

Procurement Guidebook

Understanding the Procurement of
Materials and Services at



**University
of Victoria**

Purchasing
Services

Procurement Guidebook

Understanding the Procurement of Materials and Services at UVic

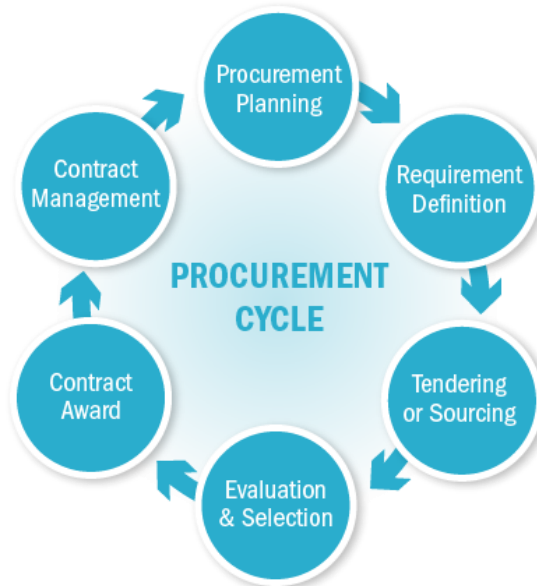
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1 Introduction
2 The main purposes of this procurement guidebook are to help interpret UVic
3 procurement policies and procedures and to give guidance on procurement decision-
4 making.



5

6 The procurement guidebook's primary focus is on sourcing related decision-making
7 since this has the broadest applicability across UVic and the complexity of sourcing
8 related decisions is highest. Thus, the procurement guidebook does not provide detailed
9 guidance on all aspects of the procurement process. Please note the following, in
10 particular:

- 11 • The procurement guidebook is not a step-by-step procedure or
12 instructions document. For detailed instruction, please see the SOP or
13 documentation related to the Procurement Procedures required.
- 14 • Specific positions where responsibilities fall have not been identified since
15 job titles and responsibilities vary across departments.
- 16 • The intent of the procurement guidebook is to be aligned with UVic's
17 policies and procedures.

18 1 Procurement at UVic

19 The application of the Purchasing Services Policy [FM5105](#) and Processes within UVic has
20 the following core goals:

- 21 1. the use of sound procurement practices in order to support UVic's
22 objective of procuring materials and services that represent the highest
23 overall value to the University;

2. the fostering of a fair and competitive procurement environment in which materials and services are procured on behalf of UVic; and
3. compliance with applicable law, including regulatory requirements and directives.

In order to reach these goals UVic has:

- developed and implemented Procurement Policy and Procedures
- assigned clear responsibility for achieving the University's procurement policy objectives;
- defined accountability for setting procurement strategy and achieving procurement results;
- implemented procedures in support of the application of consistent and professional standards in the procurement of materials and services; and
- committed to utilize procurement practices and processes that are transparent and open, and that are designed to ensure suppliers are treated with courtesy, fairness, respect, honesty and professionalism.

1.1 Regulatory Requirements

UVic's procurement activities are governed by legislation and trade agreements including:

- Canadian common law
- New West Partnership Trade Agreement (NWPTA)
- Agreement on Internal Trade (AIT)
- Trade, Investment and Labour Mobility Agreement (TILMA)
- Freedom of Information and Protection of Privacy Act (FOIPPA)

Further details on each of these can be found in the subsections below.

1.1.1 Canadian Common Law/ Contract Requirements

Under Canadian law, a contractual relationship will arise between an owner such as UVic and any respondent who submits a compliant bid in response to a Request for Tenders (and, in some cases, in response to a Request for Proposals). This is known as "Contract A", or the bid contract. "Contract B", or the performance contract, arises when the owner awards the tendered work to a compliant respondent.

Although the law surrounding Contract A/Contract B is complex, Contract A basically requires UVic to treat all respondents fairly and equally, and to conduct the procurement in accordance with the terms and conditions of the procurement documents (including process requirements and stated evaluation criteria). Failure to do so may result in UVic being exposed to costly and time-consuming legal claims.

1.1.2 New West Partnership Trade Agreement

The [New West Partnership Trade Agreement \(NWPTA\)](#) is an accord between the Governments of British Columbia, Alberta and Saskatchewan that creates Canada's largest, barrier-free, interprovincial market.

Under the NWPTA, British Columbia, Alberta and Saskatchewan are the first jurisdictions in Canada to commit to full mutual recognition or reconciliation of their rules affecting trade, investment or labour mobility so as to remove barriers to the free movement of goods, services, investment, and people within and between the three provinces. The NWPTA builds on the [Trade, Investment and Labour Mobility Agreement \(TILMA\)](#) between British Columbia and Alberta and has the clarity Saskatchewan was seeking on public ownership of Crowns and the ability of municipalities to support economic development. The NWPTA came into effect July 1, 2010 and has been fully implemented since July 1, 2013.

The first Protocol of Amendment to the NWPTA was signed in January 2015. The Protocol clarified language around labour mobility and dispute resolution provisions, and introduced a bid protest mechanism effective July 1, 2015.

British Columbia, Alberta and Saskatchewan have also committed to:

- Avoid measures that operate to restrict or impair trade between or through their territories, or investment or labour mobility between them.
- Treat businesses, investors and workers of the other two provinces at least as favourably as they treat their own or those of another jurisdiction.
- Mutually recognize or otherwise reconcile unnecessary differences in their standards and regulations.
- Be fully transparent, and notify each other of any proposed measure that is covered by the Agreement. The objective is to ensure that new measures do not create new impediments.
- Having an enforceable dispute resolution mechanism that is accessible by governments, businesses, workers and investors in order to ensure that each province lives up to its commitments.

Persons engaged in procurement activities on behalf of UVic should be aware of the legal implications of the processes being used, and the importance of conducting all procurements in accordance with the processes and criteria set out in the relevant documents. The competitive process itself may result in the formation of Contract A contractual obligations on UVic, regardless of whether any award of work is made.

1.1.3 Agreement on Internal Trade (AIT)

The Agreement on Internal Trade aims to reduce barriers to the movement of persons, materials, services and investments within Canada. Under its direction, UVic is obligated

1 to follow certain procurement procedures to avoid creating barriers to free trade within
2 the country (including provincial/local preference). In particular, under the terms of the
3 AIT, all procurement opportunities meeting or exceeding established thresholds (i.e.,
4 \$500,000 for materials and services; \$5 million for construction) must be accessible to
5 all Canadian suppliers through the use of electronic tendering systems or other means
6 that satisfy the requirements of public advertisement (UVic will use BC Bid).

7 **1.1.4 Trade, Investment and Labour Mobility Agreement (TILMA)**

8 The British Columbia – Alberta Trade, Investment and Labour Mobility Agreement is
9 intended to remove barriers to trade and requires non-discrimination in the purchase
10 of: materials, services and construction from within the economic region (BC and
11 Alberta). The concept of non-discrimination is equivalent to that covered by the AIT, but
12 the thresholds that apply are lower under the TILMA regulations (\$10,000 for materials;
13 \$75,000 for non-construction services; \$100,000 for construction services).

14 Crown Corporations including UVic are subject to TILMA procurement requirements.

15 **1.1.5 Freedom of Information and Protection of Privacy Act (FOIPPA)**

16 The purposes of FOIPPA (the 'Act') are to make public bodies more accountable to the
17 public and to protect personal privacy. FOIPPA accomplishes these purposes by:

- 18 (a) providing the public with a limited right to access records within a public body's
19 custody or control; and
- 20 (b) setting rules for how a public body collects, uses, stores, discloses, and disposes of
21 personal information

22 The provisions of the Act can affect the procurement process and the way contract
23 documents are drafted.

24 Persons engaged in procurement activities on behalf of UVic should be aware of the
25 implications of the Act and the importance of maintaining professionalism that results
26 from these implications. Specifically, notes, emails, memos, letters, or any other
27 documentation relating to a competitive procurement process may become the subject
28 of a Freedom of Information (FOI) request.

29 FOI requests can be and have been made for information on tendering and
30 administration of contracts at UVic. Any record so requested must be disclosed in its
31 entirety unless one or more of the Act's exceptions to disclosure apply to all or part of
32 the requested record(s). UVic's Freedom of Information Coordinating Office (FOICO)
33 administers the Act for all of UVic. Consequently, any employee receiving a written
34 request under the Act must forward the request to FOICO immediately.

35 FOI requests can often be avoided through established routine information disclosure
36 processes. For example, many questions can be answered through a debrief or by way
37 of routinely disclosing bid results, so long as the disclosure does not negatively impact
38 UVic's or a third-party's business interests.

39 In addition, the Act imposes obligations on how UVic can collect personal information as
40 part of a competitive procurement process. Specifically, UVic must obtain consent for

1 the indirect collection of any personal information it requires as part of a competitive
2 procurement process. UVic's standard form procurement documents include templates
3 for use when UVic requires personal information (e.g. employee resumes) to be part of
4 a competitive process. This takes the form of a signed consent form that must be
5 included in the tender package.

6 FOICO can provide advice and direction for any FOIPPA related issues.

7 **1.2 Fairness and Transparency**

8 UVic is committed to fostering a fair and competitive procurement environment. To
9 achieve this, Procurement must hold itself to a high ethical standard in sourcing the
10 materials and services the business requires and must comply with UVic's [Code of](#)
11 [Conduct](#). Additionally, the following principles need to be observed by all involved in
12 procurement for the organisation:

13 **Transparency:** Suppliers and the public need to be afforded fair access to information
14 on UVic's procurement opportunities, processes and results.

15 **Openness:** Whenever possible, in preparing documents soliciting competitive
16 responses, requirements and/or specifications should not limit the competition to only
17 one or two respondents.

18 **Avoidance of Conflict of Interest:** If any party involved in UVic procurement (including
19 an employee, service provider or associate) is in a position to respond to a competitive
20 procurement opportunity, that party must be removed from involvement in and
21 influence over that sourcing opportunity. An external Conflict of Interest Advisor is
22 available to UVic Procurement to provide additional advice on avoiding real or perceived
23 conflicts of interest and can be contacted directly, or through the Chief Procurement
24 Officer's (CPO's) Office.

25 **Disclosure:** If one of the potential respondents has been involved in previous phases,
26 Procurement should disclose the existence of an incumbent supplier to all potential
27 respondents, generally in the competition document. As well, all potential suppliers
28 should receive the same information that the incumbent supplier has received.

29 **Confidentiality:** Upholding the principles of confidentiality protects competitive
30 information provided by suppliers. All procurement related records and information
31 shall be considered UVic confidential information and will be treated in accordance with
32 the Handling of Confidential Information Procedure Responsibilities of Key Groups

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36 **1.3 Purchasing Services**

- 37 • Purchasing Services has overall responsibility for policies, procedures and
38 guidance related to UVic's procurement activities. Purchasing Services operates
39 under the direction of the Vice President of Finance & Operation.

- 1 • Purchasing Services provides support and overall guidance to UVic under the
2 direction of the Director of Procurement reporting to the Executive Director of
3 Financial Services and Vice President of Finance and Operations.
- 4 • The Director of Purchasing Services implements, maintains, monitors
5 compliance with, and advises on procurement policy and procedures; provides
6 guidance or decisions on contentious or difficult procurement issues; provides
7 overall support to UVic Purchasing Officers; and owns and maintains the
8 standard form procurement documents.
- 9 • Category Sourcing creates long-term contracts with suppliers that leverage the
10 value of UVic's annual expenditures. The Category Sourcing program intends to:
11 reduce the cost of materials and services; improve reliability of supply; improve
12 safety and quality standards; and simplify the procurement process.
- 13 • Purchasing Services provides end to end procurement services including, but not
14 limited to, competitive bid services and PO/CO creation for the acquisition of
15 goods and services.
- 16 • Purchasing Services establishes a financial control framework supported by the
17 [Purchasing Services Policy \(FM5105\)](#) that documents the specific procedures
18 and application required to obtain financial approval. [Signing Authority Policy](#)
19 [\(FM5100\)](#) describes the documents to be used and identifies special authorities.
- 20 • [Customs & Brokerage](#) - University of Victoria should be contacted where UVic
21 materials cross the Canadian border. CBSA work with UVic's customs brokers to
22 ensure the goods are cleared expeditiously. In addition, they collect and
23 maintain files required by the Administrative Monetary Penalty System (AMPS)
24 administered by the Canada Border Services Agency.

25 1.3.1 Departments

- 26 • Department management is responsible for enforcing policy and correcting non-
27 compliance issues within their business area.
- 28 • UVic Departments all have a degree of in-house expertise to undertake certain
29 procurement aspects on behalf of their department.

31 1.3.2 Procurement Roles

- 32 • Individuals undertaking procurement roles at UVic have diverse responsibilities
33 depending on their department and job classification. Such responsibilities
34 may include any or all of the following duties:
 - 35 ▪ Develop a market sounding plan followed by an overall procurement and
36 contracting strategy / approach
 - 37 ▪ Determine appropriate procurement quantities, delivery schedules, and
38 requirements for assigned materials or services.
 - 39 ▪ Liaise with suppliers to trace and expedite material orders or service delivery.

- 1 ▪ Review and determine quality and availability requirements.
- 2 ▪ Prepare competitive procurement documents and advertise opportunities, and to
- 3 invite suppliers to submit competitive tenders, quotations, proposals or
- 4 information gathering documents.
- 5 ▪ Evaluate, or facilitate the evaluation of, submissions for lowest total cost of
- 6 ownership, best overall value to UVic, and commercial and technical compliance.
- 7 ▪ Procure material or services as a result of competitive bid submission analysis
- 8 consistent with end user needs, Purchasing Services policy, and procurement
- 9 guidelines.
- 10 ▪ Chair tender/proposal evaluation meetings and product presentations, and
- 11 interviews suppliers.
- 12 ▪ Visit factories and suppliers and study promotional materials, trade periodicals
- 13 and other materials to gather market, material and equipment price and
- 14 performance data.
- 15 ▪ Provide guidance, training and/or information on supply chain and procurement
- 16 requirements.
- 17 ▪ Discuss and provide guidance, advice and procedural or system training to
- 18 enhance the efficiency and effectiveness of procurement processes.
- 19 • Perform tactical functions required for the procurement of materials or services
- 20 by UVic.

21 2 Sourcing

22 UVic's sourcing processes involve strategic and practical decisions that need to be made
 23 by a Purchasing Officer (the individual leading the sourcing activities), often in
 24 consultation with a cross-functional sourcing team. As a whole, the sourcing process
 25 should be undertaken with the intent of fostering competition and achieving best value
 26 for UVic by encouraging and gathering competitive responses (bids, quotes, proposals,
 27 tenders), from the supplier community. Therefore, decisions made in the sourcing
 28 process should generally support the goal of obtaining multiple competitive responses
 29 from qualified companies. This may include advertising opportunities as widely as
 30 necessary (i.e., advertising forums beyond BC alone), or conducting information-
 31 gathering exercises in advance of competitions. UVic policy contains options to
 32 reasonably balance this goal with time and effort expended on the sourcing process.
 33 This pertains particularly to sourcing low-cost materials and services.

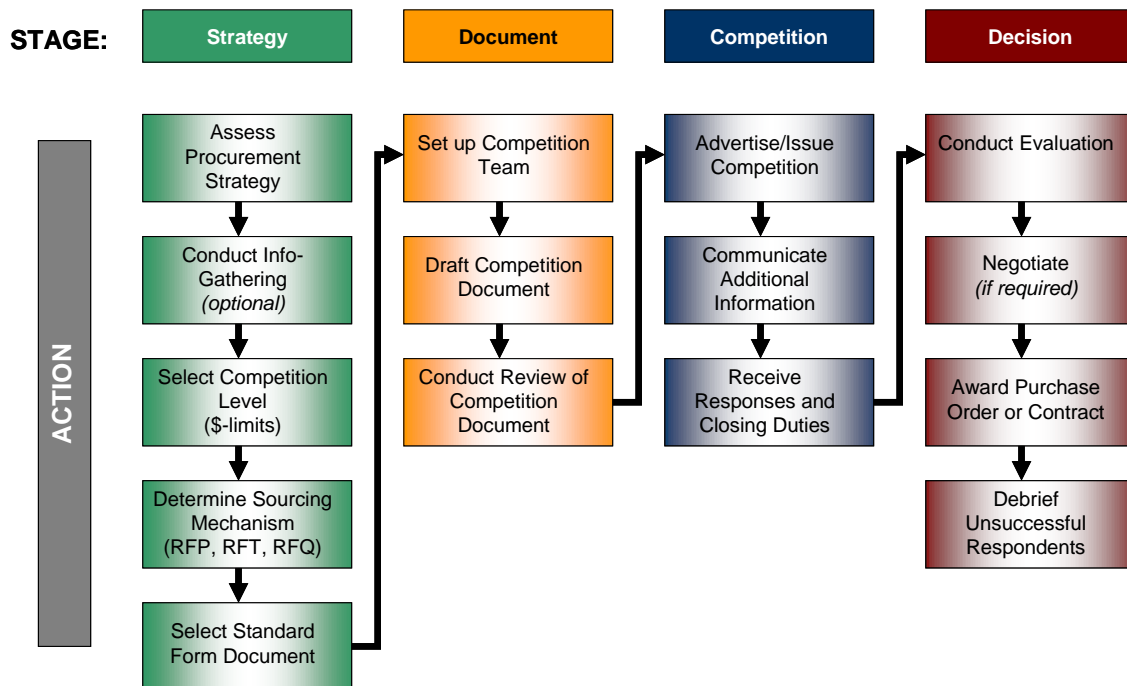
34 The sourcing process takes time to be carried out correctly, but it is important not to
 35 bypass steps or attempt to abbreviate the process, as this may have negative effects on
 36 the competition, such as impacting respondents' decision to participate, affecting their
 37 perception of the fairness of the process, or increasing the risk to UVic due to document
 38 or process errors. The process is intended to achieve the best business decision for UVic.

39 **At UVic, work is not to begin, nor are materials to be delivered, until the applicable**
 40 **procedures have been followed, including all appropriate approvals.**

1 The following section discusses the various steps of the sourcing process and assistance
 2 in understanding the decisions to be made. The process steps are depicted in the
 3 flowchart below.

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Flowchart: Steps to the Sourcing Process



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9 Conducting an appropriate sourcing process may take from four weeks to six months,
 10 and sometimes longer, depending on complexity.

11 2.1 Preparation and Procurement Strategy

12 During the preparation and strategy phase, Procurement will perform the following
 13 steps. Elements of the preparation phase are further detailed below, in the subsections
 14 referenced in this table:

Preparation Step	Action
2.1.1 Receiving a new sourcing request	Examine the project initiation document submitted in support of a project or initiative, or the RT ticket in support of a procurement request for details submitted by the requestor
2.1.2 Use information-gathering mechanisms	Determine whether pre-sourcing activities such as information-gathering need to be conducted
2.1.3 Invitational a competition level	Determine the appropriate level of competition based on policy and procedures
2.1.4 Invitational competition mechanism	Invitational the most appropriate procurement mechanism (RFP, RFT, RFQ or RFI)
2.1.5 Engage the competition team(s)	Assemble a cross-functional collaboration team for creating the competitive document and an evaluation team responsible for evaluating competitive responses

1

2 2.1.1 Receiving a New Sourcing Request

3 When a sourcing request¹ is received through a Request Tracker (RT), Purchasing
4 Services will review the request for key information and recommendations from the
5 requester. Below are some examples of information that may be found within, or
6 attached to an Project Initiation Form or RT ticket that may assist in the sourcing
7 process:

8 The **need date** is an important signal and to plan sourcing work and to meet the needs
9 of the business.

10 The Background Information is used to describe the current environment of the
11 requesting area. This will provide details to help the supplier to understand our
12 requirements and how they fit into the organization

13 A **Purpose, Scope of Work and Technical Specifications** are used to define the exact
14 services required and should form part of the competition document.

15 The **notes** section of the request should be reviewed to identify any important
16 information or special requests being communicated by the requester. RT's and CR's

¹ Note that different end users will have varying requirements for assistance for the sourcing process. In other words, while RT is usually used to initiate all sourcing including the development of competitive procurement documents, certain user groups develop these documents themselves and use the RT to initiate the tactical aspects of the sourcing (e.g. advertisement on BC Bid or Merx).

will also contain **suggested suppliers** that may be used as invitees for invitational competitions or for direct awards, if appropriate. More information on direct award is located in [Section 2.1.3.4](#) of this document.

Requesters may provide a list of one or more **designated resources** that may be useful/required participants in the Evaluation Team.

Many requests that stem from planned work will have had a [Procurement Strategy](#) prepared in advance of the initiation. A Procurement Strategy is a document used by some planning groups, which contains recommendations on how to conduct sourcing activities for the materials or service acquisition in a manner that aligns with a corresponding business case or initiative. A procurement strategy document is typically prepared for high dollar value or high risk procurement. Such procurement strategy should be provided to the sourcing specialist once assigned.

A typical procurement strategy may contain the following information:

- (a) Scope of the initiative, timing and value.
- (b) A general description and estimated volumes and costs of the materials and/or services to be acquired. If applicable, breakdown of scope into work packages that indicate responsibility for prelim design, final design, supply and installation
- (c) The procurement risks and objectives, e.g. schedule, quality, etc.
- (d) The procurement options and process, e.g. type of procurement (RFP or RFT), contract packaging (number and composition of contracts).
- (e) Identification of impacts on or opportunities for Aboriginal Peoples, safety or Triple Bottom Line (TBL).
- (f) Identification of stakeholders and plan for engagement.
- (g) The results of market sounding investigations that have been undertaken including availability, lead times and capabilities of the supplier community.
- (h) A risk assessment of the options including consideration of physical, construction, economic (e.g. market assessment) and political/public risks and how these risks may be mitigated.
- (i) The pros and cons of the proposed options.
- (j) A summary of how the procurement objectives will be met.
- (k) A recommended procurement strategy, which includes the recommended procurement process.
- (l) List of reviewers and approvers.

For planned procurement (e.g., the setup of blanket orders), Purchasing Services will prepare the Procurement Strategy in collaboration with the relevant department(s).

If a Procurement Strategy document has been submitted in support of a Project or initiative, or with the RT, refer to it to help prepare for the competition. Due to the level of diligence used in preparing the Procurement Strategy, any changes to the proposed

1 strategy must be discussed with, and only carried out in consultation with, the
2 requesting department/project manager.

3 **2.1.2 Use of Formal Information-gathering mechanisms**

4 Information-gathering mechanisms are useful for situations where UVic has incomplete
5 information about either the material/service that it requires, or the capabilities of the
6 market to deliver the material, service or solution required.

7 The information gathered during either of these processes will help UVic plan a fair and
8 cost-effective solicitation process, define the requirements for the solicitation
9 documents, or identify whether there are interested suppliers.

10 When informal research and information-gathering is insufficient, the following formal
11 processes may be used where warranted, recognising the time and effort required to
12 conduct them, for the purposes described below:

13 [Request for Information \(RFI\)](#): The purpose of an RFI is to gather general supplier or
14 product information. This mechanism may be used when UVic is searching for a
15 solution or material but has not yet determined what characteristics the ideal
16 solution would have (e.g.: Science Stores desires a new stores management system
17 but is unsure of which features are most important and needs more information to
18 understand what is available and what supplier capabilities are).

19 Responses to RFI questions normally contribute to the final version of a subsequent
20 RFP and may include targeted questions about the required output/acquisition,
21 seeking combinations of industry best practices, suggestions, expertise and even
22 concerns and additional questions from respondents.

23 [Request for Expressions of Interest \(RFEOI\)](#): The purpose of an RFEOI is to gather
24 information on supplier interest in an opportunity or information on supplier
25 capabilities/qualifications. This mechanism may be used when UVic wishes to gain a
26 better understanding of the capacity of the supplier community to provide the
27 services or solutions needed.

28 Information collected can also facilitate selecting the best possible competition
29 method for a follow-up competition.

30 [Request for Supplier Qualifications \(RFSQ\)](#): The purpose of an RFSQ is to gather
31 information on supplier capabilities and qualifications, **with the intention of**
32 **creating a list of pre-qualified suppliers**. This mechanism may be used either to
33 identify qualified candidates in advance of expected future competitions or to
34 narrow the field for an immediate need. The purpose of this process is to reduce
35 subsequent effort devoted to the competitive process (i.e., bid preparation on the
36 part of suppliers and evaluation on the part of UVic), as detailed further here:

- 37 • RFSQ can be used to understand which potential respondents have the
38 capabilities that UVic requires, as the first stage in a two-stage solicitation
39 (followed by either an RFP or RFT), whereby only pre-qualified suppliers
40 will be invited to respond to the actual competition. This can make the
41 number of responses and the evaluation process more manageable for

UVic, while allowing unqualified proponents to avoid the effort and expense of preparing a complete competitive response.

- RFSQ can be used to pre-qualify suppliers who are interested in supplying materials or services in the future—if, as, and when requested. The typical result of this procedure is a pre-qualified supplier list, and the guidelines below apply primarily to these types of RFSQ processes.

RFSQ documents should specifically define the type of materials or services included as part of the process, and set upper limits to the value of future awards, so as not to be bound to the pre-qualified list for opportunities that fall outside (in scope or in value), the original intent of the pre-qualification exercise. The RFSQ document should also clearly indicate the time duration the list is to be valid, the method(s) by which suppliers can be placed on the list, and at what specific intervals opportunities for being qualified will come up. The document should also indicate whether suppliers who do not appear on the pre-qualified list will be excluded from opportunities under the pre-qualified suppliers' list or if there is a mechanism to allow consideration of additional suppliers for unspecified future work.

A pre-qualified supplier list may be created as a result of this procedure and may follow a number of formats with the intent of facilitating one or more potential supplier selection processes, but in all cases must be used according to procedure detailed in the advertised RFSQ document.

Typical pre-qualified supplier lists for future opportunities can be segmented by region, contain a ranked list of suppliers, or simply contain unprioritised supplier names. Regardless of the method for arranging the list, UVic policy thresholds for competing contracts still apply. This means that:

- Acquisitions of materials \$75,000 and above, non-construction services \$75,000 and above or construction services \$100,000 and above will be obtained via publicly advertised competition, such as tender or RFP. At or above these thresholds, all suppliers on a relevant pre-qualified list will be given the opportunity to compete for the opportunity. Below these thresholds, direct award to any pre-qualified supplier is possible.
- If stated in the RFSQ document, UVic may set an upper \$-value limit over which opportunities will be competed publicly (i.e., non-pre-qualified suppliers will be allowed to respond).

There is no obligation on the part of UVic to actually call on any supplier on this list at any time to supply such materials or services. To ensure this, it is important that the terms and conditions built into the RFSQ contain specific language to disclaim any such obligation on the part of the UVic. In other words, the intention is that no Contract A (bid contract) or Contract B (performance contract) will be formed between UVic and the pre-qualified suppliers as part of this process.

General Guidelines on Information Solicitation:

- RFI's and RFEI's are not competitions meant to result in the award of work; therefore, a correctly-executed information solicitation process should not result in a legal contract ("Contract A" or bid contract) with a respondent. Care should be taken to avoid language that may create a commitment or liability on the part of UVic.
- Since it is generally desirable to reach a large population of potential suppliers when seeking information, RFI's and RFEI's should be published on BC Bid.
- RFI's and RFEI's should not ask for proprietary information from suppliers.
- A response to an RFI or an RFEI does not pre-qualify a potential supplier and does not influence their chances of being the successful proponent on any subsequent opportunity.
- It is preferable to use RFSQ, not RFEI, for the process of pre-qualification, as RFSQ more clearly communicates to potential respondents that the process is looking to identify supplier qualifications, as opposed to the level of interest within the supplier community.
- The uses of all three information-gathering mechanisms are summarised in the table below.

	RFI	RFEI	RFSQ
Information Required			
General supplier or product information	X		
Information on supplier interest in opportunity		X	
Information on supplier capability/qualifications		X	X
Pre-qualified suppliers' list desired			X

2.1.3 Selecting a Competition Level

This section provides UVic's standards for determining the level and type of competition to be followed. Competition level is a fundamental way for UVic to achieve value for money. Remember though, if the competitive process is flawed, UVic may still not receive good value for its expenditures or may find itself involved in potentially costly litigation processes with suppliers who believe they have not been treated fairly. UVic's policies should be applied such that the cost of the procurement process itself is reasonable given the value of the procurement.

2.1.3.1 Competition Limits

The level of competition that UVic seeks for a given procurement need is determined by the cost of the acquisition. The three levels of competition are:

- Public Competition
- Direct Award
- Invitational Competition

The public competition thresholds are defined by NWPTA (for MASH sector), AIT & TILMA and establish the value at or above which public competition must be followed except as allowed in Section 2.1.3.3.

<u>Sourcing Construction Services</u>	<u>Sourcing Non- Construction Services</u>	<u>Sourcing Materials</u>
Public Competition Threshold <ul style="list-style-type: none">• \$200,000 and above• Formal competitive process advertised on BC Bid Website	Public Competition Threshold <ul style="list-style-type: none">• \$75,000 and above• Formal competitive process advertised on BC Bid Website	Public Competition Threshold <ul style="list-style-type: none">• \$75,000 and above• Formal competitive process advertised on BC Bid Website
Direct Award <ul style="list-style-type: none">• Under \$200,000• Direct Award Acceptable• CO with Direct Award justification documented in FAST	Direct Award <ul style="list-style-type: none">• Under \$75,000• Direct Award Acceptable• CO with Direct Award justification documented in FAST	Direct Award <ul style="list-style-type: none">• Under \$75,000• Direct Award Acceptable• PO with Direct Award justification documented in FAST
P Card <ul style="list-style-type: none">• P-Card not acceptable for construction services of any value.	P Card <ul style="list-style-type: none">• P-Card is acceptable for low-risk services up to \$2,500	P Card <ul style="list-style-type: none">• P-Card is acceptable for non-stock purchases up to \$2,500

2.1.3.2 Public Competition

A competitive sourcing process advertised publicly is the default procurement method for UVic and must be used for all acquisitions at or above the public competition thresholds. Public advertisement must be done on BC Bid or Merx, and may include other advertising methods (in addition to, but not instead of, BC Bid). To balance the effort of conducting a public competition with the potential value benefits of doing so, additional options (invitational competition and direct award), are available for opportunities valued below the public competition threshold. These are detailed below.

2.1.3.3 Direct Award

In accordance with the competition limits, UVic is permitted to engage a supplier directly without conducting a competition under the following circumstances, as evaluated by Procurement:

- the total value of the acquisition is below the applicable public competition threshold;
- UVic is reasonably certain that only one supplier is capable of meeting the requirements of the procurement (this is considered a “sole source” situation);
- an emergency exists and the requirement cannot be satisfied in time using a competitive sourcing mechanism;
- the acquisition is of a confidential or privileged nature and disclosure through an open bidding process could reasonably be expected to compromise confidentiality, cause economic disruption or be contrary to the public interest;
- the acquisition is for services provided by lawyers and notaries;
- the acquisition is for materials intended for resale to the public; or
- no submissions were received in response to a public competition for the acquisition.

Although acquisitions up to the public competition thresholds can be made using direct award, recurring requirements that would add up to an amount above the applicable threshold should be combined and competed in order to achieve improved pricing, terms or treatment with suppliers for these requirements. Likewise, Procurement may conduct a competition for any requirement, of any value, at its discretion.

If UVic is reasonably certain and has documented efforts to determine that only one supplier is capable of supplying the material or service being procured, it may award directly to that supplier using “sole source” as its reasoning. However, if the acquisition would otherwise have been competed, (e.g., the value is significantly over the direct award limit), UVic should take additional steps to identify other possible suppliers for that need. In this case, a Notice of Intent (NOI) could be created and issued to the market.

An NOI is a method by which UVic can inform suppliers that negotiations with a specified contractor without a competitive process are being contemplated. This process may be undertaken to ensure that other potential suppliers have not been inadvertently missed. If additional qualified and interested suppliers are identified through the NOI process, a competitive process may be undertaken.

2.1.3.4 Invitational Competition

While not a requirement, invitational competitions may be used for opportunities up to the public competition thresholds where it makes sense to do so because a clear preferred supplier is not known, or to select a preferred supplier where pre-qualification

1 has been undertaken in accordance with the public competition thresholds. In this
2 process, Procurement will seek a minimum of three competitive responses from which
3 to choose a supplier. In order to identify invitees for an invitational competition,
4 Procurement may refer to supplier recommendations made by the requester (via the
5 RT), search UVic's history of respondents or suppliers for similar acquisitions in the past,
6 or conduct new research into the market, as necessary.

7 **2.1.4 Selecting the Sourcing Mechanism**

8 **Request for Quotation (RFQ):** RFQ is used for basic quote gathering for materials and
9 can also be used to conduct a competition among pre-qualified suppliers for materials
10 or services if appropriate terms and conditions have already been signed.

11 **Request for Tender (RFT):** Tendering is UVic's usual procurement practice for major
12 equipment and construction. Tenders usually include a well-defined set of
13 specifications and respondent innovation is generally limited to construction methods,
14 equipment choices, and staff/labour productivity. RFT's may permit respondents to
15 submit alternatives (that meet or exceed the specification), provided that they bid on
16 the basic tender. In general, tenders take significant up front effort to prepare and
17 clearly define the contract requirements. Irrevocability and bid security are key aspects
18 of a tender. Submission of bids in a tender context gives rise to the creation of a bid
19 contract, or "Contract A", which places specific responsibilities and obligations on both
20 parties, including a duty to act in good faith by the owner. Contract A introduces
21 liability if proper process is not followed.

22 A tender is an offer and acceptance process. UVic must, generally speaking, either
23 accept or reject a bid as submitted. There is very little discretion to waive non
24 conformities and negotiation is not permitted - although tenders sometimes include a
25 provision for negotiation or inclusion of options or alternatives.

26 Compliance must be determined prior to commencing evaluations and only materially
27 compliant submissions may be evaluated.

28 Explanation of "Contract A": Where an RFT specifies mandatory requirements, such as
29 scope of supply, technical requirements, contract terms and conditions, bid security,
30 etc., and a respondent then submits a tender which complies with the requirements
31 specified by the owner, a "bid contract" is constituted between the owner and the
32 compliant respondent at that point. This is the "Contract A" referred to in tender law,
33 and arises the moment the tender is submitted (assuming it is submitted before the
34 tender closing deadline). In the case of respondents who submit "non-compliant"
35 tenders, no "Contract A" comes into being, and they cannot complain if UVic does not
36 then follow the tender "rules" with respect to their bids.

37 This means that UVic is obliged under "Contract A" to: only consider compliant tenders;
38 proceed in good faith to evaluate the compliant tenders received on the basis of the
39 mandatory and other requirements and criteria specified in the RFT, and not to act on
40 the basis of hidden criteria, or preferences, not disclosed in the RFT.

41 The evaluation criteria should be set prior to issue of the advertisement of the tender.

Evaluation and award should be based on the highest scoring bid. This can include evaluation of lowest tendered price for more simple tendering activities, or evaluation of lowest Total Cost of Ownership (TCO) or other specific defined criteria for more complex procurement. If TCO is to be assessed, the RFT documents must include a description of factors that will be taken into account in developing the TCO. Safety, Triple Bottom Line (TBL = cost, social and environmental), quality, past experience and other factors appropriate for the specific procurement in question can also be considered during the evaluation provided these are disclosed in the competitive procurement documents and appropriate information is requested to assess these criteria.

Request for Proposals (RFP): RFP's are used where UVic's requirements cannot be well defined, or UVic has an interest in seeking creative solutions from proponents and desires or needs the ability to be flexible on one, some or all evaluation criteria and to negotiate on at least some issues. RFP's can take significant back-end work negotiating and finalising the contracts. An RFP does not necessarily create contractual obligations between UVic and the proponents upon the submission of proposals although it may. The RFP process involves some level of uncertainty compared to RFT, since anything can be subject to negotiation to the extent allowed in the competitive solicitation documents and proponents can usually withdraw at any time. The concept of irrevocability does not normally apply in an RFP context so bid security is not usually asked for.

The evaluation criteria should be set prior to issue of the advertisement of the opportunity.

The basis for award in an RFP process is normally the highest score and best overall value to UVic. In some situations, price may be given a lower weighting in the evaluation process and the best overall solution (including for example the scope, schedule, quality etc. of the offerings) may be weighted higher.

2.1.5 Engaging the Competition Teams

The Purchasing Officer is responsible for the creation of the cross-functional team that will be involved in competition document creation and evaluation. Such a team will comprise specialists required to address specific aspects of the procurement and participation will be highly dependent on the complexity and value of the materials or services to be procured. For simple procurement, it is expected that the cross functional team might be very small whereas for large complex project, the team is usually substantial. The evaluation team is usually a subset of the cross-functional team. It should be noted that additional internal or external subject-matter experts are sometimes used to assist in, or provide input to, any aspect of the procurement process on an as-needed basis.

The cross-functional team may include people who act in any or all of the following capacities:

- **Sourcing specialist(s)**: The sourcing specialist (typically a Purchasing Officer, Procurement Advisor or Contract Manager), generally manages the competitive document creation process and is responsible for coordinating

1 approvals and carrying out the procurement in accordance with UVic
2 procurement policies.

- 3 • **Director of Purchasing Services:** Representatives of Purchasing Services may
4 participate in sourcing planning, competitive document review or evaluation as
5 required. Purchasing Assistants & Purchasing Officers should escalate any
6 procurement-related issue to the Director of Purchasing Services for guidance
7 and resolution, if required.
- 8 • **Representative(s) from the requesting UVic departments:** Requesters and
9 other end users may want to be involved or may be required to provide
10 expertise from the point of view of the end users and most impacted internal
11 stakeholders.
- 12 • **Project Manager:** The Project Manager represents the interest of the project
13 and should be recruited to the cross-functional team in the event that the
14 acquisition in question is significant to the project or may in any way have
15 substantial impact to the project.
- 16 • **Facilities Management:** The Construction Manager's team may review the
17 scope of work and participate in construction-related aspects of the
18 evaluation.
- 19 • **Technical specialist(s):** Technical specialists (e.g., Designers, AV Systems,
20 Finance Specialist, Researchers or Department Heads.), may participate in
21 preparing the specification and conducting technical aspects of the evaluation.
22 Technical specialists' involvement generally continues for the duration of the
23 contract.
- 24 • **General Council:** Legal must be engaged to address changes made to standard
25 form documents or to review any non-standard document used. They may also
26 be required to comment on compliance of competition responses, to resolve
27 disputes and to advise on the legal process of competing and awarding
28 contracts.
- 29 • **Aboriginal Relations Group:** Aboriginal Relations can advise on the
30 engagement of Aboriginal peoples in the procurement process or on
31 conducting procurement to maintain positive relationships with Aboriginal
32 peoples.
- 33 • **Asset Recovery & Disposal:** The investment recovery group can assist with the
34 development of strategies for the environmentally sound disposal of retired
35 assets. This group will also coordinate all activities related to the disposal of
36 the assets.

37 Directors and Employees will perform their duties conscientiously and will not put
38 themselves in a position in which their private interests and those of UVic might be
39 perceived to be in conflict. Thus, individuals approached to be on the cross-functional
40 team or bid evaluation team must avoid conflicts of interest between their interest
41 and UVic's by declaring such relationships. Any individual with a non-arms length

relationship with a Respondent may not sit on the cross-functional team or evaluation team.

2.2 Competitive Sourcing Documents and Contracts

A series of Standard for contracts are used to undertake the procurement of materials and/or services. These documents represent the normal commitment documents and are applicable in all but special cases where they are clearly not appropriate.

Except as specifically identified within the associated document preparation Guidelines, UVic's standard form contract models may not be changed without the prior approval of the Director of Purchasing Services. The director must be advised promptly of the necessity for, and the nature of, changes made to standard form contract documents including the use of non-standard documents such as a supplier's standard contract document.

The following contract documents are available:

Request for Quotation ("RFQ") - no Contract A	
1.	RFQ Supply or *Low-Risk Services
Request for Tenders ("RFT")	
2.	RFT short form - Supply or *Low-Risk Services RFT short form - Construction or Supply & Install RFT long form - Construction
Request for Proposals ("RFP")	
3.	RFP Goods, Services or Goods & Services (one size)
Information Request Documents	
4.	Request for Expressions of Interest ("RFEI")
5.	Request for Information ("RFI")
6.	Request for Supplier Qualification ("RFSQ")
Other Documents Available	
7.	Notice of Intent ("NOI")
8.	FOIPPA Consent Form
9.	Confidentially Agreements (NDA's)

*Low Risk Services is defined in the document guidelines as follows:

- There is a low probability of an event causing a loss (such as writing, editing, data entry, training, and similar services that usually take place in an office environment, or outside work that does not require the use of medium or heavy equipment);
- The services do not include original design or engineering;
- There is no access to confidential or personal information by the Contractor;
- The services will not be performed in an area requiring high security; or
- The services will be performed in a high security area but the Contractor will be accompanied by a UVic Representative.

1 The Purchasing Officer must consult with his/her manager when necessary, to
2 determine whether a low or high risk situation exists. For Direct Award contracts, the
3 RFT and RFP templates are set up so that Part 2 – Contract may be extracted and used
4 to form a Direct Award Contract. Part 2 – Contract includes a 2-3-page Agreement
5 Form, Scope of Work/Specifications (in the case of RFT) or Requirements (in the case of
6 RFP), General Conditions, and Special Conditions, if any.

7 **2.2.1 Procurement Risk**

8 UVic has contract forms in varying levels of legal definition, to be used according to the
9 risk presented by different procurements. The following table lists various contract
10 parameters and characteristics to be considered when selecting the form of document
11 to be used, and indicates the typical maximum thresholds for each level of document.
12 When referring to a given column (from least rigorous to most rigorous contract form),
13 all conditions must be met in order to use that form of contract. If any condition is
14 exceeded, a more rigorous document should generally be considered.

15 RFP and Information Request Documents do not have separate long form and short
16 form documents and can be used for any risk level.

Parameter	P-Card (no document form)	RFQ, RFP & PO or AGR Terms & Conditions	Short Form Documents	Long Form Documents
Risk Level	Very Low	Low	Moderate	High
Value	Very Low Value < \$10K	Low Value < \$100K	Moderate value (\$20K- \$500K) could, however, have \$1 million low risk purchase (e.g. off-the-shelf item)	High value (> \$500K) although risk is the ultimate determinant, could have a \$150K high risk construction contract
Complexity	Simple	Simple	Low– few interfaces	High – many interfaces
Subcontract ors	No Subcontractors	None expected	Few expected	Numerous
Terms of Payment	Simple	Simple	Straight forward	Complex, e.g. milestone payments; escalation clauses
Unforeseen conditions	No site work	None anticipated	None anticipated	Potential changes due to

				unforeseen site or other conditions
Alternate dispute resolution mechanism	Not required	Not required	Simple or no detailed alternate dispute resolution mechanism	Need dispute resolution described in detail
Bid/ performance Security	Not required	Not required	Usually not required	Bonds or other securities required
Schedule	Immediate or very short delivery	Short delivery period typically < 6 months	Medium delivery periods, typically < 12 months	Long delivery periods, typically 12 months or longer
Warranty	Not required or rely on manufacturer's warranty	Not required or rely on manufacturer's warranty	Not required or rely on manufacturer's warranty	Detailed warranty provisions required

1

2 2.2.2 RFQ, RFT or RFP?

3 Implement the Procurement Strategy by employing the appropriate competition
4 mechanism.

5 Request for Quotations, should be used when quotations are sought where the
6 requirement is determined to be low value and low risk and a legally binding tender is
7 not desired (no obligation for UVic to enter into any contract with any supplier). When a
8 quotation is accepted by UVic it is confirmed by a Purchase Order or Contract Order
9 which references the General Conditions supplied by UVic with the RFQ to suppliers.
10 Low risk is defined in the RFQ Guidelines.

11 As discussed in [Section 3.1.4](#), Request for Tenders should be used when the acquisition
12 and evaluation parameters that will be used in the competition can be well defined.
13 Generally, RFT's do not include the right to negotiate, and one should consult with Legal
14 Services before embarking on negotiations with any tenderers. In addition, the Request
15 for Tenders template includes an irrevocability clause.

16 RFP's should be employed when UVic is looking for solution-based competitive
17 responses, and when evaluation criteria may be subjective. RFP templates do not
18 include a requirement for bid bonds, have minimal if any mandatory requirements, and
19 they have no irrevocability clause. It is important that they do not include any
20 "tendering language" as the objective is to not create a Contract "A" situation to allow
21 UVic to select the best proposal.

22

2.2.3 Drafting the Competitive Procurement Documents

Commercial sections of the documents are prepared by addressing contract-specific instructions that accompany the standard form documents. These sections represent the procedures that need to be followed during the competitive process and the terms and conditions which will govern the resulting contract. The instructions must be completed prior to issue.

Care should be taken during the drafting of competitive documents to limit the number of procedural pass/fail requirements (i.e., “shall” or “must” terminology), as these increase the likelihood that responses will be non-compliant and the risk that an otherwise advantageous response may be eliminated for procedural reasons. Failure to meet a mandatory requirement will cause a submission to be set aside for rejection.

In writing the competition documents, use plain language; be as short, clear and concise as possible. To avoid error state all times and dates only in a single place. Do not repeat them.

Specifications/ Statements of Work are generally contract specific although standard specifications are used to procure certain types of materials or services. Technical information and input from cross-functional team members (e.g. Principle Investigator, Project Manager, Researcher, and other technical specialists, Safety, Environmental and Procurement must be incorporated in consistent procurement terms and coordinated such that requirements are included in the appropriate part of the tender documents (e.g. no commercial requirements are to be included in the Specifications, or only instructions are included in the Instructions to Tenderers), and do not result in contradictions within the document.

It is important that the purchasing officer (document drafter) fully understand the scope of work for the contract and associated risks in order to ensure that the identified risks are addressed in the contract documents. The Purchasing Officer has responsibility for the preparation and completeness of the tender or RFP documents and for ensuring that input is obtained from cross-functional team members, as appropriate.

If a confidentiality agreement is required as a condition precedent to inspecting or obtaining the competitive procurement documents due to the proprietary or confidential nature of their content, a Non-Disclosure Agreement (NDA) is included in the documents.

2.2.3.1 Scope of Work Language

Word Usage

Shall: The word shall is used to indicate mandatory requirements to be followed strictly in order to conform to the standard and from which no deviation is permitted (*shall* equals *is required to*).

Must: The word *must* should not be used when stating mandatory requirements. *Must* should be used only to describe unavoidable situations.

In any event, procurement documents should use only one of “shall” or “must” to state mandatory requirements and not use these terms interchangeably

1 **Will:** The word *will* should not be used when stating mandatory requirements; *will*
2 should only used in statements of fact.

3 **Should:** The word *should* is used to indicate that among several possibilities one is
4 recommended as particularly suitable, without mentioning or excluding others. It can
5 also be used to indicate that a certain course of action is preferred, but not necessarily
6 required in the negative form, it can be used to indicate that a certain course of action is
7 deprecated but not prohibited (*should* equals *is recommended that*).

8 **May:** The word *may* is used to indicate a course of action permissible within the limits of
9 the standard (*may* equals *is permitted to*).

10 **Can:** The word *can* is used for statements of possibility and capability, whether material,
11 physical, or causal (*can* equals *is able to*).

12 **That and Which:** The words *that* and *which* are commonly misused; they are not
13 interchangeable. *That* is best reserved in essential (or restrictive) clauses; *which* is
14 appropriate in nonessential (or non restrictive), parenthetical clauses. Simply stated, if a
15 comma can be inserted before the word *that* or *which*, the word should be *which*. If a
16 comma cannot be used, use *that*.

17 Example:

18 Defining the inputs and outputs provides a better understanding of the steps
19 *that* are necessary to complete the process.

20 Defining the inputs and outputs provides a better understanding of these steps,
21 *which* are explained in 5.1 through 5.9.

22 **2.2.4 Providing additional information in the form of Reference Information**

23 The objective of including reference information with competitive procurement
24 documents is to provide as much information as possible to respondents to support
25 their understanding of the work, but without taking responsibility for its accuracy.

26 If any reference information or documents to be disclosed with competitive
27 procurement documents were prepared for a particular purpose (e.g. design rather than
28 construction) the purpose should be disclosed and any limitations on the use of such
29 information described.

30 At times, due to the voluminous nature of the reference information or difficulty
31 including it with the competitive procurement documents (e.g. may not be electronically
32 legible such as legacy drawings), arrangements should be made to view the information
33 during the competitive procurement period. In such cases, the information available for
34 viewing will be listed in the documents.

35 The reference information appendix should include a qualifier that UVic is not
36 responsible for its accuracy and that the respondent should not rely on the reference
37 information to any greater extent than is appropriate given the respondent's own
38 investigations and the particular circumstances.

2.2.5 Conducting the review phase

During the drafting of competition documents, the Purchasing Officer arranges for informal reviews of preliminary drafts of various sections of the document with those directly providing the input to them.

Draft RFT and RFP documents should be distributed to necessary cross-functional team members for review as appropriate. It is important that reviewers be given sufficient time for meaningful reviews.

Although any competition document may follow the review process, long form documents or documents for more complex acquisitions will typically be distributed in draft form to members of the cross-functional team, so that they may review the sections of the document that pertain to their area of expertise/impact. The Purchasing Officer will coordinate the review process and incorporate reviewers' input / make changes as required. Cross-functional team members will then be given the opportunity to review finalised document sections and to sign off on them.

As a final step in preparing for a competition the Purchasing Officer should complete the Competition Checklist template included as Appendix A to this Document.

For higher risk procurement, a tender summary document is used by some business groups to highlight key tender provisions, variances and unique terms in support of senior management approval prior to issuance.

2.3 Advertising and Communication with the Market

UVic's communication practices during a competitive process must follow accepted practice in order to uphold the principles of fair, open and transparent dealings, to encourage maximum competitive response and to ensure that suppliers have a positive experience in dealing with UVic. This section details the standards and required conduct for outward communication with the market during procurement.

2.3.1 BC Bid & Merx

UVic's standard for communicating competitive procurement opportunities to the market are via BC Bid & Merx. BC Bid is a web portal that allows suppliers to identify British Columbia public sector procurement opportunities. Merx is also a web portal that would expand to a larger world market. [Post-Submit-Evaluate](#) Matrix provides details on thresholds and posting instructions.

UVic advertises opportunities publicly by uploading electronic documents in PDF format to the web portals. The subscribers can download the competitive bid documents from the websites and also request that they be notified of any amendments to these documents. Copies of the procurement documents cannot be ordered directly from the UVic contact person identified in the RFx documents.

To facilitate the distribution of the documents and to attempt to reach as many potential respondents as possible, UVic also maintains Courtesy Holder / Distribution Lists and suppliers on these lists are sent an email notification from UVic to view a new posting UVic wants them to be aware of. UVic also generates lists of preferred / known suppliers and notifies these suppliers by email of new opportunities advertised.

1 Where a invitational tender/ RFP is required, a similar process is used; however, instead
2 of public advertisement of the opportunity, selected suppliers are identified and invited
3 to participate.

4 All UVic procurement analysts are responsible for knowing the procedures related to the
5 electronic portals and should be able to direct any questions to the appropriate source.
6 While BC Bid and Merx are the standard for advertising public competitions, other
7 media (e.g., other electronic bid media, newspapers, trade journals, etc.) may be used in
8 addition to these for the purposes of reaching a wider market.

9

10 **2.3.2 Submission Response Time**

11 Sufficient time must be given to suppliers to prepare and submit responses;
12 Procurement must use discretion with the goal of promoting open competition without
13 unduly restricting response time.

14 Generally, a minimum response time of 14 calendar days for materials valued at or over
15 \$75,000 and services valued at or over \$75,000 should be allowed for supplier
16 responses, while a minimum of 30-60 calendar days is generally appropriate for
17 procurements assessed as complex/high risk procurements, including alternative service
18 delivery. Additional consideration should be given to standard holiday times or other
19 periods of reduced activity; for example, a competition should not close on January 2nd -
20 directly following the Christmas holidays - as respondents are likely to be on holiday
21 staffing levels, which may limit their ability to produce a competitive submission.

22 **2.3.3 Communication with Respondents during Competition**

23 The period from the date the competitive procurement documents are issued until the
24 Closing Time is commonly referred to as the “blackout period”.

25 During the blackout period in all competition situations, it is imperative that all
26 communication with suppliers involved in the process occur formally, through the
27 Procurement channel described in the documents.

28 During the blackout period, the competitive procurement documents may be clarified or
29 modified through the use of one of two types of documents:

- 30 • An addendum
- 31 • A Question and Answer (Q&A) Series

32 Addenda and Q&A Series are posted to BC Bid or Merx and made available to all
33 potential respondents. Standards for these and other communication mechanisms are
34 included in the subsections that follow.

35 In some cases, UVic initiates a “information session” to clarify the requirements of the
36 competitive procurement documents.

2.3.3.1 Addenda

An addendum is prepared if modifications to the competitive procurement documents are necessary (e.g. amending, adding, or deleting information due to errors, conflicts, or deficiencies in the documents). An addendum may modify the documents by:

- Inserting new, revised or repaginated pages.
- Inserting new or revised drawings.
- Deleting pages or drawings.
- Inserting pages that were inadvertently omitted from the tender documents.

Addenda should be issued at least 5 working days prior to the Closing Time. If a significant addendum is issued close to the Closing Time, an extension to the Closing Time should be considered taking into account the required schedule.

2.3.3.2 Questions and Answers (Q&A)

Procurement receives all questions from prospective respondents. A Q&A response is prepared if clarification of the documents is required without the need to modify the tender documents. Any answer that results in a change to any aspect of the competitive procurement documents must be addressed by making corresponding modifications to the documents by addenda. The Purchasing Officer prepares a Q&A, obtaining answers from the appropriate specialists, and posts the Q&A to either BCBid or Merx.

Generally, for long form documents, questions are requested to be submitted no less than 7 days prior to the Closing Time, although questions will be considered after that and, if warranted, consideration will be given to extending the Closing Time taking into account the project schedule. The objective is to ensure that all respondents receive as much relevant information as possible.

2.3.3.3 Site Visit

Should any site visit be planned, the Purchasing Officer makes arrangements with the site personnel (e.g. facilities manager, client) and ensures that all safety, security and other issues are addressed.

Procurement normally receives the requests to attend the site visits. The procurement contact is identified in the competitive procurement documents. All site visits are conducted in accordance with the Site Visit Protocol included with the documents. If the Purchasing Officer does not attend, clear instructions related to communication guidelines must be given to the delegated UVic representative.

If a site visit is mandatory, this criterion must be clearly identified in the documents and adequate time and access given to all potential respondents. It must also be noted that submissions will only be accepted from those who have attended the mandatory visit (thus, careful consideration should be given to whether the site visit is, in fact, a strict requirement). The Purchasing Officer (or delegate) is responsible for recording and maintaining a list of all site-visit attendees to ensure compliance.

1 The UVic representative in charge of the site visit should commence the site visit with a
2 description of the work and the competitive process. It should be stated clearly that the
3 site visit is for information purposes only, that respondents must rely on the documents
4 and that any discussion at the site visit is off the record. Alternatively, minutes should
5 be taken, with all Q&A's documented and issued as a Q&A series later, if necessary.
6 Should clarification be required, questions should be submitted in writing in accordance
7 with the process established in the documents.

8 **2.3.3.4 Conduct during Competitive Procurement Period**

9 UVic will not release any information received from a potential respondent, including
10 any pricing information (i.e., in a non-closed bid situation such as when submissions are
11 received by fax), during the blackout period. This reduces the ability of potential
12 respondents to understand each other's pricing structures and protects the integrity of
13 the process. In a closed bid situation (i.e. where sealed submissions are received and not
14 opened until after the Closing Time), this is not generally an issue.

15 In any situation, UVic employees should not receive response packages directly from
16 respondents and instead, respondents must deliver their response to the location
17 defined in the competition document by the Closing Time.

18 **2.4 Receipt of Responses**

19 Responses must be submitted by the closing time specified in the competition
20 document. UVic's standard closing time is 14:00:00 PT. Ensure that the closing date is
21 set on a normal working day (Monday to Friday, excluding holidays). Submissions which
22 are delivered after the closing time will not be considered.

23 The Proponent must deliver its Proposal and any amendments in digital format to the
24 Electronic Closing Location. Proposals received by hard copy, facsimile transmission, or
25 email will not be considered.

26 Submissions are generally opened by purchasing at 14:00:00 PT on the closing date.

27 Proposals submitted by the Bonfire Submission Portal Method or Merx EBS shall be
28 deemed to have been delivered after the Closing Time if the transmission of the
29 Proposal begins before the Closing Time but is not completed until after the Closing
30 Time.

31 Proposals received by the Bonfire Submission Portal Delivery Method or Merx EBS will
32 be date and time recorded in accordance with Bonfire's procedures from time to time,
33 and such recording shall conclusively be deemed to be correct as to the date and time of
34 delivery.

35 Purchasing officer reviews the submissions in the Bonfire Portal and releases the
36 submissions to the Evaluation Team. The original copy of the submission is retained
37 within the Bonfire Portal and within the Purchasing Services file/ archive copy. The
38 Purchasing Officer should verify that all documents are distributed for evaluation in
39 accordance with the approved evaluation protocol.

2.5 Evaluation of Responses

2.5.1 Evaluation Protocol

Prior to closing, the Purchasing Officer, in consultation with the project manager or end-user, prepares the procurement evaluation protocol. This sets the stage for the evaluation and must be complied with to ensure the integrity of the process. Depending on the complexity of the contract, the evaluation protocol may require senior management approval. The protocol includes:

- evaluation team members;
- mandatory requirements;
- finalised evaluation criteria and scoring system;
- negotiation strategy, if applicable;
- other contract specific items.

An [Evaluation Guide](#) Template is available to plan and coordinate the evaluation team and process. The Evaluation Criteria template should be used to prepare a set of evaluation criteria specific to the competition based on UVic standards.

2.5.2 Evaluation

Prior to commencing evaluation, it must be ascertained whether submissions are compliant or not as only compliant submissions will be evaluated.

Materially non-compliant submissions are set aside for rejection. If in doubt regarding compliance, consult with the Director of Purchasing Services and/ or UVic Legal Counsel.

In some cases, certain clarifications may be sought from respondents, but only as a means of understanding their response.

Evaluation team members prepare independent evaluations covering their areas of expertise, as identified in the evaluation protocol. Evaluators should focus on the sections of responses that they have been assigned to evaluate, and should conduct their assessments confidentially.

For supply and supply and install competitions, clients may be requested to undertake evaluation of the proposed factories or manufacturing facilities. This will be disclosed in the competitive procurement documents.

The evaluation team members enter scores into the Bonfire Evaluation Tool, and results are reconciled to arrive at a single final evaluation matrix, which ranks the submissions.

If all submitted prices are above the estimate, the Purchasing Officer advises the Project Manager or end-user. If additional funds are made available, the evaluation proceeds, if not, the process may be cancelled.

If there is a significant change in scope required to meet the budget, the procurement process should be cancelled and the opportunity re-tendered (with a revised scope), and with direction from the Director of Purchasing Services.

1 If the highest ranked submission is acceptable, the contract is usually awarded to this
2 respondent.

3 Prior to entering into negotiation, and if required, a negotiation strategy may be
4 developed and reviewed with the project lead.

5 A contract summary document may be required to highlight the unique provisions of
6 the contract and terms in support of a contract signing request to senior management.

7 If all submissions are non compliant, the competition must be collapsed. Following the
8 collapse, options include:

9 • beginning the competition anew; or

10 • initiating discussions with any supplier with the involvement of Purchasing
11 Services and Legal Counsel. Candidates for these discussions will be
12 notified as soon as possible of the commencement of such discussions.

13 Any respondent whose submission is set aside for rejection during the evaluation
14 process will be notified of the rejection in writing as soon as practicable after
15 completion of the evaluation.

16 With the exception of any pricing that was made publicly available at the time of a
17 public opening, all submission evaluation details must be treated as confidential
18 information.

19 Records of evaluation scores are to be auditable. Evaluators should be aware that
20 everything they say or document must be fair, based on fact and fully defensible and
21 may be subject to subpoena. Section 2.6.5 provides guidance on supplier debriefing
22 following award.

23 **2.5.2.1 Things to Remember During Evaluation**

- 24 1. Always treat Applicants, Respondents or Bidders equally.
- 25 2. Do not apply undisclosed criteria.
- 26 3. Document the evaluation process well including keeping notes on each
27 submission that are readable and clear and do not contain comments on
28 anything other than the evaluation criteria.
- 29 4. Never mark “intuitively”. Use the evaluation criteria established and apply
30 them.
- 31 5. If building consensus among the evaluation team, be sure to compare the
32 consensus to the original scores and ensure significant discrepancies are
33 understood and justified.
- 34 Check your calculations.

2.6 Negotiation and Award

2.6.1 Recommendation Memo

After the evaluation team has identified a lead respondent, the Purchasing Officer prepares a [Recommendation to Proceed](#) summarising the competition results, and circulates to the project manager or end-user group for approval.

The recommendation to proceed includes:

- the project background;
- the contracting strategy;
- key contract risks and their disposition;
- a summary of submissions received;
- evaluation, including assessment of respondents, clarifications/negotiations if any, and final evaluation matrix;
- recommendation for award.

2.6.2 Tender Award

Once the award recommendation is approved under an RFT process, the Purchasing Officer should prepare and send an award letter using the [Standard Award Letter](#) template. A sample is included in Appendix B.

2.6.3 RFP Negotiation and Award

Once the award recommendation is approved under an RFP process, negotiations are initiated with the lead respondent, generally through a letter to the lead respondent, if required. A sample [Lead Proponent Letter](#) is included as Appendix C. Should negotiations with this party fail, the process should be terminated with that respondent, and negotiations may commence with the next highest ranking respondent. Should those negotiations fail, they may commence with the next highest ranked respondent. Negotiations must be undertaken in a professional and confidential manner.

Detailed guidance on the conduct of negotiations is beyond the scope of this document. Nevertheless, there are some negotiating principles that are important.

1. Negotiation is complex and must only be undertaken by a qualified individual or team for example, the competition's cross-functional team.
2. Create a win-win atmosphere instead of adversarial confrontation. If both parties are working towards a similar goal (how do we get this done?), the negotiations will tend to be smoother than in a win-lose atmosphere.
3. It is important to understand the motivations of both parties that underlie their positions.
4. Attempt to achieve creative solutions that directly address these motivations. There may be more than one way that objectives can be achieved.

- 1 5. Emotions and egos must be kept in check as they can get in the way of solutions. It
2 is not uncommon for negotiators to refuse to agree to offers presented 'on
3 principle'.
- 4 6. Understand your deal-breaker issues – what concessions must be negotiated in
5 order to sign a contract with the other party. Also think about what the other
6 party's deal breakers are and how they can be accommodated. By the definition of
7 deal-breaker, if either party's deal-breakers cannot be satisfied, it will be impossible
8 to agree to contract terms. Obtain any additional input required (e.g. from Legal
9 Council) to assist in the determination of must-have issues prior to the negotiation.
- 10 7. Understand your nice-to-have issues and rank them in order of priority.
- 11 8. Determine how much time and effort you are prepared to expend on the
12 negotiation based on the value and strategic importance to UVic of the materials or
13 services in question.
- 14 9. Determine the form of negotiations to take place – will they be formal or informal?
- 15 10. Document clearly the results of negotiations and have both parties agree to the
16 documentation. It is advisable to do this immediately on resolution of a negotiating
17 point to avoid any potential for disputes related to the agreement.
- 18 When negotiations have concluded successfully (including agreement on the terms and
19 conditions of the contract), the Purchasing Officer updates the recommendation for
20 award memo as necessary, and forwards to the end-user group for review and re-
21 approval if required.
- 22 When the award is approved, the Purchasing Officer arranges for execution of the
23 contract document by both parties.

25 **2.6.4 Webreq and Subsequent PO following FAST Approval Checklist**

26

27 A Webreq is prepared in FAST for issue to the successful respondent. A Purchase Order
28 (PO) follows. The Webreq is the FAST vehicle for requisitioning goods and services for
29 the University. The Webreq when converted to a PO is a financial commitment and
30 must be approved in FAST by the appropriate authority.

1 Prior to issuing a PO , confirm that the following are true.

✓	Confirm the following before approving the purchase order.
	Webreq contains appropriate financial approval limits from all required approvers.
	The dollar value and quantities on the PObeing approved match the dollar value and quantities approved in the recommendation to award.
	The item(s) on the purchase order being approved match the item(s) approved in the recommendation.
	Necessary approvals have been granted by the person/people accountable for the procurement, according to financial approval requirements in UVic Spending and Commitment Authority Levels .

2

3 **2.6.5 Debriefing**

4 Once the contract award has been made (by award letter in the case of a tender, or by
5 execution of the final contract in the case of an RFP), Procurement will send regret
6 letters to the unsuccessful respondents as soon after the award as practical. The letters
7 should include offers to meet with the respondent to discuss their submission and
8 reasons why it was not successful unless it was a tender, evaluated purely on price. The
9 Purchasing Officer should prepare the regret letters using the Standard Letter of Regret
10 template included in Appendix D to this document.

11 It is important to recognise that the participation of a respondent in a competitive
12 process has a cost associated with it and all respondents should be treated with respect.
13 Respondents are entitled to receive feedback on their submissions and it is to UVic's
14 advantage to encourage them to participate in future competitive procurement process
15 and to provide improved submission in the future.

16 Debriefings need to be managed with sensitivity and are normally arranged and chaired
17 by the Purchasing Officer. The strengths and weaknesses of the submission in question
18 should be reviewed and pointers provided on how future submission could be improved
19 may be given. No information on other bids or any confidential information is to be
20 disclosed.

21 It is recommended that the evaluation team meet in advance of the debriefing meeting
22 to review the debriefing meeting agenda. An has been prepared by Purchasing Services
23 and this guide includes information on the disclosure of information during supplier
24 debriefing meetings.

25 Once the debriefing is complete, the Purchasing Officer should review and complete the
26 Procurement File Checklist template included as Appendix E to this document. This
27 assists in maintaining standardised and complete records of procurement.

28 **2.6.6 Cancellation**

29 UVic will collapse the competition if all submissions are non-compliant.

- 1 UVic may cancel the competition if a business decision is made to do so. Examples of
2 when a competition may be cancelled include, but are not limited to:
- 3 • If all pricing is above the estimate,
 - 4 • If no submission is deemed adequate (e.g. no submission appears to be
5 viable or no submission meets UVic's minimum requirements stated in the
6 solicitation document for that competition), or
 - 7 • If collusion is suspected.

8 If cancelled or collapsed, respondents will be notified via bid-cancellation letters.

9 **3 Contract Administration**

10 All procurement of materials and services by UVic, and the resulting contract, must be
11 responsibly and effectively managed. The designated UVic Representative has overall
12 responsibility to ensure that the contract is properly managed. When administering a
13 contract with a supplier, it is important to ensure agreements are kept up to date and
14 relevant including through the use of supplementary agreement or Equitable
15 Adjustments as required, and that supplier eligibility is upheld (e.g. insurance
16 requirements are continuously met).

17 **3.1 Contract Renewals and Changes**

18 Orders, including PO's and AGR's, must be maintained throughout the life of a contract.
19 Below are some contract management responsibilities:

20 **3.1.1 Renewal of AGR**

21 Procurement analysts will receive A notification when a AGR order comes within a pre-
22 defined time or percentage of completion (e.g., 75% spent or 60 days left before expiry).
23 The Purchasing Officer is responsible for either re-sourcing the material or service
24 covered by the AGR by the time expiry occurs, or renewing or extending the blanket (if
25 allowed within the terms of the agreement). If an extension is desired (i.e., because the
26 amount of the blanket has not been reached before the expiry date), a contract change
27 request or PO revision is required.

28 **3.1.2 Change Orders**

29 When UVic and a supplier agree to any significant amendment to an active contract, a
30 change order is required to formalise the change in the agreement. Changes may
31 include the addition of activities to the scope of a project, or the extension of a supply
32 contract to cover an additional period of time not detailed in the original order. If a
33 change order results in a deviation from UVic Procurement Policy (e.g., additional costs
34 cause the total value of the contract to exceed the competition threshold used), a Non-
35 Standard Procurement Request must be completed in advance of the change. Change
36 orders allow UVic to accurately track commitments and enable correct reconciliation of
37 invoices.

38 **3.2 Commercial Documentation**

39 When administering a contract, ensure that;

- insurance meets the contractual requirements and is up-to-date by having suppliers provide insurance certificates, including renewals as required throughout the life of the contract; and
- other commercial documentation including original bonds, letters of credit, third-party guarantees etc. are provided and on-file with Treasury Insurance and Risk.

3.3 Closing of Orders

An important element of the contract administration duties is the closing of completed contracts to ensure that accounting of commitments is accurately reflected in the system.

Proper maintenance of a contract or PO also requires that inactive orders (i.e., work is not expected to continue or remaining backorders are not to be shipped), be closed. To do this, any PO or AGR that is inactive but not fully spent should be reduced through the use of a contract change request or a PO revision.

3.4 Payments

In order to enable proper and timely reconciliation of supplier invoices, per Reconciliation and Payment Policy, UVic must formally acknowledge receipt (for materials) or complete payment approvals (for services). Invoices will only be paid after they have been reconciled with a valid PO or AGR and the requisite receiving or payment approval record.

All payments must be in accordance with the provisions of the agreement with the supplier (the contract); therefore:

- payments will be made according to the payment terms of the contract,
- work needs to be monitored appropriately for the approval of progress payments or milestones and
- overpayments must not occur (see Section 4.1 for instructions on contract changes).

4 Reports

The management of the procurement processes are supported by a number of operational, financial and controls reports.

5 Document Handling

<Under Construction>

Many procurement documents contain sensitive and confidential information. Confidential documents must be kept secure in the workplace (i.e., secured in locked file cabinets whenever not in use).

6 Conclusion

UVic Procurement's goal is to conduct procurement activities that balance achieving best value with the objectives of a fair, transparent and competitive process. The likelihood of a successful procurement process can be enhanced by using standard UVic procurement processes and tools consistently and correctly.

7 Glossary of Terms

Blackout Period: A period of time during a competitive process where outward communication regarding the opportunity being competed is highly restricted. The period begins when the competition opens and ends at the Closing Time.

Cancellation: Exercising a business decision to not complete the competition process (at any stage up to award), due to, for example, market inability to meet UVic requirements, changes in those requirements or other changing situations.

Closing Time: Deadline date and time by which all competitive submissions must be received at the submission location.

Collapse: Action taken to halt a competitive process before completion due to an occurrence that is irreparable and continuation of the process is not possible.

Competitive Bid Request (CBR): The form used by end users to initiate the procurement of materials or services.

Contract A: A term of Canadian procurement law, the Contract A (bid contract) is generally formed when a respondent submits a compliant bid in response to a request for competitive submissions (usually under a request for tenders, but may also arise under other procurement processes). See section 2.1.2..

Contract B: A term of Canadian procurement law, the Contract B (performance contract) is formed when UVic formally awards work to the successful respondent, usually by award letter in the case of an RFT or execution of a contract in the case of an RFP.

Direct Award: Any award to a supplier without undertaking a competitive process.

UVic's Representative: The person Delegated responsibility to act on UVic's behalf for a UVic contract. Unless expressly advised otherwise, UVic's Representative has full authority to act on behalf of and bind UVic, and may, in writing, delegate any or all of the authority to any other person.

Proponent: A respondent to a Request for Proposals (RFP)

Respondent: A generic term for a party providing a submission in response to a competitive opportunity. This term encompasses bidders, proponents, tenderers and quoters.

Sole Source: A situation where only one supplier exists that can provide the materials/services required, e.g., proprietary software or OEM part replacements. Such situations generally justify direct award.

Tenderer: A respondent to a Request for Tenders (RFT).

- 1 **Total Cost of Ownership (TCO):** A technique of ascertaining the value of an acquisition
- 2 by taking into account, in addition to the purchase price, all costs associated with the
- 3 acquisition over a given time.
- 4 **Triple Bottom Line (TBL):** A method of measuring the social and economic impacts of
- 5 procurement as a part of economic evaluation.

Appendix A – RFP Checklist

Requestor's name: _____

RFx Number and Title: _____

Instructions: Check boxes of items included in the tender / RFP document – all items should be included unless the 'if' conditions are applicable to the tender/RFP.

Sourcing	Senior Sourcing	Item to be verified
		1. Insert the closing date (validate time allotted)
		2. Insert the issue date
		3. Description accurate and clear on the RFP
		4. Evaluation criteria Included and Agreed by Client & Procurement
		5. Questionnaire in line with Evaluation Criteria and gathers information that corresponds to the requirements and specifications
		6. Evaluation team members have affirmed understanding of their responsibilities and expectations of them
		7. RFP contents have been reviewed and approved by cross-functional team members (applicable sections)
		8. Make sure the clarification of information days allows sufficient time
		9. Electronic Submission Instructions
		10. Spelling is correct throughout the document
		11. Dates are correct and accurate to the project
		12. All references in the RFP are correct (including the footers)
		13. Correct sections of the document are used and in the correct order
		14. Contact details for response are correct (phone/fax/e-mail/mailing address)
		15. Payment terms are accurate
		16. Appendices clearly labeled and numbered
		17. Clauses are numbered correctly and in a logical sequence
		18. Legal's Contract Summary Document has been approved (if applicable)

		19. NDA requirement is stipulated (where proprietary information is included)
		20. Required Special Conditions Considered
		21. Site visit (Mandatory and Non-mandatory, Stated clearly the date, time and the meeting location)
		22. Insurance requirements (If applicable)
		23. Special Information packages (If applicable)

Purchasing Officer

Reviewed Date

Director, Purchasing Services

Reviewed Date

Appendix B - Standard Award Letter

November 24, 2015

<Company Name>
<Company Address>
<City>, <Province> <Postal>

Attention: <Company Contact Name>
Subject: RFP <RFP #> – <RFP Title>

Dear <Company Contact Name>

Thank you for your response to UVic's above noted Request for Proposals. We have appreciated your cooperation and patience through the negotiation process. A detailed review of all RFP responses has been completed and we are pleased to inform you that <Company Name> has been identified as the successful Proponent for this RFP. <(optional) The award of a contract is subject to final approval by CFI and receipt of CFI funds by UVic.>

All Proposals were evaluated against weighted criteria by an internal cross functional team, and further to negotiations, <Company Name> was determined to be the successful candidate. The evaluation criteria included:

- <Criteria #1>
- <Criteria #2>
- <Criteria #3>

The final decision was derived from these criteria.

UVic will execute the agreement and issue a Purchase Order to <Company Name> pursuant to the RFP and the above items. <Optional> when the CFI approval and funding are finalized.>

We thank you for your time and effort in preparing your response to this Request for Proposals and subsequent negotiation. We look forward to working with you as the contract progresses. Should you have any further questions, please contact <Purchasing Contact Name> for more information.

Kind Regards,

University of Victoria
<Purchasing Contact Name>
Purchasing Officer
Tel: (250) 721-<XXXX>
Email: <e-mail>@uvic.ca





Purchasing Services
Saunders Annex Room 110 PO Box 1700 STN CSC Victoria BC V8W 2Y2 Canada
T 250-721-8326 | F 250-721-8327 | purchase@uvic.ca | <http://www.uvic.ca/purchasing>

Appendix C - Standard Letter to Lead Proponent

<Date>
<Name of Company>
<Address>

Dear <name>:

Re: <RFP # - Title>

Following our review of your proposal and all information submitted in response to the above RFP, I am pleased to advise that <name of company> is the lead proponent, subject to clarification of, and successful negotiations for:

- Scope of Work including: i) <specify>; ii) <specify>; and iii) <specify>;
- Contract term and value;
- Project team members that would work with UVic to deliver the required, <specify>;
- Change management plan; and,
- Outline of Key Performance Indicators and Contract Management framework

UVic would like to commence contract negotiations with <name of company> and expects substantial agreement on the above issues by <specify date>. Should substantial agreement on the above issues not be reached by <specify date – typically 4 weeks>, UVic reserves the right to terminate negotiations with <name of company> and commence negotiations with another supplier as per the Terms of the Request for Proposals document.

You will be contacted shortly regarding the date, time and suggested agenda for our first meeting. Once a contract is finalized, we will also require the following documentation as noted in the RFP document:

- Completed Certificate of Insurance (optional)
- WCB Clearance Letter (optional)
- <Specify> (optional)

As stated in the Request for Proposals documents, no contract for work will come into effect until the contract document has been finalized and executed. Until that time, UVic reserves all its rights under the Request for Proposal documents, including the right to terminate negotiations.

If you have any questions or concerns, please contact me <insert your name> at <your phone number>.

Yours truly
University of Victoria

<Name>
<Title>
<Contact Info>





Purchasing Services
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Appendix D - Standard Letter of Regret

August 21, 2015

<Company Name>
<Company Address>
<City>, <Province>

Attention: <Contact Name>
Subject: RFP <RFP #> – <RFP Title>

Dear <Contact Name>,

Thank you for your proposal submitted in response to the above RFP. UVic has completed a detailed review of the proposals received and regrets to inform you that your proposal was not selected. Following negotiations with <Selected Proponent> and <Selected Proponent>, the Selection Committee determined that <Successful Proponent> offered the preferred solution.

All Proposals were evaluated against weighted criteria by an internal cross functional team.

The evaluation criteria included:

- <Criteria #1>
- <Criteria #2>
- <Criteria #3>
- <Criteria #4>

The final decision was derived from these criteria.

We thank you for your time and effort in preparing your Proposal for this opportunity. Should you have any further questions, or be interested in a debriefing of this process, please contact me at <Contact e-mail>@uvic.ca for more information.

Regards,

University of Victoria
<Purchasing Contact name Name>
Purchasing Officer
Tel: (250)721-<XXXX>
Email: <Contact E-Mail>@uvic.ca



Appendix E - Procurement File Checklist

UVic Purchasing Services

Purchasing File Checklist

Instruction: Check boxes of items included in the file – all items should be included unless the ‘if’ conditions are applicable to the tender/RFP. Note “N/A” if an item is not applicable.

RFx-xxxx, issued by <Insert Purchasing Officer>

<input type="checkbox"/>	1. Drafts of competition documents, including all correspondence with end user (drafts, timelines, evaluation criteria, etc.)
<input type="checkbox"/>	2. Final document package (cover page, standard form contract documents, any appendices, etc.)
<input type="checkbox"/>	3. If publicly advertised, copy of BC Bid and (or) Merx Posting Notice
<input type="checkbox"/>	4. List showing which vendors have acknowledged receipt of documents (Merx only)
<input type="checkbox"/>	5. All Q&A and addendums issued (if any)
<input type="checkbox"/>	6. List showing which vendors have acknowledged receipt of all Q&A and Addendums
<input type="checkbox"/>	7. Vendor list of all companies registered as document holders (including original invitational vendor list plus any others that may have requested the documents from BC Bid)
<input type="checkbox"/>	8. Information session and or Site Visit sign in sheets and minutes (if applicable)
<input type="checkbox"/>	9. Bid/Proposal Opening – official register (Facilities)
<input type="checkbox"/>	10. Copies of all bids/proposals
<input type="checkbox"/>	11. Evaluation matrix (if RFP)
<input type="checkbox"/>	12. Vendor Presentation correspondence, internal minutes (if applicable for demonstrations)
<input type="checkbox"/>	14. Final evaluation matrix including vendor presentations.
<input type="checkbox"/>	15. Financial approval form for recommended vendor(s) - for contracts over \$400K per year.
<input type="checkbox"/>	16. For RFPs: any correspondence regarding negotiations and the final signed Contract
<input type="checkbox"/>	17. Copy of insurance certificate (if requested in the tender/RFP documents)

2	18. WCB Clearance Letter (if requested in the tender/RFP documents)
2	19. Award recommendation
2	20. All correspondence with vendors and end users (filed in date order)
2	22. Copy of award letter
2	23. Copy of letters to unsuccessful vendors
2	24. Vendor de-brief notes (if de-briefs requested)

Awarded to:_____

PO/AGR #: _