



UNIVERSITY OF NAIROBI

PROCUREMENT AND DISPOSAL MANUAL

MARCH 2016

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FOREWORD

This manual seeks to give guidance, advice and operating instructions on all matters relating to procurement within the University of Nairobi, which is a public institution. Procurement in the Public Service is guided by *The Constitution of Kenya, 2010*, The Public Procurement and Asset Disposal Act, 2015, The Public Private Partnerships Act, 2013, The Public Private Partnerships Regulations 2014 and The Public Procurement and Disposal Regulations, 2006. The Constitution of Kenya 2010 sets out the values which are paramount in any Procurement. It states that when a state organ or public entity contracts for goods and services, it should do so in accordance with a system that is fair, equitable, transparent, competitive and cost effective.

The public procurement Act, being a law, must strictly be followed to ensure fairness and public confidence, and to avoid attracting criminal liability. Further, those who procure goods works or service at inflated prices will be surcharged for the loss resulting from their actions. A person convicted of an offence under The Public Procurement and Asset Disposal Act, 2015 shall be liable to a fine of Kenya Shillings four million (Ksh.4,000,000.00) or ten (10) years imprisonment or both if the person is a body corporate, to a fine not exceeding ten (10) million shillings. In addition to the penalty the public officer involved shall be subject to internal disciplinary action while any other person who is not a state or public officer shall be debarred. (The Public Procurement and Asset Disposal Act, 2015, Section 176)

The University will at the same time demand greater efficiency from the procurement function in order to meet its obligation of delivering quality service to its customers.

The manual has operationalised The Public Procurement and Asset Disposal Act, 2015 and The Public Procurement and Disposal Regulations, 2006 in the University setup. It has information and instructions that must be followed by all University staff. All members of staff are therefore expected to read and familiarize themselves with these instructions.

Though every effort has been made to produce a comprehensive manual, there may be unique cases of procurement needs that are not covered here. Users are therefore required to use this manual together with the University Financial Regulations document, in addition to obtaining the advice of procurement staff. The manual will be amended from time to time as new procedures, systems and operating methods are introduced. When this happens, the staff will be informed of the amendment in writing by the Deputy Vice-Chancellor, Administration and Finance.

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VICE-CHANCELLOR
&
PROFESSOR OF VETERINARY SURGERY

PREFACE

The *Procurement and Disposal Manual* is an attempt to streamline procurement activities in the University of Nairobi in line with public procurement regulations. The manual provides guidance regarding procurement activities within the University. It is also expected to address the myriad complaints that have arisen in the past regarding the efficiency and effectiveness of the University's Supply Chain Department. The manual is divided into fourteen chapters.

Chapter 1 gives an overview of the procurement regulatory framework for public entities and also outlines the organization structure of the Supply Chain Department. The chapter describes the functions and responsibilities of the Director, Supply Chain Management.

Chapter 2 discusses procurement plans with the emphasis that at the beginning of the financial year every department must prepare a procurement plan of all its procurement needs for the year. This is a mandatory requirement as it is illegal to procure without a plan.

Chapter 3 discusses the procurement process while emphasizing that only designated procurement personnel are authorized to procure goods and services for the University. The chapter gives practical guidelines of the procedure that must be followed by those in need of procuring an item or services before these are delivered for use.

Chapter 4 discusses open tendering as the preferred method of procurement for public entities. The chapter outlines the activities involved in open tendering including advertisement, drawing up specifications, tender opening, technical and commercial evaluation of bids, and awarding of tender. The technical evaluation stage is described in detail for the benefit of the ad hoc committees that are appointed from time to time.

Chapter 5 describes the alternative procurement procedures and the circumstances under which each is applicable.

Chapter 6 discusses Public Private Partnership

Chapter 7 Discusses the e- procurement process in the University

Chapter 8 explains the composition, mandate and role of the Tender Opening Committee, Tender Evaluation Committee, Inspection and Acceptance and Disposal Committees.

Chapter 9 outlines the procedure for receiving, inspection, and dispatch of goods including the various documents that should be raised to trace accountability for goods.

Chapter 10 discusses stock control procedures.

Chapter 11 discusses the procedure for disposal of stores and equipment, the role of the disposal committee, and the various methods of disposing of items by the University.

Chapter 12 is about supplier evaluation to identify competent, reliable, and credible suppliers that the University can do business with and obtain value for money.

Chapter 13 discusses contract management and administration at the University of Nairobi

Chapter 14 discusses the ethical practices that are expected of employees involved in procurement.

CHAPTER 1

PROCUREMENT REGULATORY FRAMEWORK AND THE SUPPLY CHAIN DEPARTMENT

INTRODUCTION

1.1 The procurement process in the University of Nairobi is guided by the Constitution of Kenya, 2010 and various statutory provisions including the public procurement legislative framework, the *Universities Act*, statutes thereon, and internal administrative guidelines that are issued from time to time.

THE PROCUREMENT REGULATORY FRAMEWORK

1.2 The establishment of the University of Nairobi is provided for in the *Universities Act 2012*: The University of Nairobi shall be a body corporate with perpetual succession and common seal and shall in its corporate name be capable of:

- a) Suing and being sued;
- b) Taking, purchasing or otherwise acquiring, holding, charging and disposing of movable or immovable property;
- c) Borrowing or lending money;
- d) Doing or performing all such other things or acts for the furtherance of the provisions of this Act which may lawfully be done or performed by a body corporate.

1.3 The mandate of the University of Nairobi is carried out through the University of Nairobi Council whose overall responsibility is management of the resources of the university.

1.4 In addition to the *Universities Act, 2012*, the University of Nairobi, being a public corporation, is governed by the following legislative provisions and guidelines applicable to all public organizations:

- a) The State Corporations Act.
- b) The Public Auditor Act.
- c) The Public Officer Ethics Act, 2003.
- d) The Public Procurement and Asset Disposal Act, 2015
- e) The Public Procurement and Disposal Regulations, 2006.
- f) *The Constitution of Kenya, 2010*
- g) *Preference and Reservation regulation, 2011*
- h) The Public Procurement and Disposal (Preference and Reservation)(amendments) 2013
- i) The Public Procurement and Disposal (amendments) Regulations, 2013
- j) *Public Private Partnerships Act 2013*
- k) *Public Private Partnerships Regulations, 2014*
- l) *Public Private Partnerships(Project Facilitator's Fund) Regulations, 2015*

1.5 The procurement function of the University of Nairobi is anchored on the provisions of the outlined statutory guidelines, Executive orders, National Treasury circulars, Public Procurement Oversight circulars, the University financial regulations, and other enabling statutes of the University of Nairobi.

1.6 The procurement function of the University is also premised on sound professional principles, practices and ethics that apply in the area of Purchasing and supplies. Thus, the University of Nairobi recognizes and applies, in its procurement operations, guidelines by the professional bodies of Purchasing and Supplies.

1.7 The *Procurement and Disposal Manual* deals with the procurement of goods, works and services in the University of Nairobi. The manual provides the respective policy guidelines and procedures in the procurement process.

1.8 The University strategic plan provides the framework within which the operational guidelines on procurement are based. Thus, it is recognized that the procurement function must be carried out with the efficiency necessary to ensure that the University achieves its stated objective of becoming "a world class University".

1.9 Procurement staff in the University shall endeavor to efficiently fulfill to the University community these five procurement objectives:

- Right quality of services/works and goods;
- Goods and services made available at the right time;
- Goods and services at the right place;
- Goods and services in the right quantity subject to the availability of funds; and at the right price.

1.10 The University shall at all times obtain value for money spent on procurement by ensuring that only those items *which are needed* are bought, that these items are of good quality, and that they are stored appropriately to preserve their quality.

THE SUPPLY CHAIN DEPARTMENT

The vision, mission and core values of the Supply Chain Department:

Vision

A center and partner for excellence and professionalism

Mission

The mission of the Supply Chain Department is to provide customers with quality goods and services that add value by meeting their needs and expectations, at the lowest cost possible.

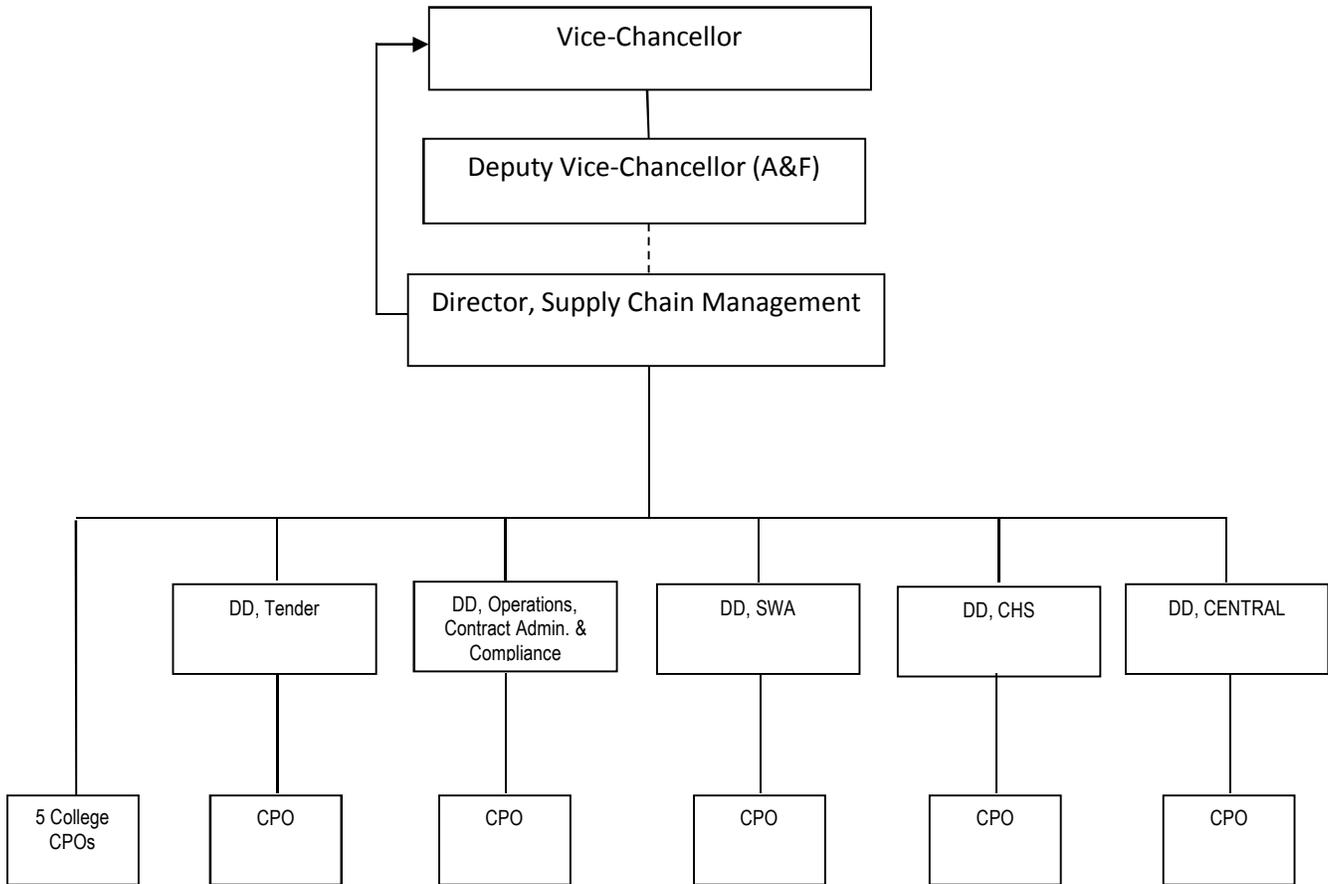
Core values

Members of staff in Supply Chain Department will endeavour to adhere to the following core values

- Professionalism in carrying out duties;

- Integrity in dealing with customers and the general public;
- Transparency and accountability in all activities;
- Fair play in dealing with users and suppliers;
- Promotion of public confidence in the procurement process;and,
- Promotion of fair competition in procurement process.

1.11 In order to accomplish the procurement mandate in accordance with the cited statutory provisions and professional guidelines, the University of Nairobi has established a professional Supply Chain Department whose structure is as follows:-



1.12 The Supply Chain Department is expected to execute the procurement mandate and also provide advisory services on procurement to the University Management and other organs of the University to ensure total compliance with the Procurement Act, regulations, and other statutory requirements.

1.13 Through the establishment of the various colleges and the Students Welfare Authority (SWA), some administrative functions of the University, including procurement, have been decentralized. Consequently, the various administrative sections shall carry out the procurement function through their respective procurement units in accordance with the limits and mandates granted by University Management from time to time. This is meant to enhance timeliness and the efficiency of procurement operations.

1.14 All procurement requests for presentation to the Vice Chancellor shall have the input of the Director, Supply Chain Management to give guidance on the right procurement method, while the Finance Officer will guide on the state of finance

1.15 The request to procure unique requirements will be presented to the Vice Chancellor, which will be considered approved if they are indicated in the approved procurement plan, as per the law.

FUNCTIONS AND RESPONSIBILITIES OF THE SUPPLY CHAIN DEPARTMENT

1.16 The Supply Chain Department shall undertake the following functions:

- a) Interpretation, implementation, and enforcement of public procurement law
- b) Providing advice to the University on all matters relating to procurement.
- c) Maintain and continuously update standing lists of registered tenderers required by the procuring entity through continuous registration of eligible suppliers, and suppliers on framework agreements
- d) Prepare, publish and distribute procurement and disposal opportunities including invitation to tender documents and invitation for expression of interest.
- e) Coordinate the receiving and opening of tender documents
- f) Maintain and safeguard procurement and disposal documents and records in accordance with the regulations
- g) Issuing invitations for bids through quotations, restricted tendering or open tendering
- h) Prepare consolidated procurement and disposal plans
- i) Coordinating the preparation of annual procurement plans by all units of the University.
- j) Processing procurement requirements from user departments.
- k) Preparing a specifications catalogue which will spell out, for the various categories of items, the University standards of quality to guide purchasing officers so that they are able to purchase only those products that meet recommended quality standards.
- l) Preparing and processing tender documents and quotations in consultation with user and technical departments in compliance with procurement procedures.
- m) Issuing invitations for bids through quotations restricted tendering or open tendering.
- n) Facilitating the process of opening of tender/quotation bids in liaison with tenderers and user departments.
- o) Implementing the decisions of the Vice Chancellor with regard to Procurement including giving professional opinion and maintaining proper records of such decisions.
- p) Prepare contract documents in line with the award decision
- q) Ordering, follow-up, or processing of goods delivery schedules to user departments and warehouses.
- r) Performing market research and price survey on items and services required by the University.
- s) Maintaining an up-to-date suppliers' database.
- t) Preparing annual tender returns for use by management in overall planning.
- u) Preparing and submitting award contracts of over Ksh.5 million to The National

Treasury.

- v) Application of the Authority to Incur Expenditure (A.I.E) in all cases of procurement to confirm availability of funds

Director, Supply Chain Management

1.17 As Head of the Supply Chain Department, the Director, Supply Chain Management will be responsible to the Vice-Chancellor for the following:-

- i. Overall in charge of the supply chain management function
- ii. Ensure compliance with the Public Procurement Law
- iii. Liaise and communicate with suppliers and stakeholders
- iv. Coordinate preparation and implementation of Procurement and Disposal Plans
- v. Overseeing timely preparation of statutory reports
- vi. Forwarding statutory reports to the management and the National Treasury
- vii. Conducting training needs assessment
- viii. Giving guidance on Procurement & Disposal matters
- ix. Giving professional opinion on award of contracts to the Vice Chancellor
- x. Oversee performance contract reporting
- xi. Any other duty as may be assigned

Deputy Director, Supply Chain Management

The duties and responsibilities include:-

- i. Coordinating and ensuring timely Technical evaluations
- ii. Preparation of professional opinion for forwarding to Supply Chain Director
- iii. Consolidation of University Procurement and Disposal plans
- iv. Ensuring compliance with Public Procurement Law
- v. Drawing, administration and compliance of service and works contracts
- vi. Coordinating Procurement & Disposal activities
- vii. Custodian of Procurement documents and liaison and administrative functions
- viii. Preparation of Performance Contract reports and other management reports
- ix. Coordinating Secretariat services for Procurements in colleges and SWA
- x. Enforcing procurement and disposal systems and procedures
- xi. Overseeing administration and implementation of e-Procurement
- xii. Coordinating Inspection and Acceptance
- xiii. Coordinating quotation/ tender opening
- xiv. Any other duties that may be assigned

1.18 The duties and responsibilities of other staff in the Supply Chain Department are listed in Appendix 1.

CHAPTER 2

PROCUREMENT PLANS

INTRODUCTION

- 2.1 A key constraint to meeting the procurement needs in the University, and indeed every other institution, is finance, which is limited while needs are unlimited. There is therefore strict need to prepare procurement plans and to limit procurement requests to the items in the procurement plans, which in turn should be closely tied to the allocated budgets.
- 2.2 All procurement shall be within the approved budget and shall be planned by the University through an annual procurement plan (Public Procurement and disposal Act, Section 44 (2) (c) and Section 53 Procurement plans define what is to be procured, the estimated cost, and when to procure.
- 2.3 Chairmen/heads of departments shall submit an annual procurement plan to the Vice Chancellor through the Director, Supply Chain Management at least thirty (30) days before the close of each financial year covering all items of procurement including:
- a) Consumables
 - b) Furniture and office equipment
 - c) Tools and gear of work
 - d) Maintenance and repair
 - e) Construction works
 - f) Teaching and research materials
 - g) Insurance services
 - h) Travel, accommodation and conferencing.
 - i) Consultancy services
 - j) Security services
 - k) Cleaning and waste management
 - l) Capital equipment and machines including motor vehicles
 - m) Other specialized needs peculiar to user departments.

CONSIDERATIONS WHEN PREPARING PROCUREMENT PLANS

- 2.4 Before making a proposal in a procurement plan for the University to spend funds, the user shall constitute a committee having the relevant expertise and experience. This committee will consider:
- a) Overall institutional priorities in the light of resource allocation
 - b) Estimated expenditure
 - c) Budgetary allocation
 - d) Available options and alternatives

- e) Opportunity costs
- f) Value adding for other activities
- g) Developments in the industry
- h) Market trends
- h) Applicable/relevant legislation especially with regard to preference groups
- i) Ongoing research and development

2.5 Where the recommendation of this committee is that procurement is necessary, then the item can be incorporated into the plan.

PREPARING PROCUREMENT PLANS

2.6

- a) Following a prescribed format Chairmen/ Heads of Department shall prepare Procurement Plans aligned to departmental budgets prior to the commencement of the financial year. This shall be done in time for consolidation of the departmental plans and budgets into the respective University plans (budget and procurement).
- b) The procurement plan should be prepared with an indication of the anticipated procurement method for each requirement, the Procurements reserved for the Youth, Women and Persons with Disabilities and the anticipated time for the complete procurement cycle.
- c) The departmental procurement plans shall be submitted to the College Principal or the Director (SWA) as is appropriate, or to the Deputy Vice-Chancellor for departments in Central Administration.
- d) Departmental procurement plans shall be tabled for rationalization and approval in the College Management Board, SWA Board, or the heads of department's meeting chaired by the Deputy Vice-Chancellor in the case of Central Administration, and approved by the respective College Principal.
- e) The consolidated procurement plan shall be approved by the Vice Chancellor.
- f) The approved procurement plans shall be submitted to the Vice-Chancellor with copies to the Director, Supply Chain Management, one month prior to the commencement of the financial year for consolidation into the University procurement plan.
- g) A copy of the approved Consolidated Procurement Plan will be submitted to the National Treasury sixty (60) days after the commencement of the financial year.
- h) All procurement plans shall be accompanied by an approved budget so as to qualify for approval. College procurement officers will act as secretaries in committees charged with the task of coordinating the preparation of procurement plans at college level. The Director, Supply Chain Management will coordinate consolidation of the University wide Procurement plan.

- i) Chairmen/Heads of department (HODs) will be expected to know the estimated cost of goods and services to be procured by their departments in order to prepare *realistic* procurement plans. Realistic here means closely tied to the budget estimates. They may be guided in achieving this by:
 - i) The previous year's purchase prices.
 - ii) Carrying out a market survey.
- j) The Procurement Manager shall have responsibility of preparing the consolidated procurement plan for the University.
- k) The approval by the Vice Chancellor is deemed to include the approval of all alternative procurement methods indicated in the approved Procurement Plan and no further authority to use the method is necessary.
- l) In case of unforeseen procurements which are not in the approved Procurement plans, Heads of Departments will be required to seek written approval from the Vice Chancellor to include them.

IMPLEMENTING PROCUREMENT PLANS

- 2.7 Chairmen/ Heads of Department shall provide feedback to the Vice Chancellor through quarterly and annual reports showing the reconciliation between planned and actual procurement acquisitions. They will be required to give reasons for any variance.

CHAPTER 3

THE PROCUREMENT PROCESS

INTRODUCTION

3.1 The procurement process begins with identification of needs by the user. Needs are those items or services that should be procured to help the University achieve its strategic plans and goals. All required items have to be budgeted for and their total value is what is referred to as the "annual procurement plan". Therefore, any requirement that has not been budgeted for will not be processed for procurement.

TYPES OF PROCUREMENT NEEDS

3.2 Procurement needs may fall into various categories as follows:

- a) *Consumables and expendables.* These are used in the process of giving authorized services. These kinds of stores are consumed in the process of their usage and cannot be separately traced afterwards.
- b) *Repair and maintenance.* These are items or parts used to keep machines, equipment or facilities in a running or serviceable state. Requirement for this kind of materials arises intermittently and it is important for users to liaise with experts in order to identify the need correctly. Maintenance Form M1 is a very important tool in this respect and must be used for this group of stores.
- c) *Tools of work.* These involve tools that workers require in order to discharge their official duties.
- d) *Uniform.* Uniform for some categories of staff is normally defined by the governing collective bargaining agreements that must be referred to before procurement can commence. Of particular importance is the kind of uniform agreed upon, the cost ceilings for particular items, and the categories of staff entitled to the same.
- e) *Construction works.* Relevant University departments, especially Estates, Construction and Maintenance, and all the relevant sections within the Estates Department should endorse documents relating to all construction works from the onset before the same are forwarded to the Supply Chain Department for processing.
- f) *Teaching and research materials* meant to facilitate students' learning and research. This category includes library books, electronic data base subscription journals and other reference materials. Also included here are books and materials for use during teaching, experimentation or for sale in the University Bookshop.
- g) *Insurance services.* This is a highly specialized service and therefore, prior to award, care must be taken to obtain all relevant information, clarification and professional interpretation in order to obtain value for money.
- h) *Travel, accommodation and conference services.* The identification, pre-qualification and award of tenders for travel services shall be done through the normal procurement procedure.
- i) *Maintenance of motor vehicles*
- j) *Cleaning and waste management services*
- k) *Capital and major equipment.*

- l) Legal services.*
- m) Security services*
- n) Catering and other hospitality services*
- o) Other outsourced services that the University may require from time to time.*

INITIATING THE PROCUREMENT PROCESS

3.3 Procurement is initiated after the need for an item, service or works has been identified and the same has been certified by the Head of Department. It is also necessary at this stage to confirm the availability of funds for the intended purpose. The main steps involved in initiating the procurement process are as follows:

- a) User lists down requirements (shopping list);
- b) User estimates the cost of the requirements by carrying out a market survey and obtains the total cost;
- c) User compares the total cost against the budgetary allocation;
- d) User reconciles the total cost and the budgetary provisions and corrects by addition or prioritization;
- e) User comes up with a final list;
- f) The Head of Department supports the request to procure by confirming its conformity with the procurement plan and the budgeted requirements of the department.

PREPARING SPECIFICATIONS

3.4 a) Users have the responsibility of drawing up the correct specifications of their procurement needs before forwarding them to the Supply Chain Department. If need be, users may seek the assistance of technical experts in drawing up specifications.

b) Items should be described in sufficient detail in terms of performance without displaying biases towards particular brands. Specifications may be presented by one or a combination of the following:

- i) Description
- ii) Sample
- iii) Drawings
- iv) Capacity
- v) Usage
- vi) Standards

This is what is referred to as "technical specifications".

- c) Use of brand names or models is discouraged when preparing specifications as it limits competition. Where these are necessary, however, the user may need to liaise with relevant technical departments or the Supply Chain Department in drawing up such specifications.
- d) Once specifications have been drawn up they shall not be changed without the involvement of the user.
- e) The user is discouraged from the specifications once the procurement process is underway.
- f) The responsibility for preparing the specifications is shared by the user and technical departments and coordinated by the Supply Chain Department

USING AUTHORITY TO INCUR EXPENDITURE FORMS

3.5 All procurement requests must be accompanied by completed A.I.E forms (*Appendix 3*) These should be raised by the user/vote holder, who is duly authorized by either the Chairman of Department, Principal of College, or Deputy Vice-Chancellor. It is only after the Finance Department or college bursar has confirmed the availability of funds that the procurement process will commence.

3.6 Authorization limits on the AIE Will be as follows:

- a) Chairman Head of Department up to Ksh. 50,000.00
- b) Principal of College, Director SWA up to Ksh. 100,000.00
- c) Vice-Chancellor above Ksh. 100,000.00 upon recommendation by the Deputy Vice Chancellor.

RESPONSIBILITY FOR PROCUREMENT WORK

- 3.7
- a) All procurement work shall be carried out by the designated procurement officer after the user has drawn up specifications and the appropriate authorization (A.I.E) to procure given.
 - b) The AIE shall be raised by the user/vote holder.
 - c) Procurement work shall be the responsibility of procurement officer at the Central Supply Chain Department, the colleges, and the Student Welfare Authority.

PROCUREMENT FOR CONSTRUCTION WORKS

3.8 The following procedure will apply during procurement for construction works:

- a) After consulting with the user and in line with the procurement plan, the manager, Construction and Maintenance, draws up a proposal on the work to be done.
- b) The proposal is tabled before the Building Committee of the University Council.
- c) The Building Committee approves the proposal.
- d) A tender is issued for the design works.
- e) Approval of the design works.
- f) The Supply Chain Department processes the procurement of the approved construction works.

PROCUREMENT FOR MAJOR CAPITAL EXPENDITURE

3.9 The following procedure will apply during procurement for major capital expenditure:

- a) All major capital equipment and machinery must be in the procurement plan for it to be procured.
- b) At the planned time, the user requests for the approval of the Vice-Chancellor to procure.
- c) If approval to procure is granted, the approved request is passed over to the Supply Chain Department to carry out the tendering process in the normal way.
- d) Approval of works will be by technical experts
- e) Evaluation of bid through use of life cycle costing

PROCUREMENT FOR TRAVEL, ACCOMODATION AND CONFERENCE SERVICES

In order to streamline the process of procurement of travel, accommodation and conference services as well as addressing the identified shortfalls, the following procedure is followed:

a) Need Identification

- i. The User shall identify and justify the need for conference and accommodation services. This shall be in conformity with the approved procurement plan and budget.
- ii. The Principal/DVC/VC shall approve the User's request.

b) Specifications

The User shall prepare specifications for the expected hotel accommodation and conference facilities. In preparation of specifications the following shall be considered;

- i. Preferred essential functionalities and other requirements
- ii. Proximity to work place
- iii. Level/ grade of staff to attend the conference
- iv. Number of persons to attend
- v. Number of days for the conference
- vi. Expected mode of transport to the facility

c) Procurement Process

- i. The Director, Supply Chain Management shall maintain a list of prequalified suppliers competitively sourced
- ii. The Director Supply Chain Management shall, upon confirmation of specifications shall request for quotations from the prequalified hotels/facilities. While requesting for quotations, the following shall be considered;
 - Clustering of the hotels by region/location/proximity to work place
 - Classification of hotels by grade/ star/capacity and convenience of the function.
- iii. The bids shall be technically and financially evaluated.
- iv. The User shall raise AIE and Requisition Note.

d) Confirmation/ Commitment of Funds

- i. The FO/ College Bursar shall confirm availability of funds based on procurement plan and budget
- ii. The VC, DVC, Principal or Director shall approve the AIE depending on thresholds.
 - For values up to 100,000/= DVC/Principal/Director SWA
 - For values above 100,000/= DVC recommends to VC
 -

e) Award of Contract

- i. For values up to 500,000/= award is by DVC/Principal / Director SWA upon professional advice by Procurement Officer in charge.
- ii. For values above 500,000/= award is by Vice-Chancellor upon professional advice by Director, Supply Chain Management.

f) Purchase Order

- i. Procurement Officer/Director Supply Chain Management shall raise purchase order to the respective hotel/ facility depending on the threshold.
- ii. Original LPO shall be send to the facility.

a) Order Execution

- i. The Hotel/ Facility shall provide the accommodation and conference services as per specifications.
- ii. User Department shall confirm the level of use of the facility as per specifications and costing.
- iii. The facility shall certify the invoice and forward to stores.
- iv. The Director Supply Chain Management shall certify the invoice and forward to Finance for payment.

PROCUREMENT AT THE COLLEGES

3.10 For purposes of procurement, Central Administration is regarded as a college. Other colleges are: College of Agriculture and Veterinary Sciences, College of Architecture and Engineering, College of Humanities and Social Sciences, College of Health Sciences and College of Biological and Physical Sciences

Procurement at this level is for goods and services below the Kshs. 500,000.00 threshold of and will basically follow the same procedure. However, the levels of approving authorities may differ, especially for Central Administration due to administrative structure

- a) Departments in Central Administration will channel their procurement requests plus a requisition form to the Deputy Vice-Chancellor together with a filled A.LE. Form and a confirmation that the item is in the Procurement Plan
- b) The Departments in colleges/ SWA will channel their requests plus a requisition form through the College Principals/ Director SWA together with a filled AIE Form and a confirmation that the item is in the Procurement Plan
- c) Where approval is granted and the Finance Department confirms the availability of funds, procurement requests for values not exceeding Ksh 100,000.00 will be forwarded directly to the Procurement Officer for processing.
- d) Procurement requests for values above Ksh 100,000.00 will be forwarded to the Deputy Vice-Chancellor for approval and subsequent processing by the Procurement Officer in charge of Colleges/ SWA/ Central Administration.
- e) Quotations will be sent out either manually or electronically to at least five suppliers drawn from the list of suppliers maintained by the University, and which is continually updated as provided in section 57 of the Act
- f) For Quotations below the threshold of Kshs. 500,000.00, there shall be established a standing Quotation opening committee, with the only variation being a representative of the user Department. The other members are: An administrator to chair, a representative from internal audit to vet the process and a secretary drawn from Procurement.
- g) All the members of the quotation opening committee will append their signatures on the opened quotations, and also on the quotation opening minutes.
- h) The quotations thus opened will be evaluated/ analyzed by not less than three persons including the user Department with the Procurement officers as the secretaries.
- i) The Procurement Officer will then give professional opinion to the Deputy Vice Chancellor/ Principal/ Director SWA for approval and award.

In providing the said professional opinion, the Procurement Officer shall strictly follow the guidelines listed below:

- 1) Confirmation that the:
 - i) Items were in the procurement plan.
 - ii) Request to procure was approved.
 - iii) Quotations were competitively sourced and opened by a committee.
 - iv) Bidder recommended met the requirements and gave the most competitive price.
 - v) Price compares well with the market and the user was involved.
- 2) Besides the aforementioned, the officer shall ensure that the other relevant provisions of the Public Procurement and Asset Disposal Act, 2015 were fully complied with.
- 3) The recommendation (opinion) to the procurement Approving Officer shall indicate name of supplier, address, phone number, email and price of the supplier recommended for award

- 4) All orders to approved tenderers will be processed by the College Procurement Officer and an L.P.O. issued by the Procurement Office.
- 5) The Vice-Chancellor shall appoint a Deputy Vice Chancellor/ Principals/ Director SWA to consider and award the quotation based on the Professional opinion provided by the College Procurement Officer.
- 6) A recommendation will be made to award the lowest evaluated quotation, other factors being equal, to ensure that the University gets the best value for the money
- 7) Procurement requests whose value exceeds Ksh.500,000.00 shall be submitted to the Procurement Manager for further Processing

This procedure applies to:

Procurement requests from the Colleges and Central Administration for values exceeding Ksh 500,000.00 and which are made through the recommendation of the Deputy Vice Chancellor/ College Principal/ Director SWA.

- 3.12 a) The main function of SWA is to provide accommodation and catering services to students. The procurement needs of SWA arise in an effort to provide these services.
 - b) Generally, food prices vary with seasons. Due to the heavy usage of the rooms by the student community, there arises frequent need to replace electrical, plumbing and other accommodation fittings.

Procurement Procedure at the SMUs

- 3.16 a) All requests to procure at the SMU will be made by the storekeeper. The storekeeper will also complete the A.LE form to accompany the request.
 - b) On receipt of the procurement request, the S.M.U manager shall be guided by the authority levels and expenditure ceilings as provided in this guideline.
Authority levels for signing of the A.I.E.
S.M.U Manager up to Ksh. 50,000.00 Director, SWA up to Ksh. 100,000.00 Vice-Chancellor over Ksh. 100,000.00 upon recommendation by Deputy Vice Chancellor
 - c) Procurement procedure shall be the same as other colleges or open tender except in circumstances where this is not possible in which case alternative procedures as provided for in the Public Procurement and Asset Disposal Act, 2015 shall apply.

PAYING SUPPLIERS

- 3.17 Procurement work remains incomplete until suppliers have been paid. In order to ensure timely processing of payments for goods or services the stores function shall forward the necessary documents such as invoice, delivery notes and other supporting documents to the Finance Officer.

DOCUMENTATION

- 3.18 The following shall be the approved documents used in the procurement procedure as outlined in this chapter:-
 - i) Authority to Incur Expenditure (AIE)
 - ii) Quotation form
 - iii) Requisition to Suppliers
 - iv) Local Purchase Order
 - v) Stores Received Note
 - vi) Requisition form

CHAPTER 4

PROCUREMENT METHODS

INTRODUCTION

- 4.1 The University of Nairobi, as a public entity, is under obligation to give all potential suppliers an equal opportunity to compete. Fair competition requires that the University reaches out to as many suppliers as possible. Therefore, as per The Public Procurement and Asset Disposal Act, 2015, the University uses open tendering, which is also the preferred method of procurement for all public entities. Alternative procurement methods are allowed under specified conditions as discussed in Chapter 5.
- 4.2 The Supply Chain Department, in close liaison with user departments and relevant technical units, shall coordinate all activities relating to open tendering in the University.

USE OF OPEN TENDERING METHOD

- 4.3 The term "tender" refers to the process of issuing invitations or otherwise asking potential suppliers/interested contractors to participate in a process that will eventually result in provision of goods, services or works to the University.
- 4.4 The following guidelines shall apply when using the open tendering method of procurement:
- a) All procurement requests for values above Ksh 500,000.00 shall be processed through the Vice Chancellor. The approval of procurement plan is deemed to include the approval of all procurement procedures indicated in the plan
 - b) The processing of all annual tenders shall be finalized before the close of each financial year.
 - c) Tenders shall be advertised in at least two daily newspapers of nationwide circulation. The time for preparing tenders, which is the period between advertising and tender opening, is 14 days for local tenders. International tendering will require 21days after advertisement in international media.
 - d) Tender submissions shall be accompanied by tender security where applicable.
 - e) All tenders will be processed by the Supply Chain Department at Central Administration and when finalized shall become binding to all departments and staff members regardless of the source of funding.
 - f) Once tenders have been concluded, purchases shall only be obtained from the approved tenderers for the entire tender period.
 - g) The University will implement Preference and Reservation Regulation, 2011 that requires that 30% of the annual procurement spend goes to Youth, Women, and Disabled and other disadvantaged group and ensure that 2% goes to persons living with disability. This will be cascaded to the college level and the University of Nairobi Enterprises Services Ltd (UNES).

ADVERTISEMENT OF TENDERS

4.5 The following guidelines shall apply when advertising for tender:

- a) Invitations for tender shall include open tenders, prequalification of tenderers, request for expression of interest invitation.
- b) All requirements for goods and services whose annual aggregate value is Ksh 5 million and above shall be advertised.
- c) Advertisements shall cover specialized goods and services or those that are regularly in demand.
- d) The Supply Chain Department shall ensure that advertisements for tender are accurate, complete and capable of attracting the widest competition possible. The department will therefore be expected to liaise closely with user departments and technical experts within and outside the University to meet this requirement.
- e) Use of brand names in advertisements shall be avoided, but bidders will be encouraged to indicate the brands they are offering and the countries of origin of such brands.

IDENTIFICATION OF ADVERTISING MEDIA

4.6 The University shall advertise its tenders in daily newspapers of nationwide circulation. The validity period shall as per the regulations (fourteen **(14)** days for national tenders and **twenty one (21)** days for international tenders where local sources are not available.)

4.7 In addition to 4.6, the University shall :

- a) Use Kenya's dedicated tenders portal or any other advertisement as prescribed
- b) Post advertisements at any conspicuous place reserved for this purpose in the premises of the University.

4.8 The University pays a fee for all its tender advertisements in the dailies and, therefore, the Supply Chain Department shall ensure that values accruing are commensurate by applying due diligence in the procurement process.

CONDITIONS FOR SUBMISSION OF TENDER

- 4.8 a) Tender documents shall have clearly defined, mandatory and other requirements necessary for compliance and subsequent tender evaluation. Where candidates fail to meet the mandatory requirements, they shall be disqualified from participating in the tender (see technical evaluation step 1 below).
- b) Tender documents shall be made available to candidates (suppliers) upon payment of one thousand shillings for hard copies to the Finance Department. The university will not charge a fee Where tender documents are
- Obtained electronically
 - Invitation of interest; or
 - Invitation for prequalification
- c) Candidates shall pay a tender security (bid bond) **where applicable**. This requirement is meant to attract only serious tenderers. The tender security shall be forfeited if a tenderer withdraws a tender during the validity period. The same shall

apply to successful tenderers who fail to honour their part of the contract. Tender security ***shall not exceed*** 2 ½ per cent of the total value of the tender.

- d) The tender security shall be provided in the following form
- Cash
 - A bank guarantee
 - Insurance company guarantee approved by POA
 - A letter of credit
 - A guarantee by a deposit taking microfinance, SACCO society, the Youth Enterprise Development Fund or the Women Enterprise fund
- e) All tenders will be submitted in sealed envelopes and deposited into the tender box maintained by the Supply Chain Department. Bulky tender documents shall be received in the Director Supply Chain Management's office and recorded in the bulky tender documents register
- f) Any tender received after the deadline shall be returned unopened
- g) The University may terminate procurement proceeding at any time without entering into a contract if there are valid reasons for doing so and if such a decision is in the best interest of the institution.
- h) Candidates will be required to complete the confidential business questionnaire stating their qualifications and financial status.
- i) All candidates will be treated fairly and in a business-like manner.

OPENING OF TENDERS

4.9 Opening of tender shall be done as follows:

- a) The Vice-Chancellor shall appoint a tender-opening committee for every tender. The committee shall consist of at least three senior officers, one of whom shall be an officer not directly involved in the processing of tenders.
- b) An officer of the Internal Audit Department shall be a member of the tender opening committee in compliance with the University guidelines.
- c) The responsibility for safe custody of the keys to the tender box shall rest with the Internal Audit Department. Duplicate keys shall be kept by a senior officer of the University appointed by the Vice-Chancellor.
- d) The Internal Audit Department shall discharge the duty of opening the tender box jointly with officers of the Supply Chain Department and other members of the tender opening committee.
- e) The procedure for opening of tenders shall be conducted by an ad hoc committee.
- f) Tenderers shall be invited to attend the tender opening session.
- g) The Supply Chain Department shall maintain a permanent tender opening register where each tender, bidders, and the prices quoted will be entered.
- h) The chairman of the tender opening committee shall announce the names of bidders, price quoted and bid bond amounts and the same shall be recorded in the tender-opening register.
- i) Where no bid bonds have been included, the same information shall be recorded.
- j) No deliberations in respect of tender evaluations will be entertained at this stage as this is the preserve of the technical evaluation committee.
- k) Tenderers will not be allowed to amend any of their submissions at this stage.
- l) Each bid shall be assigned a serial number.

- m) The tender opening committee shall produce minutes, which must be signed on each page by all the members, indicating their names and designation.
- n) Any issues raised by the tenderers shall be recorded.
- o) All information regarding the tender shall remain confidential and members of tender opening the committee will be required to maintain confidentiality.

CATEGORISING SUPPLIES FOR TENDER PROCESSING

4.10 The nature of supplies required shall dictate the kind of tender processing to be carried out. This is because weighting of the evaluation criteria will depend on the nature and type of supplies to be evaluated. The following categories provide guidelines for evaluation:

- a) Machines and equipment
 - i. For this group of stores, meeting the technical specifications and provision of after sales backup services is of paramount importance.
 - ii. Analysis of bids through use of lifecycle costing
 - iii. The role of technical experts in the tender processing committee will therefore be crucial in evaluating bids for specialized machines and equipment.
- b) Construction works
 - i. Competence and capacity of bidders are crucial factors to consider.
 - ii. Previous works are also important.
- c) Furniture and office equipment
 - i. Considering the diversity within the industry and the large number of suppliers available in this area, a visit to the premises as well as assessment of samples is crucial.
 - ii. It may be important to deal with already established firms that could offer warranties and maintenance services especially on office equipment.
- d) Stationery and printing services

The University is a large consumer of these services. Therefore, competence and capacity of the bidder should be crucial factors and also reputation and previous work carried out in either the University or other reputable organizations. The University will also use frame work contracts and annual tenders to replenish the stock of stationery items and other consumables
- e) Books, journals and specialized publications, are sourced through alternative procurement procedures.
- f) Laboratory chemicals

This category of items will normally require 100 percent conformity to specifications. The company profile and technical staff criterion is crucial. The role of technical experts is also crucial in evaluation.
- g) Drugs

The same guidelines in (f) apply. The role of technical experts is crucial in the technical evaluation of drugs.
- i) Insurance services

The Tender Processing Committee should assure themselves of quality in all of these

aspects: capital base, record of claims settlement, portfolio risk, assets-liabilities ratios, an assessment of the people and their competence, and clientele and senior management profile.

j) Cleaning and waste management

k) Provision of security services

l) General commodities

The level of technical evaluation required for this category may not be as elaborate as for the other categories and shall be determined on an individual basis. Examples of general items include jembes, hammers, shovels, taps, pipes, etc.

TECHNICAL EVALUATION OF SUBMITTED BIDS

4.11 The Vice-Chancellor shall appoint a Tender Processing Committee of at least three technically competent officers to evaluate tenders. The committee must comprise at least one technically qualified person in the area of evaluation, a financial expert and a professionally qualified procurement person who acts as the secretary

The tender processing committee may be appointed in the following manner.

- i. one processing committee to carry out both technical and financial evaluation
- ii. Two separate committees one for technical evaluation and the other for financial evaluation

4.12 The University attaches a lot of weight to tender processing reports because they guide decision-making in the awarding of tender. Where Tender Processing Committee requires expert input not available within its membership then the committee shall seek to include qualified members to help reach an informed decision. The procurement manager shall provide the necessary information from the databank to guide the committees in doing the evaluations.

4.13 The chairman of the Technical Evaluation Committee shall submit a report to the Vice-Chancellor within two weeks after appointment of the committee. The report shall be duly signed by all members of the committee.

The Supply Chain Department must retain custody of the evaluation documents throughout the entire period of evaluation

Technical Evaluation Step I

4.14 This is the preliminary or short-listing stage before the actual evaluation and ranking of bids. The main task is to establish that bidders meet the mandatory conditions as contained in the tender documents and that bids are *responsive*; that is, they conform to technical specifications, all instructions, terms and conditions of the bidding documents, and standards of the University.

Tenderers with adverse performance records and who have been duly blacklisted shall be eliminated at this stage. This is the responsibility of Supply Chain Department

4.15 The following table provides the mandatory criteria used to guide the technical evaluation committees. Where any item of the mandatory criteria is not met, the bid shall be disqualified.

Checklist of mandatory criteria for technical evaluation of tenders (Step I)

Assessment criterion	Score/Remarks
Certificate of registration/ incorporation	
Trade License	
Bid bond as per tender document	
Current audited accounts	
Company's financial viability	
Tax compliance, NSSF, NHIF	
Nature of businesses carried out (whether in line with the tender requirements)	
Conformity to technical specification (responsiveness of the bids)	

Technical Evaluation Step II

4.16 This is where the real evaluation, weighting, and ranking take place. The technical evaluation committee shall develop the criteria for evaluating, scoring and ranking the bids. The following guideline shall also be incorporated:

Guidelines for technical evaluation of tenders (Step II)

Criteria		Score 0-5	Remarks
a) <i>Management calibre and qualification</i>			
(i) Key managers			
(ii) Technical staff calibre and qualification			
(iii) Management structure (whether it facilitates efficiency and modern business practices)			
b) <i>Reputation</i>			
(i) Client has rendered similar service within the last 3 years			
(ii) Past performance record of bidder in the University			
(iii) Involvement or otherwise in procurement irregularities			
c) <i>Competence and capacity</i>			
(i) Tools and equipment			
(ii) Process quality systems e.g. certification etc	ISO or KEBS		
(iii) Labour quality			

(iv) Workshop facilities			
(v) Volume of work that the candidate can service			
(vi) Timeliness in meeting delivery schedules			
d) <i>Life-long costs</i>			
(i) Maintenance			
(ii) Lifespan			
(iii) Service contract			
e) <i>Credit terms- period within which supplier</i>			
account can be settled e.g 30,60, or 90 days			
f) <i>After sales back-up service</i>			
g) <i>Ease of accessibility to vital information</i>			
g) <i>Other general considerations</i>			
TOTAL SCORE			

Scoring, Weighting and Ranking of Candidates

4.17 It should be noted that the weight to be attached to each item of the foregoing criteria will vary according to the goods, services and works in question. Whereas one criterion may be a critical factor in one category of supplies, it may be optional in another category. For example, in consultancy the manpower base is critical while for the supply of furniture and equipment the sample will be a more critical factor.

4.18 The technical specifications must be met in all cases for any bidder to qualify and the technical evaluation committee must ensure compliance with this requirement.

Evaluation Committee's Recommendation

4.19 In making their final recommendations, the Tender Evaluation Committee shall clearly bring out matters which informed their decisions in respect of:

- a) Disqualification of bids);
- b) Bids with incomplete information;
- c) The recommended choice based purely on technical evaluation;
- d) A recommendation to award the tender to the lowest evaluated tenderer or to the person who submitted the proposal with the highest total score as per Public Procurement and Asset Disposal Act ,2015
- e) Any other consideration.

FINANCIAL EVALUATION OF SUBMITTED BIDS

4.20 In case of two envelope tenders, The Vice Chancellor shall appoint a committee from the departments of Finance, Procurement, and the user department to undertake financial evaluation of submitted bids.

4.21 The mandate of the financial evaluation committee shall be to evaluate and determine the immediate and long-term commercial viability of the undertaking. Financial evaluation shall be completed within three days of receipt of the technical evaluation report.

4.22 The financial evaluation committee shall consider the following factors when assessing bids:

- a) i) Available options and alternatives;
- ii) Lifespan for equipment and projects;
- iii) Maintenance or running/servicing costs;
- iv) Opportunity costs for services;
- v) Value adding for other activities.

Thus, this committee shall evaluate available options in terms of investment in repair costs as opposed to purchase of a new vehicle as a cost effective measure in the long term.

i) Market trends;

- ii) Respective legislation;
- iii) Technological advancements;
- iv) Developments in the industry;
- v) Ongoing research and developments;
- vi) Overall institutional priorities in light of resource constraints;

- c) i) Price tendered;
- ii) Credit terms;
- iii) Delivery/performance period;
- iv) Bidder competence.

All these factors shall have a bearing on total evaluated cost. For example, in considering insurance policies the premium quoted must be compared against the resultant range of benefits.

- d) Financial evaluation shall also include other pertinent issues that the financial evaluation committee considers important for final decision making on award of Tender.

4.23 Candidates will then be ranked from the most financially viable/most favorable to the least financially viable/least favorable in terms of overall assessment. Based on the ranking, the financial evaluation committee shall then make recommendations for Tender Award

4.24 Price differences may be caused by differences in quality, packaging, urgency, and other factors. Therefore, the financial evaluation committee shall ensure that its recommendation is cost effective. If financial evaluation is not done diligently and expeditiously, a candidate with the lowest evaluated cost may turn out to be the most costly supplier.

- 4.25 If quotations from all the bidders are exorbitant then the tendering process shall be terminated to be started all over again.
- 4.26 Any prices accepted above market rates render the responsible officers liable for the difference in addition to other penalties under the Act.
- 4.27 Specifically, the officers responsible are the departmental authorizing officers, those in procurement, accountants/finance officers, and internal auditors. Generally, such responsibility rests with the Deputy Vice-Chancellors and the Vice-Chancellor.

CHAPTER 5

ALTERNATIVE PROCUREMENT PROCEDURES

INTRODUCTION

5.1 There are alternative procedures to the open tender procurement method discussed in part IX of the Public Procurement and Asset Disposal Act, 2015. This chapter elaborates on these procedures and the circumstances under which they can be applied.

RESTRICTED TENDERING

5.2 In restricted tendering, a limited number of qualified suppliers are asked to tender and the process thereafter is the same as that applicable to open tendering.

5.3 The provisions governing restricted tendering are stipulated in The Public Procurement and Asset Disposal Act, 2015. Under section 102 (1) of these provisions, a procuring entity may use restricted tendering if the following conditions are satisfied:

- a) Competition for the contract, because of the complex or specialized nature of the goods, works or services is limited to prequalified contractors.
- b) The time and cost required to examine and evaluate a large number of vendors would be disproportionate to the value of the goods, works or services to be procured.
- c) If there is evidence to the effect that there are only a few known suppliers of the whole market of the goods, works or services
- d) An advertisement is placed, where applicable, on the procuring entity website regarding the intention to procure through limited tender.

DIRECT PROCUREMENT

5.4 Direct procurement is also referred to as "single sourcing" procurement.

5.5 The provisions governing direct procurement as stipulated in The Public Procurement and Asset Disposal Act, 2015 section 103 are stated as follows:

- 1) A procuring entity may use direct procurement as allowed under subsection (2) as long as any of the following are satisfied:
- 2) A procuring entity may use direct procurement if the following conditions are satisfied:
 - a) The goods, works or services are available only from a particular supplier or contractor, or a particular supplier or contractor has exclusive rights in respect of goods, works or services and no reasonable alternative or substitute exists.
 - b) Due to war, invasion, disorder, natural disaster or there is an urgent need for the goods, works or services, and engaging in tendering process proceedings or any other method of procurement would therefore be impractical, provided that the circumstances giving rise to the urgency were neither foreseeable by the University not the result of dilatory conduct on its part.
 - c) Owing to a catastrophic event, there is an urgent need for the goods, works or

services, making it impractical to use other methods of procurement because of the time involved in using those methods

- d) The University, having procured the goods, equipment, technology or services from a contractor, determines that additional supplies shall be procured from that supplier or contractor for reasons of standardization or because of the need for compatibility with existing goods, equipment, technology or services, taking into account the effectiveness of the original procurement in meeting the needs of the procuring entity, the limited size of the proposed procurement in relation to the original procurement, the reasonableness of the price and unsuitability of alternatives to the goods or services in question.
- e) For the acquiring of goods, works or services provided by a public entity provided that the acquisition price is fair and reasonable and compares well with known prices of goods, works or services in the circumstances

3) A public officer who contravenes the provisions of section (2) commits an offence

5.6 Under section 104 of the Act the following shall apply with respect to direct procurement:

- a) The procuring entity will issue a tender document which shall be the basis of tender preparation by tenderer and subsequent negotiations may negotiate with a person for the supply of goods, works or services being procured.
- b) Appoint an ad hoc evaluation committee pursuant to the section 46 to negotiate with a person for the supply of goods, works or non ó consultancy services being provided.
- c) Ensure appropriate approval levels under the Act have been granted
- d) Ensure the resulting contract is in writing and signed by both parties.

5.7 All direct procurement exceeding Ksh.500,000 shall be reported to the Public Procurement Review Authority within 14 days after notification of the contract award.

REQUEST FOR PROPOSALS

5.8 The request for proposals method may be used for consultancy services/ professional services or any work whose nature and scope is not clearly understood. Proposals will be sought from not less than five candidates conversant with the work so as to shed more light on it.

5.9 Under section 116(1) of the Act, a procuring entity may use a request for proposals for procurement if:

- a) The procurement is of services or a combination of goods and services.
- b) The services to be procured are advisory or otherwise of a predominantly intellectual nature.

5.10 The provisions governing request for proposals as stipulated in The Public Procurement and Asset Disposal Act, 2015 section 117 are as follows:

- 1) The initiation of request for proposals is subject to terms and conditions for invitation to tender as stipulated in section 74 of the Act
- 2) it shall include in the terms of reference the expected milestones or performance

benchmarks to be realized throughout the consultancy period and related timelines

- 3) The University may source relevant for suppliers either through advertisement, or from the list maintained under section 57 of the Public Procurement and Asset Disposal Act, 2015
- 4) The procuring entity shall give each person who it determines qualified to be invited, based on the shortlist from the expression of interest in accordance with the notice inviting expressions of interest to submit a proposal a request for proposals and a copy of the terms of reference.
- 5) The request for proposals shall set out the following:
 - a) The name and address of the Vice Chancellor as the Accounting officer
 - b) The general and specific conditions to which the contract will be subject
 - c) Instructions for the preparation and submission of proposals which shall require that a proposal include a technical proposal and a financial proposal.
 - d) An explanation of where and when proposals must be submitted.
 - e) The procedures and criteria to be used to evaluate and compare the proposals including:
 - i. The procedures and criteria for evaluating the technical proposals which shall include a determination of whether the proposal is responsive.
 - ii. The procedures and criteria for evaluating the financial proposals.
 - iii. Any other additional method of evaluation, which may include interviews or presentations, and the procedures and criteria for that additional method.
 - d) A statement giving notice of the restriction, in section 130, on entering into other contracts.
 - e) Anything else required, under this Act or the regulations to be set out in the request for proposals.

5.11 In the application of the request for proposals procedure, the University shall require that:

- a) At least five candidates are invited to submit proposals. The most favorable proposal is selected based on the criteria set out in section 124 of the Act and as may be prescribed
- b) The notice of intention to enter into a contract shall as applicable be publicized on the University's website and other public notice boards that do not attract a cost
- c) The University may enter into negotiations with the successful bidder and may request and permit changes subject to section 128 (2).
- d) Due to the possibility of conflict of interest, candidates shall be excluded from the work that ensues out of their services.
- e) Alternatively, candidates who submit proposals that are considered satisfactory after evaluation may be asked to give their quotations. These quotations will be evaluated by a technical committee, which shall submit its report to the Vice Chancellor.

REQUEST FOR QUOTATIONS

5.12 The following guidelines will be used for quotations method of procurement:

- a) The procurement process may only be initiated after the respective officers have obtained authorization and the availability of funds confirmed through completion of A.LE. Forms.

- b) Quotations will be used for individual items whose total annual expenditure does not exceed Ksh.1 million.
- c) Only procurement staff are allowed to source for quotations for the purpose of procurement. User departments may, however, give input that will assist the procurement process to realize value for University money.
- d) Heads of department may, however, source for quotations to enable them draw up the procurement plan and to fill provisional values in the A.LE form. Such quotations will however not be used for procurement awards but will form the basis of market survey.
- e) For uniformity, only the official University quotation forms shall be used for this purpose.
- f) The University expects procurement officers to obtain a minimum of five competitive quotations from known suppliers who deal in the items in question.
- g) Quotations shall be opened and evaluated by at least three senior officers who will be required to sign on each quotation and then make a recommendation on the most favorable quote.
- h) The Procurement officer in charge shall also be responsible for evaluation and recommendation for award
- i) Contract award for a request for quotation is the responsibility of the Deputy Vice Chancellor/ Principals/ Director SWA, upon professional advice given by a qualified procurement officer.
- j) The Deputy Vice Chancellor/ Principals/ Director SWA may;
 - i) Approve submission.
 - ii) Reject submission with a reason or
 - iii) Approve a submission subject to minor clarifications to be made by the Supply Chain Department

Quotations will be used when:

- a) The estimated value of the goods, works or services being procured is less than or equal to the prescribed maximum value for using requests for quotations as prescribed in regulations
- b) The procurement is for goods, works or non ó consultancy services that are readily available in the market: and
- c) The procurement is for goods, works or services for which there is established market.

LOW VAUE PROCUREMENT

Low value procurement is used when:

- a) The University is procuring low value items which are not procured on aregular basis and are not covered in framework agreement
- b) The estimated value of the goods, works or non ó consultancy services being procured are less than or equal to the maximum value per financial year for that low value procurement procedure as may be prescribed.

FORCE ACCOUNT

The University may use Force Account by making recourse to the state or public officers and using public assets, equipment and labor where:

- a) Quantities of work involved are small and scattered or in remote locations for which qualified firms are unlikely to tender at reasonable price and the quantities of works

- cannot be defined in advance
- b) Unforeseen and urgent work is required to be carried out without disrupting ongoing operations
 - c) The procuring entity is to complete works delayed by the contractor after the written warnings did not yield any tangible results.

This method shall be only be applied:

- a) With the prior approval of the Vice Chancellor
- b) Within the limits prescribed in the Regulations
- c) Where the total cost of procuring the goods, works and non ó consultancy services are, at most, set at the prevailing market rate.
- d) Any other conditions that may be set out in the Regulations

ELECTRONIC REVERSE AUCTION

This may be used in exceptional circumstances with the Approval of Public Procurement and Disposal Regulatory Authority

The following procedury shall apply

- a)
 - Invite all registered suppliers in the specific category to compete
 - Advertise its requirements on the University website including the period of time and goods specifications
- b) The prices of bidders within the prescribed time shall be visible to other bidders without revealing the bidder's identity
- c) A prequalified supplier shall not revise its bid upwards within the prescribed time.

Subject to the reserve price set by the University, the successful bid shall be the bid with lowest price at the bid submission deadline

FRAMEWORK AGREEMENT

The University may enter into a framework agreement through open tender if

- 1
 - a) The Procurement value is within the threshold of the regulations under the Public Procurement and Asset Disposal Regulations Act, 2015.
 - b) The required quantity of goods, works or non- consultancy services cannot be determined at the time of entering into the agreement
 - c) A minimum of seven alternative vendors are included for each category.
2. The maximum term for the framework contract shall be three years, and for agreements exceeding one year, a value for money assessment undertaken annually to determine whether the terms designated in the framework agreement remain competitive
3. Framework agreements may be subjected to the preferences and preservations provided for in the Public Procurement and Asset Disposal Act, 2015.

In implementing the framework procedure, the following may be done:

- a) Through call off order when necessary
- b) Invite mini- competition among persons that have entered into the framework agreement into the respective category.

TWO STAGE TENDERING

The University may use Two Stage Tendering when due to complexity and inadequate technology on its part or advancement in technology, it is not feasible to formulate detailed specifications for the goods or works or non- consultancy services in order to obtain the most satisfactory solution to its procurement needs.

1. The tenderers shall be called upon to submit in the first stage tendering proceedings, initial tenders containing their proposals without a tender price.
2. The University shall invite tenderers whose tenders were retained to submit final tenders with prices with respect to a single set of specifications and in formulating those specifications, the University may modify any aspect, originally set forth in the tendering document.
3. Any such modification or addition shall be communicated to tenderers in the invitation to submit final tenders and a tenderer not wishing to submit a final tender may withdraw from the tendering proceedings without forfeiting any tender security that they may have been required to provide.
4. The final tender shall be evaluated and compared in order to ascertain the successful tenderer.
5. The specifications developed under 2 shall meet the requirements of the Public Procurement and Asset Disposal Act, 2015
6. The University may engage experts in preparing specifications.

DESIGN COMPETITION

The University will use Design competition procedure for the purpose of determining the best architectural, physical planning and any other design scheme, engineering, graphic or any other design scheme for its use. In design competition, the University shall:

- a) Invite design proposals through a public advertisement
- b) Ensure the preparation of the invitation sets out the following
 1. The name and address of the University
 2. The tender number assigned to the procurement proceedings by the procuring entity
 3. Description of technical and functional needs
 4. An explanation of where and when tenders or their representatives may attend the opening of the design proposals
 5. A statement that a copyright or other intellectual property of the top three shall vest in the state

In participating in design competitions, all bidders shall undertake to transfer all copyrights, intellectual property rights and patents relating to their designs to the Procuring entity.

REGISTRATION OF SUPPLIERS

5.13 The Head of Procurement shall maintain and continuously update lists of registered

suppliers, contractors and consultants in various specific categories of goods, works or services according to the procurement needs:

1. An application to be included in the list of the University can be made any time, at no cost and shall contain proof of:
 - Eligibility criteria set out in The Public Procurement and Asset Disposal Act, 2015
 - Capability criteria that defines necessary qualifications, experience, resources, equipment and facilities to provide what is being procured.
2. A Tenderer may seek clarification on eligibility, but not on capacity.

PREFERENCE AND RESERVATION

5.14 The following guideline shall be followed when applying the Preference and Reservation.

- a) All target groups must have a registration certificate from the National Treasury.
- b) 30% of all procurement spend should be allocated to the target group
- c) The target group will compete among themselves in quotations and tenders
- d) Guide lines on preference and reservations are outlined in the Public Procurement and Asset Disposal Act 2015, Public The Public Procurement and Disposal (Preference and Reservation) Regulations, 2011 and The Public Procurement and Disposal (Preference and Reservation)(amendments) Regulations, 2013
- e) The amounts set aside for Procurements reserved for these categories will be clearly outlined in the Procurement Plan.

CHAPTER 6

PUBLIC PRIVATE PARTNERSHIPS

INTRODUCTION

A Public Private Partnership is a long term contract between a private party and a public entity, for providing a public asset or service in which the private party bears significant risks and management responsibility and remuneration is linked to performance.

The objective of Public Private Partnership is to seek and obtain Private resources, financial or otherwise to augment the resources of a Public Entity with the aim of implementing desired projects, improving performance and achieving specified target.

THE PUBLIC PRIVATE PARTNERSHIP LAW

The Public Private Partnership Act, 2013 supersedes all previous Acts and regulations that were governing Public Private Partnerships.

OPERATIONALISING PUBLIC PRIVATE PARTNERSHIP IN THE UNIVERSITY

Pursuant to the Public Private Partnership Act, 2013 and any other regulations issued by the Cabinet Secretary responsible for matters relating to finance, the University will undertake to implement Public Private Partnerships through the recommendation of the University of Nairobi Public Private Partnership Node chaired by the Vice-Chancellor. The recommendations of the Public Private Partnership Node will be forwarded to the University Management Board for authorization and then approved by the University of Nairobi Council. The report will then be forwarded to the Public Private Partnership Unit at the Ministry of Finance for vetting. The unit once satisfied will forward the recommendation to the Public Private Partnership Committee for approval. This Committee in turn will forward it to the Cabinet for approval before the project is turned into a Public Private Partnership.

STRUCTURES FOR MANAGING PUBLIC PRIVATE PARTNERSHIPS

The University of Nairobi Public Private Partnership node

Pursuant to part IV of the Public Private Partnership Act, 2013 the University Node will be constituted as follows:-

Chairman:	Vice- Chancellor
Members:	Deputy Vice-Chancellor (A&F)
	Two Principals of Colleges
	Managing Director UNES
	Finance Officer
	Manager Construction & Maintenance
	Chief Legal Officer
Secretary:	Director, Supply Chain Management

Pursuant to section 17(1) of the Public Private Partnership Act, 2013 the functions of the University Node will be as follows:

- i) Identify, screen and prioritize projects based on guidelines issued by the Committee;
- ii) Prepare and appraise each project agreement to ensure its legal, regulatory, social, economic and commercial viability;
- iii) Ensure that the parties to a project agreement comply with the provisions of the PPP Act;
- iv) Undertake the tendering process in accordance with the PPP Act and any other written law;
- v) Monitor the implementation of a project agreement entered into with the University Management
- vi) Liaise with all key stakeholders during the project cycle;
- vii) Oversee the management, of a project in accordance with the project agreement entered into by the University Management ;
- viii) Submit to the unit, annual or such other period reports on project agreements entered into by the University Management;
- ix) Maintain a record of all documentation and agreements entered into: by the contracting authority relating to a project under the PPP Act;
- x) Prepare projects in accordance with guidelines and standard documents issued. by the Committee under this Act;
- xi) Ensure that the transfer of assets at the expiry or early termination of a project agreement is consistent with the terms and conditions of the project agreement, where the project agreement involves a transfer of assets; and
- xii) Carry out such other functions as may be assigned to it by the University Management and council.

In performing its functions, the University Node shall report to the Unit (Treasury) in implementation of guidelines that are issued. The node shall also submit information as shall be required by the Debt Management Office

PUBLIC PRIVATE PARTNERSHIP PROCESS

The following are the main features of the Public Private Partnership process.

PRIORITISATION:

The University Management and Council will identify and prioritize projects that should be financed through Public Private Partnership. These will be projects that support the University core mandate and strategic plans. Once such projects have been identified and approved by Council, management will pass them to the University Node for action.

FEASIBILITY REPORTS:

The University Node will arrange to carry out feasibility studies as stipulated by the Public Private Partnership Act, 2013. The Node may, in carrying its responsibility in this respect, co-opt technical experts as well as carry out consultative meetings with the unit (Treasury). The Node will then prepare a detailed report that will be considered and approved by the University MB, Senate and Council and thereafter be forwarded to the Unit. Once approved by the Unit and

Cabinet, the procurement process shall commence in accordance with Part VII of the Public Private Partnership Act, 2013.

PART VII SOLICITED PROPOSALS AND UNSOLICITED PROPOSALS

SOLICITED

This is a proposal made by a public entity to private partners through invitation request for qualification through a notice in at least two newspapers of national circulation and in the electronic media.

The University shall follow the procedures stipulated in the PPP Act, 2013.

UNSOLICITED PROPOSALS

This is a proposal made by a private party to undertake to undertake a Private Partnership Project submitted at the initiative of the private firm

The University shall follow the procedures stipulated in the PPP Act, 2013.

PREQUALIFICATION COMMITTEE

This Committee shall be appointed by the Vice-Chancellor upon the advice of the Head of Procurement. The Committee shall submit its report to Vice-Chancellor who shall notify bidders who have been prequalified and those who fail the prequalification at the same time.

GROUND FOR DISQUALIFICATION

A pre-qualification committee shall disqualify a bidder if that bidder:

- (a) Submits false, inaccurate or incomplete information in relation to his or its qualifications;
- (b) Colludes, connives or is involved in any corrupt or dishonest practice;
- (c) Fails to meet the eligibility criteria; or
- (d) Contravenes the provisions of this Act or any other written law in order to have an unfair advantage over other bidders in the award of the tender.

INVITATION OF BIDS

The University will administer tender documents to the prequalified bidders in Consultation with the Unit. Tender documents will require that bidders submit both Technical and Financial bids in two envelopes enclosed in a Master envelope.

Only bidders who pass the technical requirements will proceed to financial evaluation stage.

EVALUATION OF BIDS

The Vice-Chancellor shall appoint an Evaluation Committee to analyse the bids and submit a report recommending the bid with the best combined score. The weight of the technical assessment will be 70% and that of financial 30%.

NEGOTIATION

This will be subject to the approval of the Committee (Treasury).

APPROVAL OF PROJECT/CONTRACT

Approvals of projects shall be by the cabinet through the committee.

EXECUTION OF THE PROJECT

Once the cabinet has approved the memorandum and communication by the committee is made to the University, execution will commence. The Legal, Procurement and Construction and Maintenance departments will be responsible to the Vice-Chancellor in ensuring 100% compliance with the memorandum of the project. The trio will submit jointly monthly reports to the Vice-Chancellor for endorsement by the Node.

CHAPTER 7

E-PROCUREMENT PROCESS

The University of Nairobi has developed a semi automated procurement system. However, the system is currently being reviewed to full automation in line with the requirements of the Public Procurement and Asset Disposal Act, 2015.

The University is fully committed to full automation of the procurement process and progress towards this will be gradual as regulations and amendments are made to existing legal frame work.

The automation of procurement process will result in the following benefits:

- a) Provides in-built approvals at various levels of the procurement process to enhance accountability;
- b) Increases of the visibility of all financial activities related to procurement of goods and of services. This ensures accurate financial statements and ease of compliance to audit requirements;
- c) Curtails risk of fraud and other errors like double payment created through manual purchasing environment;
- d) Allows the University to better understand how it spend public funds;
- e) Eliminates paper work and reduces loss of documents and inconveniences to suppliers who seek assistance at public offices;
- f) The system will be linked to the Item Master which contains indicative prices - to curb price variation for similar products / services;
- g) Reduces processing time and costs;
- h) The system will allow suppliers to submit their quotes online;
- i) Suppliers can be notified of the status of award, contract or Local Purchase Order;
- j) Suppliers will check the status of orders and payment through the Supplier portal;

E-PROCUREMENT PROCESS

The following are the steps of e-procurement:

- i) **Budgetary preparation:** This is fully automated
This process will be undertaken by the Finance Officer using the budgetary module. Once the budget is approved, each unit will then draw their procurement plan using the amount in the budget allocated for purpose of procurement of goods and services.

- ii) **Procurement plan:** This process is fully automated. The process starts by the development of department/units procurement plan which are then consolidated in the corporate procurement plan. The system supports the approval of the plans and their subsequent review and approvals. Any requisitioned items not in the Procurement Plan will automatically be rejected.
- iii) **Requisitioning:** This will be done by designated personnel within user departments with right to enter the automated procurement system. Only goods or services previously planned and recorded in procurement plan can be requisitioned.
- iv) **Requisition approval:** this is automated and approvals will be by the Principals of Colleges and Deputy Vice-Chancellor or The Vice-Chancellor.
- v) **Sourcing:** The quotation process is fully automated. Registered and pre-qualified suppliers will get quotations and submit them electronically. The evaluation of quotations is also automated and will be approved by the Vice-Chancellor/ Deputy Vice Chancellor /Principal after a professional opinion by the Head of Procurement

Tenders will be partially automated because the legal requirements that bidders attend tender opening and because some tender documents and samples must be submitted manually. Evaluation of tenders will also be partially automated.

Supplier management - This means registration of suppliers, the goods/services they offer and their qualification. The supplier management allows the following:

- Self-service registration of suppliers (capturing of supplier information);
- Categorization of suppliers based on goods and services offered;
- Online supplier approvals;
- Online generation of statistics reports on suppliers like quotations submitted and awarded;
- Self-service supplier details change update; and online collaboration on supplier inquiries.

- vi) **Tender and quotations advertisement:** This will be automated and will be posted at the University website, Government supplier portal as well as print media.
- vii) **Notification of Suppliers:** this will be done on-line with hardcopies maintained in the procurement office.
- viii) **Preparation and submission of Local Purchase Orders:** This is fully automated
- ix) Suppliers who participated on any tender processes will be notified about the outcome of the tendering process via the supplier portal and email.
- x) **Inspection and Acceptance:** This will be partially automated. The report thereof will be automated.

xi) **Receipt Management** - This automates all activities involved in receiving goods, from delivery and receipt of goods, inspection and acceptance process to recording receipts in the system. It also supports return of delivered goods to supplier if they fail to meet the specifications. After goods have been successfully accepted in the store, the inventory levels will be updated in the system. Procured items coded as assets are automatically updated in the fixed assets register. Suppliers will then be automatically notified through the Supplier portal to enable them to raise an invoice.

xii) **Inventory management** –This process is fully automated

This involves the management of purchased goods once they have been accepted by the stores with the aim of improving inventory visibility, reducing inventory levels and controlling inventory operations.

xiii) **Certification of Invoices:** This is fully automated

Supplies will be expected to submit their invoice online. These invoice will be certified by procurement and certified for payment,

xiv) **Contract Execution:** This is partially automated

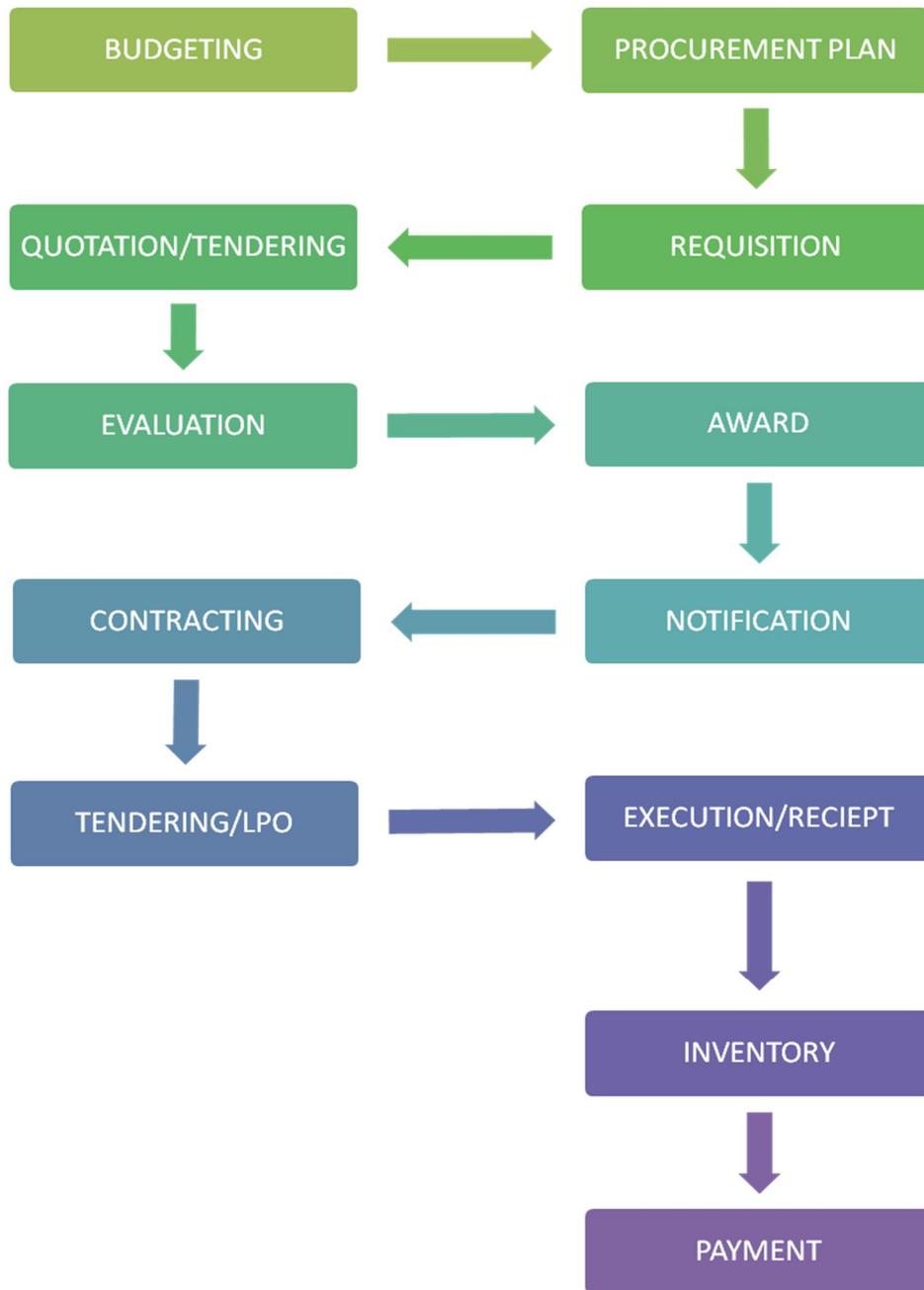
Contract will be drafted and agreed upon between the University and the supplier. Once the contract is signed a copy of the same will be stored in the system. For low value purchase the LPO will form the contract document. The process of contract revision will be tracked using the system

The receipt of Goods or services will be recorded in the system using the delivery orders and goods received notes. Ones Goods /Services are received inspection of the goods and services will take place at the store or in case of a service by the inspection committee associated with the services.

xv) **Payment:** This process is partially automated

This process will be handled by the Finance officer and will commence upon the certification of an invoice for payment.

Procurement Process Workflow Chart



CHAPTER 8

COMPOSITION AND ROLES OF THE UNIVERSITY PROCUREMENT COMMITTEES

TENDER OPENING COMMITTEE

The Vice Chancellor shall appoint a tender opening committee specifically for the procurement. The Committee shall:

- a) Have at least three (3) members
- b) At least one of the members shall not be directly involved in the processing or evaluation of the tenders
- c) Open the tenders immediately after the deadline for submitting tenders
- d) Assign an identification number to each tender and record the number of pages received
- e) Read out loudly and record: The name of the person submitting the tender, the total price, where applicable, including modifications or discounts received before the deadline for submitting tenders except as may be prescribed and if applicable what has been given as tender security.
- f) Not disqualify any tender during the opening

EVALUATION COMMITTEE

The Vice Chancellor shall establish ad hoc evaluation committee which shall:

- a) Deal with the technical and financial aspects of procurement as well as the negotiation of the process including evaluation of the bids, proposals for prequalification, registration lists, expressions of interest and any other roles assigned to it.
- b) Consist of between three and five members appointed on a rotational basis comprising heads of user department and two other departments or their representatives and where necessary, procured consultants or professionals, who shall advise on the evaluation of the tender documents and give a recommendation to the committee within a reasonable time
- c) Have as its secretary, the person in charge of the procurement function
- d) Complete the procurement process for which it was appointed and no new committees shall be appointed on the same issue unless the one handling the issue has been procedurally disbanded
- e) Adopt a process that shall ensure the evaluation utilized adhered to articles 201(d) and 227(1) of the constitution

INSPECTION AND ACCEPTANCE COMMITTEE

The Vice Chancellor upon the recommendation of the Head of Procurement shall establish an ad hoc Inspection and Acceptance Committee composed of Chairman and at least two other members

The committee shall immediately after the delivery of the goods, works or services ó

- a) Inspect and where necessary, test the goods received
- b) Inspect and review the goods, works or services in order to ensure compliance with the

- terms and specifications of the contract
- c) Accept or reject, on behalf of the procuring entity, the delivered goods, works or services
 - d) Ensure that the correct quantity of the goods is received
 - e) Ensure that the goods, works or services meet the technical standards defined in the contract
 - f) Ensure that the goods, works or services have been delivered or completed on time, or that any delay has been noted
 - g) Ensure that all required manuals or documentation has been received
 - h) Issue interim or completion certificates or goods received notes, as appropriate and in accordance with the contract

DISPOSAL COMMITTEE

The Vice-Chancellor shall appoint a disposal committee, which shall include senior qualified officers including a representative from the user department, Internal Audit, the Finance Department, and external experts where necessary. Disposals shall only be effected on the recommendations of the disposal committee.

This will be for the purpose of disposal of unserviceable, obsolete, obsolescent or surplus stores, equipment or assets

The disposal committee shall be responsible for verification and processing of all disposal recommendation in liaison with the head of Procurement function as prescribed

CHAPTER 9

RECEIVING AND INSPECTION OF GOODS

INTRODUCTION

- 9.1 The receiving and inspection of goods is an important aspect of the procurement process as it ensures compliance with the requirements and conditions of the tender awards.

RECEIVING GOODS

- 9.2 Goods or materials must be received into the Central Stores from external suppliers. These goods/materials must be accompanied by the relevant documents relating to the particular procurement. In particular, the delivery note should indicate the order number, quantity of goods delivered, item description, point of delivery, and any other instructions.

INSPECTION OF GOODS

- 9.3 Before materials are accepted into the store they must be inspected for quality and quantity against the order specifications and, where relevant, the sample. The Inspection and Acceptance Committee established in accordance with section 17(1) of the regulations may be required to carry out an inspection before goods are received. If goods are technical in nature, the user shall be called upon to check the technical aspect before final acceptance. In case of defects or quality shortfalls the items shall be rejected and the supplier informed to take back the same.

There will be an ad hoc inspection committee to inspect goods and services immediately after delivery

- 9.4 A goods-inward register shall be kept and entered daily as and when consignments arrive. The register shall provide the following information:
- Date and time of arrival of consignment;
 - Consignor;
 - Method of transport;
 - Vehicle number;
 - Brief description of the goods;
 - Order/contract number.

Goods will not be received in the University after 5 p.m.

- 9.5 A Goods Received Note (GRN) is necessary for taking into stock the receipts and confirming to relevant departments that the goods were indeed received. The GRN is an accounting document that is serially numbered. It should have the following information:
- Date of receipt - as in the receipt register;
 - Consignor;
 - Consignor's delivery note number; iv) Order/contract number;
 - Item(s) code/description;
 - Quantity received;
 - Number and type of packages; viii) Method of transport;
 - Any excess or shortfall in delivery;
 - Name/signature of receiving storekeeper;
 - Quality inspector's name/signature applicable).

- 9.6 The GRN shall be distributed as follows:

- Original will be attached to the original delivery note and original invoice and sent to the Finance

Department for settlement of the account.

- b) Duplicate will be sent to the procurement section to confirm delivery of the order (supplier performance).
- c) Triplicate will be sent to stores for updating of stock control ledgers and bin cards.
- d) Quadruplicate will be used for user notification.

ISSUING AND DISPATCHING OF MATERIALS

9.7 The service rendered by the Stores section to other departments becomes effective at the point where the stores personnel issue goods to the users. Users will judge the efficiency of the Stores section by the standard of service provided to them.

9.8 The Stores personnel shall only issue materials upon receipt of a Stores Issue Note duly authorized by the head of the department requesting for goods. The Stores Issue Note is an accounting document that is serially numbered and has the following details:

- i) Department/Section requesting the items;
- ii) Quantity required;
- iii) Items description;
- iv) Amount committed;
- v) Authorizing officer and date;
- vi) Issuer and date of issue;
- vii) Receiving staff and date of receipt.

9.9 The Stores Issue Note will be distributed as follows:

- i) Original, white, goes to the Finance Department for accounting purposes.
- ii) Duplicate, blue, is the Stores copy for stock control and updating of stock records.
- iii) Triplicate, green, is the issue copy to accompany the goods to the user.
- iv) Quadruplicate, pink, is retained as the book copy for audit.

STOCK RECORDS

9.10 Inventory records are mandatory for the capture, classification and analysis of stores information relating to the receipt, movement and disposal of goods. The records are important for efficient performance of the stores function, accountability for the physical goods and for the financial records.

9.11 The purpose of keeping stock records is to:

- a) Indicate the amount of stock of any item available at any time without the need for a physical count.
- b) Establish a link between physical stock and stores accounts (receipts/issues).
- c) Provide a means of provisioning.
- d) Supply information for stocktaking.
- e) Serve the purpose of price list.

DOCUMENTATION

9.12 The following shall be the approved documents used in the procedure outlined above:

- 2 Goods Received Note GRN
- 3 Stores Received Note SRN
- 4 Stores Requisition Issue Note SRIN
- 5 Local Purchase Order L.P.O.

CHAPTER 10

STOCK CONTROL PROCEDURES

INTRODUCTION

- 9.1 a) The Supply Chain Department shall be responsible for the proper accounting of stock and stores.
- b) The storekeeper shall maintain adequate records for stock control such as stock control ledgers and bin cards.
- c) All receipts and issues of stores must be recorded in the store ledger and bin cards immediately after each transaction.
- d) There will be regular stock counts by the storekeeper and the procurement officer.
- e) Any discrepancies between the physical stock and bin cards shall be investigated and appropriate action taken.
- f) There shall also be an annual stocktaking activity at the end of every financial year, the results of which shall be incorporated in the annual accounts.

STOCK TAKING

- 9.2 The annual stocktaking activity shall be carried out by the Procurement Manager, closely working with Finance and Internal Audit.
- 9.3 The essence of stock taking will be to ascertain whether:
- a) The storekeeping function of the Supply Chain Department is effectively carried out;
- b) Proper documentation of stocks and stores is maintained;
- c) All stocks and stores are adequately accounted for;
- d) There are adequate procedures for identifying and separately accounting for slow moving, damaged or otherwise defective stocks and stores;
- e) The amounts attributable to stocks in the University final accounts are valid.
- f) Determine quantity of goods in stock at the closing of the year to avoid overstocking

Stock Taking Procedure

- 9.4 a) Issuing and receiving of items of stock shall be suspended during the stock counting period.
- b) Stock taking details shall be recorded on stock taking sheets.
- c) Stock taking will commence after adequate preparations and in the presence of authorised representatives of:
- i) Internal auditors
- ii) External auditors
- d) Supervisors and representatives of the Internal Audit Department shall ensure that the correct stock position is recorded and that there are no omissions or overstatements.
- i) The stock sheets shall be signed by all present.
- ii) The ledger/stock card balances will then be entered in the appropriate columns for comparison. Any discrepancies will thereafter be investigated.
- e) During stock taking, the following procedure shall be used for all types of stock:

- i) Identification of stock and ascertainment of ownership.
- ii) Counting, weighing or measuring as the case may be.
 - iv) Reporting slow moving, damaged or otherwise defective stock.
 - v) Recording information.

- f) All items shall be properly arranged and kept in their respective places in the stores during the stocktaking exercise.
- g) All stock items that are defective shall be recorded and separated from the good ones.
- h) Professionally qualified and experienced storekeepers shall be present to guide the counting staff on identification and description of items in stock.

STOCK VERIFICATION

- 9.5 The storekeeper shall conduct regular stock counts under the supervision of the procurement officer to ensure that:
- a) Records of receipts and issues are well maintained (all receipts and issues have been recorded in the stores ledger and bin cards).

 - b) Stocks and stores are all accounted for. This will be done through comparison of the physical stocks and the balances reflected on the ledger bin card.

STOCK RECONCILIATION

- 9.6 a) Following the regular or annual stock taking exercise, any shortages/discrepancies noted will be investigated and appropriate action taken.
- b) Any damaged or defective items will also be noted and separated from the good ones.
 - c) The ledgers and bin cards will then be appropriately amended to reflect the shortages noted, and/or any defective/damaged stock items identified.

CHAPTER 11

DISPOSAL OF STORES AND EQUIPMENT

INTRODUCTION

- 10.1 Where University stores, plant and equipment become unserviceable as a result of fair wear and tear or become obsolete, the Chairman Head of Department will be required to compile a list of these items for submission to the Vice Chancellor.
- 10.2 The Capital section under the guidance of the Finance Officer shall coordinate the exercise of compiling a list of all the unserviceable and obsolete furniture, plant and equipment. The Capital section shall receive and submit the lists to the Vice Chancellor through the Procurement Manager.
- 10.3 Every department shall submit its list of obsolete or unserviceable stores, plant and equipment to the Procurement Manager who shall request the Vice Chancellor to approve their processing.

DISPOSAL OF STORES

- 10.4 There shall be an annual disposal of these items by the end of the financial year.
- 10.5 The disposal shall be carried out by a disposal committee established in accordance with section 128(1) of the Act.
- 10.6 The Vice-Chancellor shall appoint a disposal committee, which shall include senior qualified officers including a representative from the user department, Internal Audit, the Finance Department, and external experts where necessary. Disposals shall only be effected on the recommendations of the disposal committee.
- 10.7 The disposal committee shall submit a report to the Vice Chancellor with recommendations on the best mode of disposal including a reserve price where applicable.

The methods of disposal may include:

- (a) Sale by tender or public auction to the highest bidder subject to a reserve price.
- (b) Transfer to another public entity or a needy department of the University with or without financial adjustment
- (c) Destruction, dumping or burying where stores are harmful to human health such as expired food, chemicals, etc.
- (d) Donation to charitable organizations such as children's homes and orphanages.
- e) Trade- in
- f) Waste Disposal management

- 10.8 For consumables or perishable items, the chairman or head of department in consultation with the Finance and Internal Audit departments shall decide on the most appropriate disposal action. Technical personnel may be invited where necessary.

- 10.9 All other immovable property of the University shall not be sold or otherwise be disposed of without the authority of the University Council.
- 10.10 Disposable items whose estimated salvage value is above Ksh.500,000.00 will only occur after the Vice Chancellor has approved the recommendation of the Disposal evaluation Committee upon professional advice of the Director, Supply Chain Management.
- 10.11 Disposal to University employees will be as guided in the Public Procurement and Disposal Regulations, 2006 and the regulations resulting from the Public Procurement and Asset Disposal Act, 2015

CHAPTER 12

SUPPLIER EVALUATION AND MARKET SURVEY

INTRODUCTION

11.1 In order to achieve competitive advantage and a cost effective procurement function, the University requires a well-developed and effective system of supplier evaluation and market survey.

SUPPLIER EVALUATION AND APPRAISAL

11.2 Supplier evaluation refers to determination of the supplier's capability to meet the institutional demands of quality, quantity and timeliness of orders. The emphasis is on preventing receipt of defective materials rather than detecting defects at a later stage. Supplier evaluation shall therefore assist in prior assessment of supplier capacity and competence. The aim of the University is to obtain goods of the required quality and reliability at the most favorable; price, i.e. the best value for money.

11.3 Supplier evaluation shall be objective, logical, consistent, and fair. The resulting ratings or rankings shall be used to develop and update a supplier database for use in pre-qualifying suppliers and carrying out a market survey.

11.4 The following factors shall be considered during supplier evaluation:

- a) Quality control records;
- b) Timeliness in delivery;
- c) Shortages;
- d) License;
- e) Credit terms;
- f) Reputation;
- g) Management;
- h) Location/proximity;
- i) Early or late consignments
- j) Rejects for quality deficiency;
- k) After-sales service;
- l) Green issues
- m) Corporate Social Responsibility
- n) Customer relationship Management
- o) ICT
- p) Human Resource capabilities
- q) Working conditions/ environmental issues
- 1) Compatibility with existing equipment; m) Ease of communication for everyone; n) Consistency in the quality of items;
- 1) Variations in the prices tendered/outdated within a given period.

11.5 The University shall draw the attention of all suppliers to the fact that their continued business relationship with the institution will depend on past performance and timeliness in fulfilling tender obligations.

MARKET SURVEY

11.6 The Supply Chain Department shall conduct continuous market surveys and develop an internal resource base (data bank). This shall be used by the University for Price Comparisons and establishment of market trends. The data bank shall be used for both technical and financial evaluation of bids as well as procurement planning.

CHAPTER 13

CONTRACT MANAGEMENT AND ADMINISTRATION

- 1) The Vice Chancellor shall be responsible for preparation of contracts in line with the award decision.
 - The existence of a contract shall be confirmed through the signature of contract document incorporating all agreements between the parties and such contract shall be signed by the Vice Chancellor or an officer authorized in writing by the Vice Chancellor and the successful bidder
 - The contract shall be entered into based on the tender documents and any clarifications that emanate from the Procurement proceedings
 - The written contract shall be entered into within the period of notification but not before fourteen days have lapsed after notification, and within the tender validity period.

A contract is not valid

- Until it is signed by both parties.
 - Unless an award has been made
 - If it has been signed without the authority of the Vice Chancellor
- 2) The Tender documents which form the basis of all procurement contracts shall consist at a Minimum
 - Contract agreement form
 - Tender form
 - Price schedule or bills of quantities submitted by the tenderer
 - Schedule of requirements
 - Technical specifications
 - General conditions of contract
 - Special conditions of contract
 - Notification of Award
 - 3) If the person submitting the tender refuses to enter into a written as required, he or she shall forfeit his or her tender security and the procurement process shall proceed to the next lowest Evaluated bidder as long as this is done within the tender validity period.
 - 4) The Vice Chancellor shall cause all contract awards to be published and publicized on the University notice boards at conspicuous places and websites.
 - 5) Amendments or variations to a contract will only be effective if approved by the Vice Chancellor in writing or as prescribed in the Public Procurement and Disposal Act 2015 for goods, works and services, provided the contract is not varied upwards within twelve months from the date of the signing of the contract.
 - 6) Upon the recommendation of an evaluation committee and a written request and a certificate from the tenderer justifying, the Vice Chancellor shall approve the following extension of Contract period, use of prime costs, use of contingencies, reimbursement costs and use of provisional sums.
 - 7) Any variations to a contract will be governed by Clause 139 (4) a-e and (5) of the Public Procurement and Asset Disposal Act 2015

CONTRACT ADMINISTRATION

1. The Vice Chancellor shall appoint a contract administrator for ensuring that the goods, works or services are of the right quality and quantity.
2. The Director, Supply Chain Management shall be responsible for contract management and shall issue a certificate of acceptance to the Vice Chancellor except where the goods are of a technical nature in which case the technical department will issue the certificate. He/ she shall also prepare monthly progress reports of all procurement contracts and submit them to the Vice Chancellor.
3. For every complex and specialized procurement contract, the Vice Chancellor shall appoint a contract implementation team which shall include members of the Supply Chain Department, the user, the technical department and consultant where applicable. The team like the contract administrator appointed above shall:
 - Monitor the performance of the contractor
 - Ensure that the contractor submits all required documentation specified in the tender document, the contract and as required by law.
 - Ensure that the University meets all its payment and the obligations on time and in accordance with the contract.
 - Ensure that there is adequate cost, right quality and within the time frame, where required.
 - Review any contract variations or change orders and obtaining all required approvals before they are issued, make recommendations for considerations for variation approval based on supporting evidence
 - Manage handover or acceptance procedures.
 - Make recommendations for contract termination where appropriate obtaining all required approvals and managing the termination process.
 - Ensure that the contract is complete, prior to closing the file including all handover procedures, transfer of title if need be and that final retention payment has been made.
 - Ensure that all contract administration records are complete, up to date, filed and archived as required
 - Ensure that the contractor and the University act in accordance with the provisions of the contract.
 - Ensure discharge of performance guarantee where required

ADMINISTRATION OF SUB-CONTRACTS

- 8) The prime contractor shall be responsible for administering any sub-contracts and the University shall monitor only the prime contractor's management of its sub-contracts
- 9) The University shall not directly administer any sub-contract except where;
 - There is a risk of the University incurring undue cost or delay
 - Successful completion of the prime contract is threatened
 - Special surveillance of high risk or critical subsystems is required

CHAPTER 14

ETHICS IN PUBLIC PROCUREMENT

12.1 Upholding of ethics is important to the integrity of the entire procurement process. The University shall require all members of staff to maintain the highest level of ethical conduct and honesty when performing procurement duties.

12.2 All staff in the Supply Chain Department shall be expected to observe professional ethics and guidelines as issued by the Chartered Institute of Purchasing & Supply (CIPS) (Appendix 4). Provisions of The Public Officer Ethics Act, 2003, KISM Code of conduct and Ethics, PPOA Code of conduct and ethics, Chapter Six of Constitution of Kenya, 2010 and Mwongozo guidelines shall also apply in regulating ethical conduct of all members of staff involved in the procurement process.

12.3 The guiding ethical principles shall include the following:

- a) Staff involved in the procurement process shall avoid engaging in practices or transactions that create conflict of interest.
- b) All members of staff involved in the procurement process shall ensure that the University obtains the best value for money through the procured materials, services, works, and equipment.
- c) University employees shall be required to avoid arrangements that might in the long term prevent the effective operation of fair competition.
- d) Employees shall not accept or receive gifts from current or potential suppliers unless such gifts are of very small intrinsic value and are of advertisement nature such as calendars, diaries, and pens.
- e) Employees shall refrain from any business hospitality that might be viewed by others as likely to influence procurement decisions by the University.
- f) Care should be taken to avoid splitting of orders for specific works, services or materials by ensuring that the approval is within the prescribed authority ceilings.

APPENDIX 1

DUTIES AND RESPONSIBILITIES OF STAFF IN THE SUPPLY CHAIN DEPARTMENT

Procurement Assistant Grade 5/6

Duties and responsibilities

- i. Processing quotations for submission to the relevant committees
- ii. Drafting quotations and dispatch to the prospective suppliers
- iii. Secretariat services to the tender opening and technical evaluation committees
- iv. Preparation of purchase requisitions
- v. Preparation of periodic procurement reports
- vi. Handling queries from both internal and external customers
- vii. Any other duties as may be assigned

Requirements for appointment

- a) KCSE Grade C (plain) or equivalent
- b) Diploma in Purchasing & supplies or Level 3 CIPS Advanced certificate in purchasing and supplies or equivalent
- c) Must be computer literate

Assistant Procurement Officer Grade 7/8

Duties and responsibilities

- i. Preparation of tender documents
- ii. Secretariat services to the tender opening and technical evaluation committees
- iii. Preparation of periodic procurement reports
- iv. Handling queries from both internal and external customers
- v. Any other duties as may be assigned

Requirements for appointment

- a) Bachelors degree in Commerce, Business Administration, Supplies Management, Economics or equivalent
- b) Three (3) years experience as Procurement Assistant
- c) Computer literate.

Procurement Officer Grade 9/10

Duties and responsibilities

- i. Preparation of tender documents
- ii. Secretariat services to the tender opening and technical evaluation committees
- iii. Preparation of periodic procurement reports
- iv. Participation in technical and financial evaluation of tenders
- v. Secretariat services to procurement committees
- vi. Handling queries from both internal and external customers
- vii. Any other duties as may be assigned

Requirements for appointment

- a) Bachelors degree in Commerce, Business Administration, Supplies Management, Economics or equivalent
- b) CIPS Graduate Diploma or equivalent in purchasing and supplies management from a recognized institution
- c) Must be members of a relevant professional body
- d) Three (3) years experience as Assistant Procurement Officer or equivalent.
- e) Computer literacy

Senior Procurement Officer Grade 11

Duties and responsibilities

- i. Preparation of tender documents
- ii. Secretariat services to the tender opening and technical evaluation committees
- iii. Preparation of periodic procurement reports
- iv. Participation in technical and financial evaluation of tenders
- v. Secretariat services to procurement committees
- vi. Handling queries from both internal and external customers
- vii. Any other duties as may be assigned

Requirements for appointment

- a) Bachelors degree in Commerce, Business Administration, Supplies Management, Economics or equivalent
- b) CIPS Graduate Diploma or equivalent in purchasing and supplies management from a recognized institution
- c) Must be members of a relevant professional body
- d) Three (3) years experience as Procurement Officer or equivalent.
- e) Computer literacy

Principal Procurement Officer Grade 12

Duties and responsibilities

- i. Preparation of tender documents
- ii. Secretariat services to the tender opening and technical evaluation committees
- iii. Preparation of periodic procurement reports
- iv. Participation in technical and financial evaluation of tenders
- v. Training of staff on procurement related issues
- vi. Supervision of procurement personnel and system
- vii. Secretariat services to procurement committees
- viii. Handling queries from both internal and external customers
- ix. Overseeing the circulation, opening and evaluation of quotations
- x. Any other duties as may be assigned

Requirements for appointment

- a) Masters degree in Commerce, Business Administration, Supplies Management, Economics or equivalent

- b) Final Diploma in Purchasing and Supplies Management from the Chartered Institute of Purchasing & Supply.
- c) Member of a relevant professional body.
- d) Three (3) years experience as Senior Procurement Officer or equivalent
- e) Any other duties as may be assigned

Chief Procurement Officer Grade 13

Duties and responsibilities

- i. Preparation of tender documents
- ii. Secretariat services to the tender opening and technical evaluation committees
- iii. Preparation of periodic procurement reports
- iv. Participation in technical and financial evaluation of tenders
- v. Training of staff on procurement related issues
- vi. Supervision of procurement personnel and system
- vii. Secretariat services to procurement committees
- viii. Handling queries from both internal and external customers
- ix. Overseeing the circulation, opening and evaluation of quotations
- x. Any other duties as may be assigned

Requirements for appointment

- a) Masters degree in Commerce, Business Administration, Supplies Management, Economics or equivalent
- b) Final Diploma in Purchasing and Supplies Management from the Chartered Institute of Purchasing & Supply.
- c) Member of a relevant professional body.
- d) Three (3) years experience as Principal Procurement Officer or equivalent
- e) Any other duties as may be assigned

Deputy Director, Supply Chain Management Grade 14

Duties and responsibilities

- i. Overseeing Tender activities
- ii. Ensuring compliance with Public Procurement Law
- iii. Drawing, administration and compliance of service and works contracts
- iv. Coordinating Procurement & Disposal activities
- v. Custodian of Procurement documents
- vi. Liaison and administrative functions
- vii. Preparation of Performance Contract reports
- viii. Preparing management reports
- ix. Coordinating Secretariat services for Procurement Committees
- x. Enforcing procurement and disposal systems and procedures
- xi. Overseeing administration and implementation of e-Procurement
- xii. Coordinating tender processing and evaluation
- xiii. Any other duties that may be assigned

Requirements for appointment

- a) Masters degree in Supplies Chain Management, Commerce, Business Administration, Economics or equivalent
- b) Final Diploma in Purchasing and Supplies Management from the Chartered Institute of Purchasing & Supply or equivalent.
- c) Member of a relevant professional body.
- d) Three (3) years experience as Chief Procurement Officer or equivalent

Director, Supplies Chain Management Grade 15

Duties and responsibilities

- i. Gives recommendation and professional opinion to the Vice Chancellor on award of tenders and disposal
- ii. Overall in charge of the supply chain management function
- iii. Ensure compliance with the Public Procurement Law
- iv. Liaise and communicate with supplier and stakeholders
- v. Coordinate preparation and implementation of Procurement and Disposal Plans
- vi. Overseeing preparation of statutory reports
- vii. Conducting training needs assessment
- viii. Giving guidance on Procurement & Disposal matters
- ix. Oversee performance contract reporting
- x. Deployment of staff in liaison with the Vice Chancellor
- xi. Any other duty as may be assigned by the Vice Chancellor

Requirements for appointment

- a) PhD in the relevant field
- b) Final Diploma in Purchasing and Supplies Management from the Chartered Institute of Purchasing & Supply.
- c) Member of a relevant professional body.
- d) Three (3) years experience as Deputy Director, Supply Chain Management

APPENDIX 2

KENYA INSTITUTE OF SUPPLIES MANAGEMENT CODE OF ETHICS AND PROFESSIONAL CONDUCT FOR SUPPLIES PRACTITIONERS

Introduction

1. Members of the Institute undertake to work to exceed the expectations of the following Code and will regard the Code as the basis of best conduct in the Supply chain management profession.
2. Members will seek the commitment of their employer to the Code and work to achieve widespread acceptance of it amongst peers and colleagues.
3. Members will seek to bring matters of concern of unethical nature to the attention of their immediate supervisor or another senior colleague as appropriate, even where such a matter has not been explicitly addressed in the Code.

PROVISIONS

4. A member of KISM shall comply with all the requirements set out in this code. Members will remain in good standing by maintaining high personal integrity, moral standards and sound reputation by subscribing to, and observing this code:
 - a) Ensure that suppliers fully understand the procurement process, including procedures, requirements and selection and evaluation criteria.
 - b) Misleading information should not be given to suppliers
 - c) Clarification should be circulated to all suppliers
 - d) Unsuccessful suppliers should be debriefed on their weaknesses
 - e) Proprietary supplier information should not be disclosed to third parties
 - f) Unless suppliers are aware of all the circumstances, they should not be required to incur costs when there is little chance of them obtaining business within a reasonable period.
 - g) Members shall uphold fiduciary and other responsibilities using reasonable care and granted authority to deliver value for money to their employers. Avoid arbitrary or unfair use of their organization purchasing power or undue influence
 - h) Members shall not accept gifts, benefits or favors from clients where this may influence supply decisions
 - i) Members shall not accept hospitality that may be seen to influence their judgment or impartiality
 - j) Members shall not accept subsistence payments from a supplier during product familiarization tours where such payments are not established in a contractual arrangement
 - k) Members shall not accept equipment, samples and demonstration models outside of a contractual framework
 - l) Members shall not accept from suppliers anything their employers would consider to be a taxable benefit
 - m) Declaration of interest - Any personal interest which may affect or be seen by others to affect a member's Impartiality in any matter relevant to his or her duties should be declared.
 - n) Members shall not use their position to attempt to gain or confer benefit upon themselves

- o) Members shall avoid reciprocal arrangements
- p) Members shall periodically submit framework contracts with suppliers to open and transparent competition
- q) Members shall challenge situations in which end users stipulate that particular suppliers must be used.
- r) Thoroughly check suppliers offers for any unusual inclusion or exclusion and clarification sought prior to award
- s) Ethically and impartially investigate mistakes in contracts when identified
- t) Members shall avoid discriminating suppliers on the basis of size or newness in the market
- u) Members shall consider the magnitude of business being awarded to a supplier, the impact on that supplier, and the level of dependence being created
- v) Promote local suppliers and SMEs while maximizing on global sourcing opportunities.
- w) Members shall be careful not to contravene local and ratified international laws or human decrees

PENALTY FOR BREACH

Penalties for breach of the code shall include suspension or revocation of a members registration, or imposition of a fine, as provided for under paragraph 23 of the Supplies practitioners management Act, and prescribed regulations as prescribed from time to time

ENFORCEMENT

The disciplinary committee will enforce this code in line with Paragraph 22 of Supplies practitioners management Act.

APPENDIX 3

GLOSSARY

Authority to Incur Expenditure (A.I.E). A prescribed instrument for ensuring compliance with budgetary controls.

Bid bond A deposit, as prescribed in the tender documents, submitted by an interested tenderer to enable participation in the tender process.

Bill of Quantities An analysis and specification of materials and works to be carried out, which is prepared by the technical department.

Capital expenditure Non operational expenditure relating to acquisition or construction of fixed assets.

Corporate Plan The University of Nairobi Strategic Plan 2005-2010 and subsequent plans and reviews thereon.

Going concern The potential tenderers' projected financial viability and continuity in business operations in the subsequent financial years.

Head of Department (H.O.D). Includes all heads of academic and administrative departments in the University.

Local Purchase Order (L.P.O). Refers to the official local purchasing orders issued by the University.

Local tender Means national tender.

Procurement plan This is defined by the Public Procurement and Disposal Regulations, 2006 as "the document prepared annually by each procuring entity to plan all procurement requirements necessary to perform the activity plan of the procuring entity".

Public Procurement Review Authority A body corporate established in accordance with section 8 of the Public Procurement and Disposal Act, 2005.

Responsive bids Bids that meet the technical specifications as prescribed in the tender documents.

Sample An approved item used as a standard for the determination of the award of contract and acceptance of subsequent deliveries.

Single sourcing Also referred to as direct procurement in the regulations whereby a particular supplier is selected to supply goods, works or services to the exclusion of others.

Strategic Management Unit (S.M.U). Strategic management units operating within SW A.

Suppliers database A structured resource facility compiled by the Supply Chain Department and which contains information on all current and potential suppliers including supplier profiles, their performance levels, price catalogues, and other supplier attributes.
SWA. Student Welfare Authority as established by the University statutes.

Tender documents Official documents used in the tendering process as laid down in The Public Procurement and Disposal Regulations, 2006.

Performance security A guarantee of performance provided by a successful tenderer and which may be evidenced by deposit of funds or a letter from a bank or other reputable financial institution.

The Act The Public Procurement and Disposal Act, 2005.

The Regulations The Public Procurement and Disposal Regulations, 2006.

User The department or officer initiating the procurement process.