation of the standardised ICT Equipment for users.
- Details of standardised ICT Equipment will be published in the IT Service catalogue and will be kept up to date for information purposes.
- Prices will be updated and adjusted continuously by the IT division.
- A service level agreement will also be required from all preferred suppliers selected for the provision of ICT Equipment as per tender.
- Any deviation or request for non-standard ICT Equipment will be subject to motivation by the dean /department head, directed to the Chief Director: IT and his/her approval thereof. SLAs will be affected and costs for support might occur.
- The preferred supplier for the supply of this non-standard ICT Equipment will be selected by the Purchasing and Provision Services division.

6.5.2 End-user-devices

- Standardised ICT Equipment and storage with a four-year supplier's on-site NBD (next business day) warranty for repairs will be purchased.
- Upgrading of any standardised ICT Equipment under warranty will be subject to obtaining the required components from the preferred supplier who delivered the original ICT Equipment to meet the requirements of the four-year on-site NBD (next business day) warranty.
- Standardised printers with a three-year supplier's warranty will be purchased.

6.5.3 Specific Standardised Audio/Visual (AV) Equipment

- Standardised AV equipment is bought through SU's procurement process from pre-approved, AV-certified companies.
- The AV configuration service can assemble and/or program off-site and complete installation on-site, depending on project requirements. All installations must follow current ICT best practice and safety standards. During AV configuration, the AV integrator should complete the AV asset template and submit it to IT.
- Standardised AV equipment that does not require installation and configuration can be requested via the IT quoting process.
- Custom AV requirements and solutions must be ratified by the IT AV technical architecture team. Once ratified, the custom AV solution follows the SU procurement process for AV solutions. Note that custom AV solutions might affect support turnaround time and incur support cost.

6.5.4 Equipment generating data via ICT Equipment or that needs ICT Equipment to function.

Any equipment that generates data via ICT Equipment or needs ICT Equipment to function, must follow the same procurement procedure stipulated below.

6.5.5 Internet of Things (IoT) devices

Any devices that need to connect to the internet via Wi-Fi must follow the same procurement procedure stipulated below.

6.5.6 Networking equipment

Any networking equipment, such as network switches, must follow the same procurement procedure stipulated below.

Procedure

- Identify and assemble standard ICT Equipment that satisfies your specific requirements and needs.
 - Log a service request on the ICT Partner Portal ([Get new hardware - ICT Partner Portal - Service project](#)) to obtain a quotation.
 - Create a Purchase Requisition including the quotation and ICT call number directed to the Purchasing and Provision Services division.
 - The Purchasing and Provision Services division will refer to the Requisition for purchasing to IT for internal approval. After this, it will be referred to the Purchasing and Provision Services division for finalisation.
 - The ICT Equipment will be delivered to IT.
 - IT will capture the specification of the ICT equipment as part of the asset management process, execute the configuration thereof, attach the asset label and make arrangements for delivering or collection of the ICT Equipment. The user will have to log a new service request onto the ICT partner portal for profile setup on the new equipment once received.
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6.6 Furniture and equipment Policy

- The Purchasing and Provision Services Division will determine specifications for standard office furniture and equipment in cooperation with Facilities Management.
 - Examples of standardised office furniture and chairs may be viewed at the Purchasing and Provision Services Division.
 - Service providers will visit each site from which a request for office furniture is made and will make a submission for the required furniture within the standardised guidelines for office furniture (available at the Purchasing and Provision Services Division).
 - Office furniture and chairs are purpose-made for the particular environment. They are not off-the-shelf items, and at least four weeks must be allowed for manufacture and delivery.
 - In case of a deviation from the standardised office furniture and equipment, the relevant dean or head must submit a prior application with reasons to the Director: Purchasing and Provision Services.
 - Enquiries may be directed to the Purchasing and Provision Services Division at 021 808 4506.
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6.7 Items that reflect any SU or associated SU marks (excluding print and graphics)

SU regards the protection of its name and the proper use of its associated marks as a matter of the utmost importance. Accordingly, the University has mandated the Matie Shop, managed by Factory 209 (Pty) Ltd, a wholly owned SU company, to administer and oversee all matters relating to the use of SU and associated marks on tradable goods. Unless otherwise approved by the Matie Shop, all items bearing SU or associated marks (whether registered or not) must be procured through the Matie Shop. This applies specifically, but is not limited, to the following categories:

- **All clothing apparel** – formal, casual, sportswear, sleepwear, underwear, children’s apparel, baby apparel, etc.
- **All accessories** – bags, wallets, belts, scarves, ties, jewellery, headwear, socks, sunglasses and watches
- **Footwear**
- **All promotional products and corporate gift items**
- **Drinkware** – glasses, mugs, tumblers, water bottles, etc.
- **Gadgets and tech items** – computer accessories, gadgets, cell phones, USBs, memory sticks, phone stands and accessories
- **Custom-branded home and outdoor products** – umbrellas, cooler bags, coasters, blankets, towels, candles, board games, puzzles, etc.
- **Miscellaneous** – stickers, badges, keyrings, card holders, magnets, clocks, awards, trophies
- **Writing instruments/stationery** – pens, pencils, stationery giftsets, notepads, notebooks, memo pads, organisers
- **Confectionary, soft drinks, alcohol any food items** – sweets and chocolates, branded water, wine, coffee, tea, biscuits, etc.
- **Gym and sports items**
- **Trade show and event products** – ID holders, pouches and inserts, lanyards, wristbands, name badges, banners, flags, and gazebos
- **All medical clothing, accessories and devices** – scrubs, white coats, physio and nursing bags, pupil torches, tourniquets

Exclusions: This mandate does not extend to printed corporate stationery (e.g. brochures, leaflets, business cards, newsletters, pamphlets), nor to certain signage or display products.

All SU faculties/departments/divisions or residences must confirm such exclusions with the Matie Shop prior to placing an order with a supplier.

Ordering process for all internal customers:

SU departments and divisions are required to channel requests for the items above exclusively through the Matie Shop and may not engage with suppliers directly.

The internal procurement process is as follows:

- **Written request:** The department must submit a formal enquiry with all relevant details to matiequotes@sun.ac.za.
- **Order confirmation:** Upon receipt of a quotation, the department must, within five (5) working days, generate an official SU purchase order addressed to Factory 209 (Pty) Ltd (creditor code 60953).

All enquiries relating to the above may be directed to matiequotes@sun.ac.za.

6.8 Short-term letting of facilities

SU has established a policy for the short-term letting of university facilities (Short-term Letting Policy). In terms of the policy, the Central Events and Conferencing Office (CECO) have the mandate to handle all short-term letting of SU facilities outlined in the policy framework. CECO also offers certain services to support the short-term letting of SU facilities.

CECO is managed by Factory 209 (Pty) Ltd, a company wholly owned by SU.

The CECO team's service offering includes the handling and organisation of the following:

- Filming and still-shoot location management on campus
- Conferences
- Seminars and workshops
- Business events
- Award ceremonies
- Art exhibitions
- Musical performances
- Theatre performances
- Sports events
- Meetings
- Cultural events
- Student gatherings
- Social or other gatherings
- Weddings
- Activations and promotions
- Milestone celebrations
- Launches
- Any other short-term rental on campus

It is recommended that SU departments/divisions consult CECO for a quote or tender application in respect of the services listed above, as well as for all other support required for short-term rental activities on campus.

Requests for all short-term rentals outlined in the Short-Term Rental Policy should be directed to CECO at events@sun.ac.za or 021 808 2721 during office hours.

SU customers must create an official SU purchase order addressed to Factory 209 (Pty) Ltd (creditor code 20995) within five days of accepting a quote for the services above.

6.9 Software

6.9.1 General

The purpose of this section is to ensure that procured software aligns with business needs, complies with security and data regulations, and integrates well with existing University systems and technologies. The process of procuring software includes engagement with vendors regarding pilots, proof of concept, proof of value or where a pre-tender agreement is entered into. Engagement with vendors without following a procurement process could inadvertently prejudice or disadvantage the specific vendor(s) and/or the final decision of the procurement process as encapsulated in clause 1.1 of this policy. It is in the best interest of stakeholders to include IT representation in all interactions with software vendors.

6.9.2 Definition

Software is a set of computer programs that instruct computers what to do. It mainly comprises code, algorithms, and data structures necessary to operate a computer system. The broadest definition of software is used to ensure full inclusion. Several categorizations are applied to software and different terms are used depending on industry and locale. A non-exhaustive list of terms indicating a category of software are included in this definition:

- System software (programs, code and utilities that manage computer resources, e.g. Windows, Linux)
- Application software (programs designed for end-users to perform specific tasks, e.g. Microsoft Office)
- Programming Software
- Middleware Device Drivers
- Operating Systems
- Applications (“Apps”)
- Plugins / Add-ons
- Software Solutions
- Software-as-a-Service

This software can also be delivered using **different delivery modes** that includes software:

1. Installed on a device
2. Requiring IT infrastructure
 - Hosted by IT on its own servers or leased from vendors (Infrastructure-as-a-service)
 - Hosted by a vendor (e.g. Software-as-a-service).

The University also procures **managed services** from vendors that either offer software as part of their service (included in the cost), or SU procures the software for use by the managed service on our behalf, e.g. monitoring SU’s cyber security.

6.9.3 Provisions

The following provisions are applicable to the procurement (including Expense Claims) of all Software as defined above.

1. The procurement of Software is pre-empted by following either a Facilitated or Self-Service ICT evaluation process depending on a combination of factors. The table below defines under which conditions a Facilitated or Self-Service ICT evaluation is required.

Number of Users	Mode of Delivery		
	Installed on a device ³	Requires IT infrastructure	
		<i>Hosted by SU</i>	<i>Hosted by Vendor</i>
Individual Use	Self-Service	Facilitated	Self-Service
Multiple Users	Facilitated	Facilitated	Facilitated

2. It is recommended, and in some cases required as per the table above, to follow a Facilitated ICT evaluation process as a pre-cursor to all software procurement. This process is conducted in partnership with an IT representative either from the IT Division, or within the applicable Faculty / Responsibility Centre.
3. When a Self-Service Evaluation and Risk Assessment is an option, stakeholders who opt for it can utilize the guide supplied by IT to complete the assessment.
 - 3.1. The assessment will provide guidance to evaluate Functional and Technical Fit, measure Compliance, identify Risks and determine Cost Efficiency. In some cases, the outcome of the Self-Service evaluation could lead to a Facilitated process.
 - 3.2. The procurement process can only continue once the result of the assessment presents a favourable risk-mitigated outcome, or duly approved waiver through the Facilitated IT process.
4. Any software that requires a Tender, as defined in section 2 of this policy, cannot use the Self-Service evaluation assessment, and must follow the Facilitated ICT process.
5. The intended use of the software must adhere to the Acceptable Use and other Policies of the University.
6. During the Tender process, the committee can opt for a Pre-Award Negotiation Phase executed according to the Procurement division guidelines.

6.9.4 Procedure

- a. Review the list of authorised software as defined by Appendix C of the Acceptable Use policy as this could already satisfy the requirement.
- b. Engage for advice with an IT expert through either the IT division or designated representatives within the Faculty or Responsibility Centre.
- c. For the Self-Service evaluation process:
 - (i) Follow the instructions on the form (to be provided by the IT Division) and complete the evaluation.
 - (ii) If the outcome of the evaluation presents a favourable risk-mitigated outcome, present the finding (including ICT reference number or attach a screenshot) to the Purchasing Division to complete the procurement or action the reimbursement.
 - (iii) If the outcome of the Self-Service evaluation is not favourable, a Facilitated process must be followed.
- d. For the Facilitated evaluation process:
 - (i) Complete the form on the ICT Partner Portal (“Request for Engagement”) and an IT representative will contact you to guide you through the evaluation.

³ Ensure that the provisions of the Acceptable Use Policy are adhered to.

7. DELIVERY OF, AND PAYMENT FOR, GOODS AND SERVICES

- 7.1 No goods (capital or current) and services, excluding consumable articles with a unit value of less than R1 000, **may be obtained and/or paid for without an official SU order.**
 - 7.2 With the exception of some capital goods, all acquired goods and services are delivered directly to the department or division indicated as the point of delivery on the order form.
 - 7.3 It is the duty of the department or division to check whether the delivered goods and services have been delivered correctly according to the quantity, price and quality indicated on the order form, and that the invoice is certified accordingly for payment. In the event of an unacceptable deviation, the department or division is responsible for the necessary return and credit before the invoice is certified for payment.
 - 7.4 Departments or divisions confirm the receipt of goods electronically (by computer) and then send the invoice to the creditors section of the Purchasing and Provision Services Division for payment. This procedure must be followed promptly and swiftly to avoid a delay in payment, loss of discounts, and disturbed relations between providers and the University.
 - 7.5 No payment is made based on a delivery note or monthly statement. Only an invoice certified by the official concerned is accepted as proof for payment.
 - 7.6 A **difference in price** between the provider's invoice and an official order from the University with regard to capital goods is not acceptable. These amounts usually involve fixed, quoted tender prices, and there should not be any deviation or variation. Deviations or variations must first be cleared with the relevant buyer and confirmed before the department or division can certify invoices for payment.
 - 7.7 Replacement of capital goods and/or repairs to a capital item must not be undertaken before the guarantee and/or maintenance contract has been discussed and cleared with the relevant buyer. Any SU department, division or employee who does not comply with these procedures and this policy will be subject to disciplinary action in terms of SU's disciplinary code.
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8. GENERAL

8.1 Inventory control

- Inventory counts must be done each month.
- Inventory control sheets must be completed in ink.
- Open spaces on inventory control sheets must be cancelled.
- Inventory control sheets must be initialled or signed by the individual doing the inventory control.
- An independent review of, and congruence with, inventory records on the system must be indicated by the signature of the person who did such independent review.
- The comparison of the physical inventory count with the inventory as indicated on the system must be done by someone independent of the person who did the physical inventory count.
- The person who compares the physical inventory count with the inventory as indicated on the system must draw up and sign a formal reconciliation and inventory count variance report.
- The formal reconciliation and inventory count variance report must be submitted to the Director: Purchasing and Provision Services for control and approval.
- Any deviation between the physical inventory count and the inventory on the system must be declared in the reconciliation and inventory count variance report.
- If the Director: Purchasing and Provision Services is satisfied with the reasons for any surplus or deficit, the report will be sent through to the Director: Financial Services for approval.
- If the Director: Financial Services approves it, any deficit or surplus will be recorded.
- The Division of Finance does an independent audit at the end of the year to establish whether the inventory count is congruent with the inventory on the system, and to ensure that all surpluses and deficits are declared and recorded.
- The Purchasing and Provision Services Division will file all documentation.

8.2 Purchasing of goods and services

- The person in charge of purchases of goods enters the requisition.
- The cost centre owner approves the requisition.
- Purchasing and Provisions Services approves the requisition, and a purchase order is issued.
- The person in control of goods purchases enters the goods received on the system, unless the goods received deviate from the goods ordered.

8.3 SU suppliers list

All prospective suppliers must complete the official application form. The form must be returned to the Department of Purchasing and Provision Services, and all supporting documents requested in the application form must be annexed to the form. The application form will be examined and evaluated by the buyer, using SU's evaluation criteria for new suppliers. If the buyer is satisfied that the application complies with the evaluation criteria, the form will be presented to the Director: Purchasing and Provision Services for approval. The application form, including all supporting documents (i.e. a Credit Inform report, the approval report from the buyer, and a valid SARS PIN), are then loaded onto the system. All new transport suppliers must also be validated by Transport Services and will revalidate each year. SU is under no obligation to place any supplier on the SU suppliers list. The application form may not be altered.

All international requisitions/suppliers must be approved by the Purchasing and Provision Services Division.

Any SU department, division or employee who fails to abide by these procedures and this policy will be subject to disciplinary action in accordance with the SU disciplinary code.
