



EGERTON UNIVERSITY

Procurement Manual &
Procedures

Version 1

2023

EGERTON UNIVERSITY (EU)

PROCUREMENT MANUAL & PROCEDURES

VERSION 1

2022

OUR VISION, MISSION & CORE VALUES

Egerton University is the oldest institution of higher learning in Kenya. It was founded as a Farm School in 1939 by Lord Maurice Egerton of Tatton, a British national who settled in Kenya in the 1920s.

VISION

A world-class university for the advancement of humanity

MISSION

To generate knowledge and offer exemplary education and training to society for national and global development.

CORE VALUES

The University's activities and decisions are guided by the following core values:

- i. National unity and social fairness
- ii. Integrity, Transparency, and Accountability
- iii. Professionalism
- iv. Internationalism
- v. Passion for excellence and devotion to duty
- vi. Team work
- vii. Passion for environmental conservation
- viii. Innovativeness and creativity

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ABBREVIATIONS AND ACRONYMS

AO	Accounting Officer
APO	Assistant Procurement Officer
CIA	Chief Internal Auditor
CPO	Chief Procurement Officer
DC	Disposal Committee
EU	Egerton University
FO	Finance Officer
GRN	Goods Received Notes
KISM	Kenya Institute of Supplies Management
LO	Legal Officer
NEMA	National Environment Management Authority
PF	Procurement Function
PO	Procurement Officer
PPAD	The Public Procurement and Asset Disposal Act, 2015
PIIP	Public Procurement Information Portal
PPRA	Public Procurement Regulatory Authority
RFQ	Request for Quotation
SPO	Senior Procurement Officer
TEC	Tender Evaluation Committee
TOC	Tender Opening Committee
VC	Vice Chancellor
PIIP	Public Procurement Information Portal

SECTION 1

1.0 INTRODUCTION

1.1 Preamble

Egerton University (EU) was established through an Act of Parliament Chapter 214 on 1st October 1987 now repealed and succeeded by The Universities Act No 42 of 2012. As an Institution of Higher Learning, Egerton envisions being a world-class University for the advancement of humanity. For this to be achieved, the University has to utilize its resources in a transparent, efficient, effective, and accountable manner and according to relevant existing Laws.

This Procurement Manual and Procedures will guide the Procurement operations of the whole University and therefore all staff in all departments who are expected to comply with them. The Procurement Department is responsible for enforcing and complying with this procedure manual continuously.

In addition to the University Act of 2012, EU being a state corporation is governed by the following legislative provisions and guidelines, which are applicable in all public organizations, as well as internally developed policies.

These are:

- i. Constitution of Kenya, 2010.
- ii. The State Corporations Act, Cap 446, 2015.
- iii. The Public Audit Act, 2015.
- iv. The Public Officer Ethics Act, 2003.
- v. The Leadership and Integrity Act, 2012.
- vi. The Public Procurement and Asset Disposal (PPAD) Act, 2015.
- vii. The Public Procurement and Asset Disposal Regulations, 2020.
- viii. Supplies Practitioners Management Act, 2007.
- ix. The national values and principles are provided for under Article 10 of the constitution.
- x. Equality and freedom from discrimination as provided for under Article 27 of the constitution.
- xi. Affirmative action as provided for under Articles 55 and 56 of the constitution.
- xii. The principles governing the procurement profession, international norms.
- xiii. The Public Finance Management Act 2012 and the Regulations of 2015.
- xiv. Public Procurement Circulars and Guidelines issued from time to time.
- xv. Supplies Practitioners Code of Ethics.

- xvi. The Public Private Partnership Act, 2021.
- xvii. Egerton University Financial Rules and Regulations Manual 2021.
- xviii. Egerton University Statutes.
- xix. Egerton University Risk Management Policy.
- xx. Egerton University Outsourcing Policy.
- xxi. Egerton University Records Management Policy

The laws and policies provide the necessary Regulations in the Procurement Management and operations of the University.

1.2 Purpose Objectives and aim of the Manual

The purpose of this manual is to provide the University with guidelines on the standards for procurement management, to ensure the effective and efficient use of resources.

The basic objectives are to establish *a modus operandi* for procurement, storage, and distribution of goods/services and disposal of goods, unserviceable, obsolete, or surplus stores, and equipment by Egerton University (EU).

The Procedure Manual aims to enable Egerton University to:

- i. Maximize economy and efficiency.
- ii. Promote competition and ensure that competitors are treated fairly.
- iii. Promote integrity and fairness.
- iv. Increase transparency, accountability, and cost-effective procurement process.
- v. Increase public confidence in the procurement process at Egerton University.
- vi. To assist and guide the University Users to operate procedurally, and ensure uniformity of procurement procedures and practices across departments.

1.3 Scope of the Manual

This manual outlines the procurement policies, procedures, and guidelines for use by the University and other stakeholders who may have an interest or input into the University Procurement Processes.

1.4 Arrangement of the Manual

This manual is divided into sections. Relevant annexes are provided at the end of this manual.

1.5 Authority

- a) This Procurement Manual and Procedures are made following the PPAD Act 2015 and its attendant Regulations, Supplies Practitioners Management Act 2007, the Universities Act

No 42 of 2012, and the Egerton University statutes. Where any clause in this Procedure Manual contravenes the provisions of these Acts, the Acts shall prevail.

b) The Council shall be the governing body of the University through which the University shall act and:

- i. Approve the Annual consolidated procurement plan.
- ii. Approve the Annual Asset Disposal Plan with consideration of the applicable laws and regulations.
- iii. Enter consortium buying with other Universities or other institutions, Public Entities with a common interest to procure jointly to benefit from economies of scale, subject to applicable laws and regulations.

c) The Vice-Chancellor (VC) shall be the Accounting Officer (AO) of the University. The Chief Procurement Officer (CPO) under the direction of the VC shall be responsible for the administration of the Procurement Function (PF) of the University.

d) The VC shall authorize all procurement and asset disposal of the University subject to the approved budget.

e) The VC shall ensure that procurement and asset disposal contracts are entered into lawfully and implemented accordingly.

f) The VC shall bring any matter to the attention of the University Council if, in the accounting officers' opinion, a decision or policy or proposed decision or policy of the entity may result in resources being used for the implementation of procurement plans in a way that is unlawful, unauthorized, inefficient, ineffective, or uneconomical.

g) The VC shall take appropriate measures to resolve any issues arising from investigations, inspections, assessments, and reviews under applicable provisions of the PPAD Act 2015 and its attendant regulations,

h) The VC shall ensure the implementation of directions as issued by the National Treasury, the Procurement Authority, or the Review Board from time to time.

i) The VC shall provide information to the National Treasury or the Public Procurement Regulatory Authority (PPRA) according to applicable provisions of the PPAD Act 2015 and its attendant regulations.

j) The VC shall ensure that reports are prepared and submitted on time to the National Treasury and the PPRA as required by the PPAD Act 2015, and the attendant regulations, and guidelines of the PPRA.

1.6 Responsibilities of the Procurement Function (PF)

PF under Section 2 of the PPAD Act, 2015 shall report functionally and administratively to the Vice Chancellor. The PF is responsible for all aspects of procurement management, integrity, control, and procurement compliance for all aspects of procurement management of the University.

All officers in procurement shall be Current members of KISM, possess practicing licenses under Section 20 (1) & (6) of the Supplies Practitioners Management Act, 2007, and must undertake continuous professional training with the relevant professional body. Employees who are members of professional organizations and institutes are required to uphold the code of ethics of their respective professions, provided these do not conflict with the public procurement law. Procurement officers shall uphold the values and principles of public service under Article 232 of the Constitution of Kenya, Section 2 of the Supplies Practitioners Management Act 2007, and Section 3 of the PPAD Act, 2015.

To accomplish the procurement mandate following all relevant statutory provisions and professional guidelines, the University has established a professional PF, headed by the CPO or any other designation that the Council may decide from time to time.

The PF is expected to execute its procurement mandate by providing advisory services on procurement to the University Senate, University Management Board, and the University Council to ensure total compliance with the applicable procurement laws and regulations and other statutory requirements.

The PF shall:

- i. Ensure the integrity of information, for both internal and external purposes.
- ii. Ensure that the internal control structures are operating effectively and are constantly monitored.
- iii. Ensure that procurement requests for presentation to the VC shall have the input of the CPO, giving guidance on the right procurement method while the Financial Officer (FO) shall guide on the state of financing.

The PF of the University is premised on sound professional principles, practices, and ethics that apply in the area of purchasing and supplies. Therefore:

- i. All employees shall observe the procurement manual with commitment and shall appreciate its importance, value, and the necessity of integrity.
- ii. Employees of procuring entities shall maintain the highest standards of integrity and professionalism in their operations.
- iii. All employees shall comply both with the letter and spirit of the law applicable to the public procurement system.
- iv. All employees shall reject any procurement practice which might be deemed improper.
- v. Employees shall not solicit or accept bribes or be involved in corrupt or fraudulent practices.
- vi. No employee shall knowingly lie or mislead or obstruct or hinder another person from carrying out a duty or function or exercising a power relating to procurement under the PPAD Act.
- vii. Employees shall not solicit or accept bribes or be involved in corrupt or fraudulent practices.
- viii. All employees shall be accountable for their actions in the procurement process.
- ix. No employees shall allow patronage or nepotism.
- x. All employees shall prevent theft of state revenues and assets or diversions of the same.
- xi. Stores, equipment, and assets bought or acquired by a procuring entity shall not be used for personal benefit.
- xii. All types of conflict of interest as described in Section 66 of the Act shall be avoided.
- xiii. All employees in public procurement shall serve, support, and cooperate and also accord mutual respect and courtesy without compromising their independent and mutually distinct roles.
- xiv. Information received from participants in public procurement shall not be disclosed to unauthorized persons and shall not be used for personal gain.
- xv. Business gifts except for items of very small value such as business diaries and calendars shall not be accepted.
- xvi. Only modest hospitality within the policy of the procuring entity may be accepted. However, care must be taken that such hospitality is not deemed to influence the making of any business decisions.

- xvii. No employee shall unduly influence or exert pressure on any member of a Committee or any other employee of a procuring entity to take a particular action that favors or tends to favor a particular bidder.
- xviii. No employee shall open any sealed bid, including such bids as may be submitted through an electronic system and any document required to be sealed or divulge their contents before the appointed time for the public opening of the bid or documents.
- xix. Employees undertaking evaluation shall perform their work diligently and expeditiously, strictly applying the stated evaluation criteria, without discrimination.
- xx. All employees shall maintain confidentiality in the evaluation of tenders as described in Section 67 of the PPAD Act.
- xxi. All employees shall respond promptly and courteously to all proper requests for information, complaints, or inquiries.
- xxii. Employees shall observe other laws, regulations, rules, and practices relating to health and safety standards as well as environmental protection. This will particularly apply in the preparation of procurement specifications and the inspection and acceptance of the procurement items

1.7 Role of Procurement Function

The PF shall undertake the following functions:

- i. Interpretation, implementation, and enforcement of the PPAD Act and regulations and procedures and any other procurement laws legislated from time to time.
- ii. Providing advice to the University on all matters relating to procurement.
- iii. Coordinating the preparation of annual procurement plans by all units of the University.
- iv. Processing procurement requirements from user departments.
- v. Preparing in conjunction with users, proper standard quality specifications to guide purchasing officers so that they can purchase only those products that meet recommended quality standards.
- vi. Preparing and processing tender documents and quotations in consultation with user and technical departments in compliance with procurement procedures.
- vii. Issuing invitations for bids through all the prescribed procurement methods in PPADA 2015.
- viii. Facilitating the process of opening of tender/quotation bids in liaison with tenderers

- and user departments.
- ix. Safe custody of suppliers' samples during bidding or pre-delivery samples.
 - x. Ensure suppliers collect samples or pre-delivery samples upon award or completion of necessary testing and examination by the Inspection and Acceptance Committee.
 - xi. Recommend to the Vice Chancellor appropriate action on uncollected suppliers' samples upon the lapse of **30 days** from the Notification date to a supplier to collect the samples.
 - xii. Communicating decisions of the University Management on procurement matters to tenderers, users, and other relevant departments.
 - xiii. Facilitating the implementation of contracts.
 - xiv. Ordering, follow-up, or processing of goods delivery schedules to user departments and stores.
 - xv. Performing market research and price survey on items and services required by the University.
 - xvi. Maintaining an up-to-date suppliers' database.
 - xvii. Preparing annual tender returns for use by Management in overall planning.
 - xviii. Preparing and submitting statutory reports to the Public Procurement Regulatory Authority and other government agencies as may be prescribed.
 - xix. Procurement Staff in the University shall endeavor to source goods, works, and services competitively:
 - a. At the right place.
 - b. From the right source.
 - c. At the right specification that meets user needs.
 - d. In the right quantity.
 - e. Delivered at the right time.
 - f. To the right internal customer.
 - xx. To support the development of marginalized industries, SMEs, groups, and regions.
 - xxi. The University shall always 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.

1.8 Head of Procurement Function

As Head of the PF, the CPO will be responsible to the VC for:

- i. Interpretation, implementation, and enforcement of public procurement regulations and procedures.
- ii. Providing professional advice to the VC before awarding contracts/ advising the entire University on all matters relating to procurement.
- iii. Coordinating the preparation of the Annual Procurement Plan.
- iv. Receipt and custody of samples submitted by tenderers.
- v. Coordinating procurement of goods and services.
- vi. Coordinating inventory and stock control.
- vii. Liaison on contract management for goods services and works.
- viii. Supplies inspection.
- ix. Coordinating the Disposal Committee for the disposal of surplus and unserviceable items.
- x. Managing the PF, including staff development.
- xi. Promoting and enhancing good relations with key suppliers of the University.
- xii. Quality control in liaison with users and technical departments and custody of approved samples
- xiii. The CPO shall maintain and keep all procurement records and documents as specified in the applicable laws and regulations.

1.9 Responsibility for the Procurement Manual

The PF is responsible for maintaining the accuracy of the information in the procurement manual and for ensuring that it is updated as and when necessary.

1.10 Revisions to the Manual

Revisions will be made to the procurement manual to take account of:

- i. Changes in legislation.
- ii. Under the direction of the University Council.

When revisions to the manual are made, the replaced sections of the manual should be removed and destroyed. To ensure the completeness of revisions an index of changes since the beginning of the year will be issued with each set of revisions.

1.11 The Procurement Function Structure

The PF structure presented in figure 1 should always be considered when the procurement management arrangements are being put in place, particularly when any amendment is to be made to the policies and procedures.

PLACEMENT OF PROCUREMENT IN THE UNIVERSITY STRUCTURE

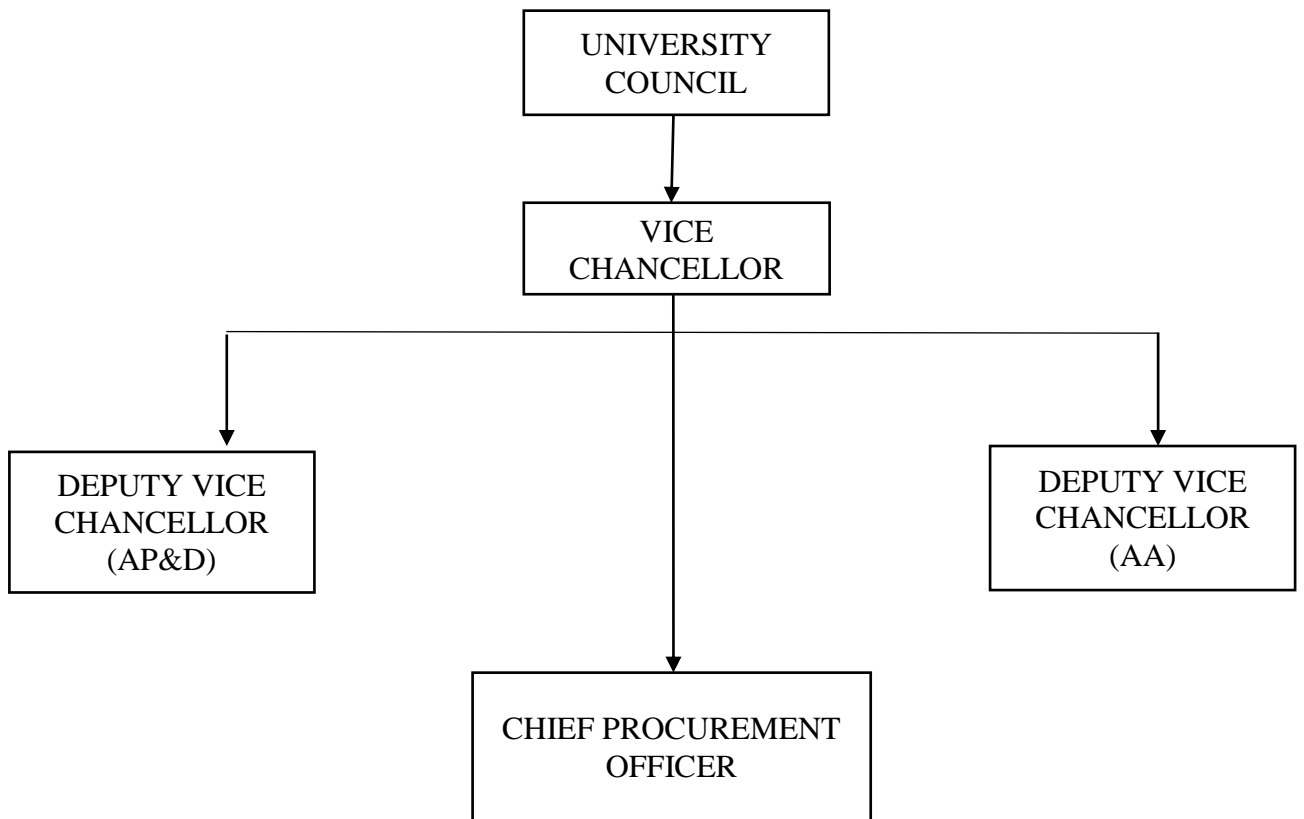


Figure 1: Placement of Procurement Function in the University

STRUCTURE OF THE PROCUREMENT FUNCTION IN THE UNIVERSITY

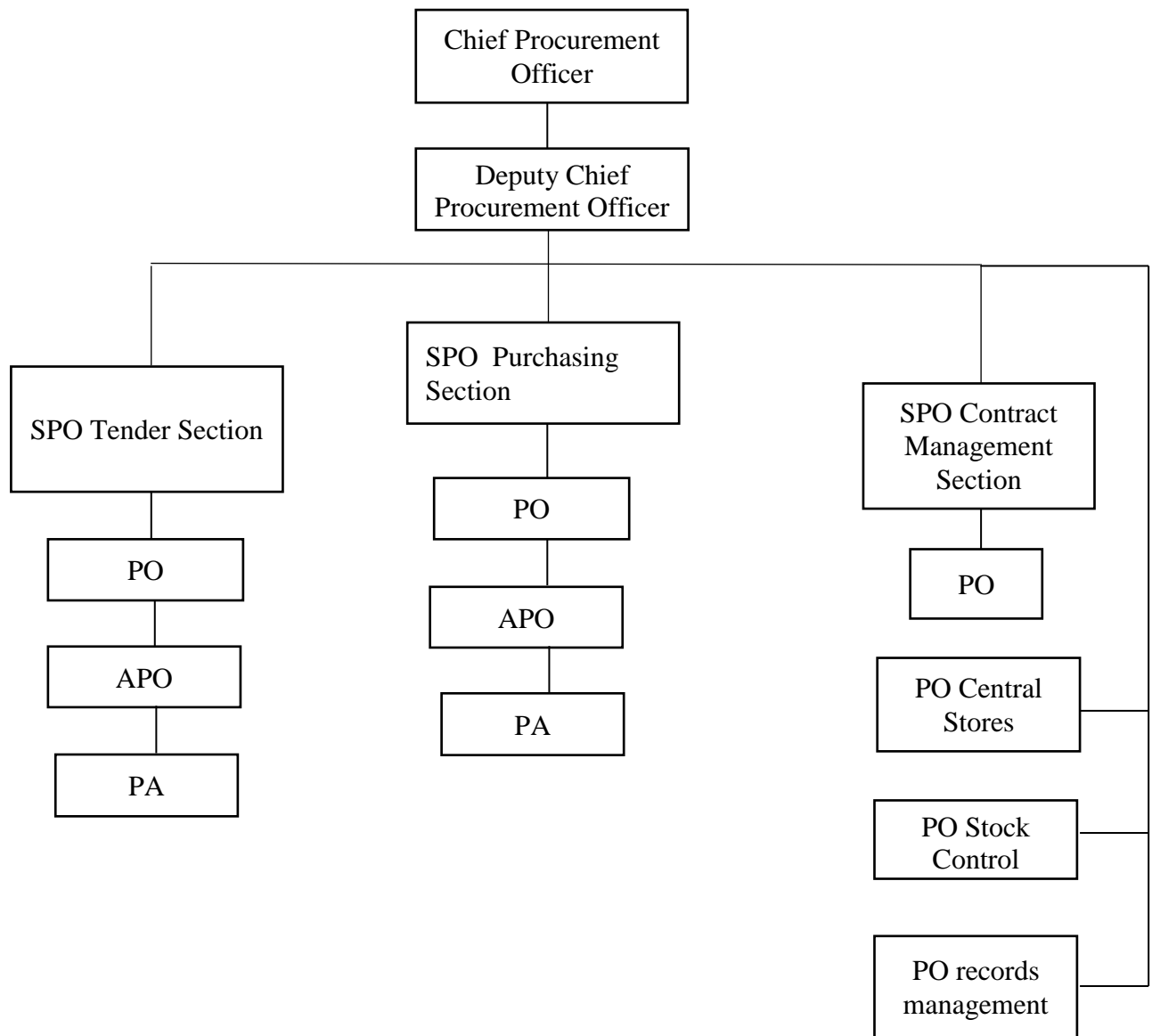


Figure 2: Structure of Procurement Function in the University.

SECTION 2

2.0 PROCUREMENT POLICY

The policy ensures that Public Funds are used only for specified purposes, with due attention to economy and efficiency and without regard to political and other non-economic influences and considerations, it is the responsibility of the CPO to ensure proper administration of the procurement process.

2.1 Eligibility and Qualification

Evaluating the eligibility and qualification of goods, suppliers, contractors, and consultants is an important function in the procurement process to ensure that the contract is implemented without risks or hitches.

2.2 Eligibility of goods

Goods that are blacklisted by the NEMA or any other government department/body are not eligible.

2.3 Eligibility of Suppliers, Contractors, and Consultants.

The PF will ensure that procurement contracts are not awarded to suppliers, contractors, and consultants who are not eligible for the award of contracts, that is, firms and individuals who are debarred from participating and award of public contracts. PPRA has a list of debarred firms and individuals that are posted on the PPRA website. Firms and individuals who have no legal capacity to enter a contract for the procurement, those who are bankrupt, insolvent, or are under receivership, or in the process of being wound up, are ineligible for the award of contracts. The other issue of ineligibility is the conflict of interest. The University in its Procurement shall apply preference and reservations in national public procurement procedures.

2.4 Qualification of Suppliers, Contractors, and Consultants

To participate in the award of a procurement contract, a person should be able to perform the contract by having the necessary knowledge/ skill experience, and resources that are needed to perform. The PF needs to ensure that contracts are awarded to suppliers, contractors, and consultants who have the necessary qualifications, capability, experience, resources, equipment, and facilities to perform the contract successfully. The short-listing process ensures that only qualified consultants are invited to submit proposals. The qualification criteria must be provided in the bidding documents for goods and works, so that only a qualified supplier or contractor is awarded the contract. Registration is used to ensure only qualified bidders are invited to bid for goods and works contracts.

2.5. Ineligibility of firms Blacklisted due to Fraudulent and Corrupt Practices

The University will not tolerate any fraud and corruption in the procurement of contracts. It is therefore required that the suppliers, Contractors, and Consultants uphold high standards of ethical behavior from time to time and not engage in fraudulent or corrupt practices such as payment or receipt of bribes, gratuities, kickbacks, etc. Accordingly, if any supplier, contractor, or consultant firm, contracted to supply and deliver goods, or provide services is found to have engaged in a corrupt or fraudulent practice they will be declared ineligible and blacklisted to bid for any other procurement contracts.

2.6 Procurement Statutory Reporting

The University shall comply with all reporting requirements as may be prescribed in PPAD Regulations 2020.

2.7 Handling Procurement Complaints

2.7.1 Inquiries and Complaints from Bidders

It is the Primary Function of the CPO to deal with all Procurement related inquiries and complaints from suppliers, contractors, or consultants which may occur from time to time. This will be dealt with following the laid down Procurement Policy legal framework.

2.7.2 Responding to Allegations of Fraud or Corruption

University Staff shall not—

- (a) obstruct or hinder a person carrying out a duty or function or exercising a power under this Act;
- (b) knowingly lie to or mislead a person carrying out a duty or function or exercising power under the PPAD Act 2015.
- (c) delay without justifiable cause the opening or evaluation of tenders, the awarding of a contract beyond the prescribed period or payment of contractors beyond the contractual period and contractual performance obligations;
- (d) unduly influence or exert pressure on any member of an opening committee evaluation committee and disposal committee or on any employee or agent of a procuring entity or the accounting officer to take a particular action that favours or tends to favour a particular tenderer;
- (e) Open any sealed tender, including such tenders electronically submitted and any document

required to be sealed, or divulge their contents before the appointed time for the public opening

of the tender or documents except for tenders inadvertently opened under section 76 (6) of the PPAD Act 2015;

(f) divulge confidential information under section 66 of the PPAD Act 2015;

(g) inappropriately influence tender evaluations;

(h) split procurements contrary to section 60 of the PPAD Act 2015;

(i) commit a fraudulent act;

(j) knowingly withholds the notification of award to a successful tenderer;

(k) knowingly withholds notification to unsuccessful tenderer;

(l) sign a contract contrary to the requirements of this Act or Regulations made thereunder.

Any University Staff who contravenes any of the above commits an offence and shall be liable upon conviction—

(a) if the person is a natural person, to a fine not exceeding four million shillings or to imprisonment for a term not exceeding ten years, or both;

(b) if the person is a body corporate, to a fine not exceeding ten million shillings.

(3) In addition to the penalty above, the University staff involved shall be subject to internal disciplinary action while any other person who is not a state or public officer shall be debarred.

(4) If a person or an employee or agent of a person contravenes the provisions of the PPAD Act 2015, the following shall apply —

(a) the person shall be disqualified from entering into a contract for the procurement; or

(b) if a contract has already been entered into with the person, the contract shall be voidable at the option of the procuring entity.

(5) The Vice-Chancellor may complain to the relevant professional body for the institution of disciplinary proceedings against a contractor who is a member of a professional body and who contravenes the provisions of the PPAD Act 2015.

(6) The penalties imposed by a professional body according to a complaint lodged in 5 above shall apply in addition to any penalties that may be imposed under this Act.

SECTION 3

3.0 PROCUREMENT PLANNING

3.1 Preparation of Procurement Plan

The Financial Year of the University shall be twelve months, commencing 1st July, to 30th June, of the following year as prescribed in the Public Finance Management Act, 2012, and Egerton University Financial Rules and Regulations Manual.

(a) Annual Procurement and Asset Deposal Plan

- i. Procurement plans cover a financial year and should follow the approved budget estimates. Hence, the plans should be prepared and submitted to the VC before the commencement of the financial year. All chairpersons/heads of department will be required to prepare procurement plans for their respective departments covering all their Procurement needs and shall be implemented under the timelines set out therein.
- ii. The University shall plan its procurement and cash, or fund flows to ensure that contractors are paid promptly as per the terms of the contract.
- iii. Before proposing a procurement plan for the University to spend funds, the user department shall constitute a committee having the relevant expertise and experience.

This committee will consider:

- (a) The University strategic plan.
 - (b) Overall institutional priorities in the light of resource constraints.
 - (c) Estimated expenditure.
 - (d) Available options and alternatives.
 - (e) Opportunity.
 - (f) Value adding for other activities.
 - (g) Developments in the industry.
 - (h) Market trends.
 - (i) Applicable/relevant legislation.
 - (j) On-going research and development.
- iv. Where this committee recommends that procurement is necessary, then the item can be incorporated into the plan.
 - v. The annual procurement plan estimates shall be within the approved budget before the commencement of each financial year as part of the annual budget preparation process.

- vi. As a state corporation, the University shall prepare and submit to PPRA the part in its procurement plan demonstrating the application of preference and reservation schemes to the procurement budget within sixty days after the commencement of the financial year 30th August of each year).
- vii. The format, content, and timelines for the preparation of the annual Procurement plan and asset disposals plan shall be in a format set out in the PPAD Regulations 2020 or as may be directed by the relevant government directives.
- viii. The Procurement Plan should have realistic dates for completing procurement processes (e.g., completion dates for completing bidding documents, bid evaluation, etc.). Contracts procured following the Request for Quotation (RFQ) take a much shorter time as indicated below in Table 2 - Procurement processing times based on Request for Quotation for Goods and works contracts.
- ix. The Lead times depend on the diligence of the PF and the content/complexity of the contract. To ensure realistic estimation, start, and completion dates for procurement processes, the PF will utilize the lead times Tables 2 -4 on Procurement processing.
- x. A procurement and asset disposal plan shall be based on indicative or approved budgets which shall be integrated with applicable budget processes and shall be approved by the Council.
- xi. The Council shall approve the consolidated annual procurement plan prepared by The CPO under the guidance of the VC before the commencement of a financial year.
- xii. The Council may approve a supplementary Procurement plan prepared and submitted by the VC upon confirmation of sufficient funds to meet the obligations of the resulting contracts which are reflected in the approved budget estimates.
- xiii. The Chairman of the Council, the VC, and the CPO shall sign the consolidated annual procurement plan/asset disposal plan on behalf of the University.
- xiv. The CPO shall not commence any procurement proceeding until satisfied that sufficient funds to meet the obligations of the resulting contract are reflected in its approved budget estimates.

3.2 Implementing Procurement Plans and monitoring

The CPO shall have the dual responsibility of:

- a. Coordinating preparation of procurement plans for all departments.
- b. Coordinating the preparation of the overall annual procurement plan for the University.

Chairpersons/Heads of departments shall provide feedback through quarterly and annual reports showing the reconciliation between planned and actual procurement acquisitions and must provide reasons for any variance.

The CPO under the guidance of the VC shall prepare a quarterly report on the implementation of the annual procurement plan and submit it to the Council for deliberations and direction.

To ensure that the VC's decisions on procurement are made in a systematic and structured way, The VC shall establish systems and procedures from time to time to facilitate decision-making for procurement and asset disposal.

The CPO shall advise the VC on the applicable good practices to be incorporated into the University procurement process from time to time.

It is the responsibility of Egerton University to comply with the agreed procurement procedures. The CPO shall arrange for procurement compliance monitoring reviews (often referred to as procurement audits) to check on the extent to which the PF complies with the agreed procurement procedures and performance standards.

Ensuring compliance with the overall framework for procurement (the laws, regulations, performance standards, prescribed procedures, accountability frameworks, etc.) is a fundamental function of CPO. Compliance monitoring is therefore a system of checking the extent to which The PF responsible for the PF and other stakeholders comply with the procurement procedures and achieve acceptable levels of performance and risk in the PF.

The strategic outcome of compliance monitoring is to promote transparency in the University procurement process and trigger improvements in the PF. The review will be undertaken/carried out on not less than 30% of all contracts signed and/or completed within a given period by the PF.

3.3 Compliance Reviews

The review can follow the procedures established in a “Compliance Monitoring Manual” prepared and issued by PPRA.

The Procurement Review is carried out by reviewing procurement documents and records, making physical checks, and interviews. It is involving sampling Procurement contracts by the University.

For purposes of this manual, the areas/department to be reviewed are the PF and other donor-funded projects.

The review will include procurement performance and adherence to other requirements such as procurement filing, procurement planning, and the use of e-procurement.

The CPO shall be responsible for managing procurement operations, shall make available the procurement documents, records for review by PPRA or CIA, and give them full cooperation in the review process.

The PPRA or the CIA to ensure the independence of the task shall carry out the review. Individual consultants (Procurement Specialists) can carry out procurement Review or Consulting Firms may direct as by the University Council. The outcome or output of the compliance monitoring review is a “Compliance Monitoring Report “which should contain shortcomings and irregularities identified in the PF and an action plan for improvements. The reviews should be carried out once on contracts signed and/or completed in a previous year.

The Compliance Monitoring Report is an internal procurement compliance report that should be presented to the Council by the VC for consideration and further guidance.

3.4 Post Reviews

PF shall retain all procurement documents and records concerning each contract for Audit by the CIA.

***Table 2: Procurement Processing Lead Times Based On RFQ - Goods Contracts
For common user items.***

	Procurement activity	Responsible Office	Estimated lead time in Days
1.	Purchase Requisition/Prepare specification	User Department/CPO	2
2.	The commitment of funds before the commencement of procurement	FO	1
3.	Approval of purchase requisition by the VC	VC	2
4.	Prepare Bidding Documents	CPO	1
5.	Advertise and receive bids and open	CPO	7
6.	Evaluate bids	Bid/Proposal Evaluation Committee/ CPO	2
7.	Preparation of the Professional	CPO	1
8.	Approval of the Professional Opinion	VC	1
9.	Notification of proposed contract award and prepare contract	CPO	5
10	Sign contract	VC/ CPO/LO	3
11	Mobilize supplier	CPO	14
12	Contract implementation to completion	User Department/ CPO /I&A Committee	1-10
13	Inspection and acceptance	User Department/ CPO /I&A Committee	1-2
	Total period		41-51

Note: The Procurement Plan is already finalized

**Table 3: Procurement Processing Times Based On Quality Cost-Based Selection -
Consultant Contracts**

	Procurement activity	Responsible Office	Estimated lead time in days
1.	Purchase Requisition/Preparation of TORs, cost estimates, and other user requirements	User Department/ CPO	2
2.	The commitment of funds before the commencement of procurement process	FO	2
3.	Approval of purchase requisition by the VC	VC	2
4.	Advertise for EOI/prepare RFP (simultaneously)	CPO	14
5.	Shortlisting of firms	CPO	10
6.	Preparation of the Professional Opinion	CPO	2
7.	Approval of the Professional Opinion	VC	2
8.	Invite for proposals	CPO	14
9.	Prepare a technical evaluation report	CPO	5
10.	Open financial proposals, and prepare a combined technical/price evaluation report.	Tender Evaluation Committee CPO	14
11.	Contract negotiations leading to a proposed contract award	Proposal Evaluation	5
12.	Approval of the negotiated contract by the VC	VC/CPO	2
13.	Notification of proposed contract award and prepare contract documents (done simultaneously)	VC/CPO	20
14.	Sign contract	VC/ CPO/LO	5
15.	Mobilize consultant	User Department/ CPO	20
16.	Contract implementation to completion	User Department/ CPO	30-120
17.	Inspection and acceptance	Department/CPO	2
18	Total period		151-241

Table 4: Procurement Processing Times Based On Request for Quotation for Goods and Works Contracts (Teaching Equipment and works contracts).

	Procurement activity	Responsible Office	Estimated lead time in Days
1.	Purchase Requisition/Prepare specification and other user requirements	User Department/CPO	4
2.	The commitment of funds before the commencement of procurement process	FO	2
3.	Approval of purchase requisition by the VC	VC	2
4.	Prepare an RFQ document	CPO	1
5.	Invite for quotations	CPO	10
6.	Evaluate Quotations and preparation of tender evaluation report	Bid Evaluation Committee/ CPO	3
7.	Approval of the bid evaluation report by the VC	VC	2
8.	Review of the draft contract	LO/CPO	4
9.	Sign contract/place order and Mobilize contractor or supplier	VC/CPO	1
10.	Contract implementation to completion and Inspection and acceptance	User Department/CPO	14-30
	Total period		43-59

Note: The Table indicates the shortest time for RFQ.

SECTION 4

4.0 GENERAL PROCUREMENT PRINCIPLES

4.1 Introduction

The procurement process begins with the 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 must be budgeted and any requirement that has not been budgeted for will not be processed for procurement except for urgent procurement provided the Procurement meets the classification of an “*urgent procurement*”.

Urgent need” means the need for goods, works or services in circumstances where there is an imminent or actual threat to public health, welfare, safety, or of damage to property, such that engaging in tendering proceedings or other procurement methods would not be practicable;

4.2 Types of Procurement Needs

Procurement needs may fall into various categories as follows:

i. **Goods & Non-Consulting Services**

These include (but are not limited to) office equipment and supplies, IT equipment, specialized equipment, vehicles, etc. In addition, other operational services, maintenance, or similar obligations related to the supply of the goods are included in this category.

ii. **Works**

Constructions, rehabilitation, and technical services such as repair and maintenance of equipment fall in this category.

iii. **Consultancy Services**

These are intellectual and advisory services provided by consultants using their professional skills to study, design and organize specific aspects of the project, as well as conduct training and knowledge transfer.

4.3 Initiating the Procurement Process

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:

- i. The user lists down requirements with technical specifications.
- ii. The user estimates the cost of the requirements by carrying out a market survey and obtains the total cost.
- iii. The user compares the total cost against the budgetary allocation.
- iv. The user reconciles the total cost and the budgetary provisions and corrects by additions or prioritization.
- v. The user comes up with a final list.
- vi. The Head of Department supports the request to procure by confirming its conformity with the Procurement Plan and the budget allocation of the departments.

4.4 Preparing Specifications

Users have the responsibility of drawing up the correct specifications of their procurement needs before forwarding them to PF. If need be, users may seek guidance from technical experts when drawing up specifications.

Items should be described in sufficient detail in terms of performance without prejudice towards particular brands. Specification may be presented by one or a combination of the following; description, sample, drawings, capacity, usage, and/or standards.

The 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 PF in drawing up such specifications.

Once specifications have been drawn up they shall not be changed without the involvement of the user and must be submitted together with the purchase requisition.

The user shall not change the specifications once the procurement process is underway unless with approval from the VC.

4.5 Using Purchase Requisition

Completed purchase requisition forms should accompany all procurement requests. The user/vote holder, who is duly authorized, or the Head of the department should raise this. It is only after the FO has confirmed the availability of funds, that the VC or DVC (APD) approves the purchase request so that the procurement process can commence.

4.6 Authorization limits on the Purchase Requisition will be as follows:

To ensure that the VC's decisions on procurement are made in a systematic and structured way, The VC shall establish systems and procedures to facilitate decision-making for procurement and asset disposal as follows: -

- i. The DVC (APD) shall authorize all purchase requisitions of Kshs. 500,000 and below, while
- ii. The VC shall authorize all purchase requisitions above Kshs. 500,000
- iii. All purchase requisitions must be cleared by the FO confirming the availability of funds, before the commencement of the procurement process by the CPO.

4.7 Procurement Thresholds

The CPO shall apply the Procurement methods as per the threshold matrix in the PPAD Regulations 2020 *Annex X*

4.8 Procurement Methods

In deciding to use a procurement method, The CPO shall be guided by the:

- i. Procurement Plan And
- ii. The Threshold Matrix in the PPAD Regulation 2020.

Procurement work remains incomplete until suppliers have been paid. To ensure the timely processing of payments for goods or services, users shall endorse all invoices, delivery notes, and other supporting documents before Procurement forwards the same to FO.

The technical experts and project team shall endorse payment for all works undertaken by them including Estates Manager as the user.

Women, Youths, and Persons with Disability shall be paid within one month of servicing their contracts and presentation of payment documents. Other University suppliers shall be paid within 90 days from the invoice date.

- (a) All payments on behalf of the University shall be made by the FO under the

The direction of the VC.

(b) The Vote Holders shall be responsible for the examination, verification and certification of invoices for payment within their respective faculties or departments.

(c) The Procurement department shall confirm receipt of goods through a Goods Received Note (GRN). The following information shall be recorded on each Goods Received Note in a manner approved by the Head of Procurement function.

- i. The LPO number
- ii. The signature of the person carrying out the checks and his/her designation
- iii. Invoice number
- iv. Brief description of goods
- v. Delivery Note number
- vi. Cost of the items
- vii. Any other information that may be required

(d) There shall be an ad-hoc Inspection and Acceptance Committee appointed by the VC. The role of the committee shall be to inspect goods/services/works to ensure conformity with specifications. Where the Inspection and acceptance committee has queries regarding the pricing and/or quantity of the items, it shall promptly refer the matter to the CPO. Where the goods are defective the verifying officer shall raise a Goods Return Note for the goods to be returned to the supplier.

(e) The FO shall certify before processing the payment that: -

- i. The prices are correct as indicated in the LPO/LSO/Contract.
- ii. Payment for the same item is not made more than once.
- iii. The goods or services have been received as indicated by the signed Inspection and Acceptance certificate.
- iv. The costing is arithmetically correct.
- v. All discounts, if any, have been deducted or considered.
- vi. The payment shall be per university regulations.
- vii. The payment must be supported with the following documents as applicable: -
 - a) Original Invoice/Fee Notes/Utility; medical bills
 - b) Paying copy of the LPO/LSO/Contract
 - c) Original GRN/Job cards
 - d) Original Inspection Acceptance Certificate

- e) Original Delivery Note
 - f) Original Interim/Completion certificate for works
 - g) Court awards
 - h) Any other supporting documents
- viii. That all invoices and payment vouchers to suppliers are certified by the Chief Procurement Officer as per the Provisions of the PPAD Act 2015 and its attendant regulations.
- ix. Availability of funds has been confirmed.
- x. The person who receives the goods is not the same as the one who approves the payment.
- xi. On receipt of an invoice or a fee note, Utility medical bills & Authority to make payment by the Budget Committee, The Chief Finance Officer shall make payment on a first come first paid basis as per the Provisions of the PPAD Act 2015 and its attendant regulations.

4.9 Documentation

The following shall be the approved documents used in the procurement procedure as outlined in this chapter:

- i. Purchase Requisition Form
- ii. Quotations Form
- iii. Tender Opening Report
- iv. Tender Evaluation Report
- v. Professional Opinion
- vi. Local Purchase Order or Local Service Order/Contract
- vii. Goods Received Note
- viii. Copy of invoice and delivery note
- ix. Inspection and acceptance
- x. Completion certificate

4.10 Procurement Records

- 57.** The PF shall keep records for each procurement activity, even if no contract resulted after the procurement proceedings were terminated. Each contract should have a separate file (manual and/ or electronic). The PF shall maintain a proper filing system with clear

links between procurement and expenditure files. The procurement records for a procurement contract include:

- i. A brief description of the goods, works, or services to be procured, or of the procurement need for which the procurement entity invited proposals or offers.
- ii. The names and addresses of suppliers or contractors that submitted tenders, proposals, offers, or quotations, and the name and address of the supplier or contractor with whom the procurement contract is entered.
- iii. Information relating to the qualifications, or lack of qualifications of suppliers or contractors that submitted tenders, proposals, offers, or quotations.
- iv. The price, or the basis for determining the price, and a summary of the other principal terms and conditions of each tender, proposal, offer, or quotation and of the procurement contract if these are known to the procurement entity.
 - a) A summary of the evaluation and comparison of tenders, proposals under, offers, or quotations including the application of any margin of preference.
 - b) A statement to the effect and the grounds for the rejection of tenders, proposals, offers, or quotations.
 - c) A statement to the effect and the reasons for procurement proceedings involving methods of procurement other than tendering, and those proceedings that did not result in a procurement contract.
 - d) The information required, if a tender, proposal, offer, or quotation was rejected.
 - e) A statement of the grounds and circumstances on which the procurement entity relied to justify the selection of the method of procurement used.
 - f) In the procurement of services, the statement on the grounds and circumstances on which the procurement entity relied to justify the selection procedure used.
 - g) In procurement proceedings involving direct invitation of proposals for a statement of the grounds and circumstances on which the procurement entity relied to justify the direct invitation.
 - h) In procurement proceedings reasons for limiting participation based on nationality, a statement of the grounds and circumstances relied upon for the limitation.
 - i) A summary of any requests for clarification of the prequalification or

invitation documents, the responses received as well as a summary of any modification of the documents.

- j) A record of any complaints received from suppliers, contractors, or consultants and the responses received.

4.11 Composition and Roles of the University Committees

The PF in the University is realized through the University's various procurement committees that have been set up to assist in the proper running of procurement.

Tender Opening Committee

- i. The VC shall appoint an ad-hoc evaluation committee following Section 46 of the PPAD Act 2015.
- ii. The TOC shall be an ad hoc Committee responsible for the opening of tenders (Section 78 of the Act 2015) on the date and time of closing as stipulated in the Bid documents. The Committee shall ensure that the Tender Box is closed at the exact time. Bulky Tender Documents that cannot fit in the tender box shall be received and recorded in the procurement department and later delivered to the opening Committee at the time of tender closing.
- iii. TOC members shall be recommended by the head of procurement to VC who shall appoint them in writing. This Committee shall comprise a chairperson, three other officers, and a secretary from the procurement department.
- iv. The Committee shall record all tenders submitted on time and reject late submissions and give its duly signed report/minutes to the Head of Procurement. The head of procurement shall forward a copy of the report to the chairperson of the Tender Evaluation Committee for evaluation.

Tender evaluation Committee

- 58. According to PPADA 2015 Section 46. (1) VC shall ensure that an ad hoc Evaluation Committee is established following this Act and regulations made there under and from within the members of staff, with the relevant expertise. Procurement Officers

shall oversee evaluations as a delegated authority by the CPO as per Section 86 and shall be in writing. Evaluation is a function of users as the experts and where the said evaluators cannot agree, Section 4 (2) (c) can be invoked by CPO to acquire experts from other government institutions and shall be appointed in writing by the VC.

An Evaluation Committee shall: -

- i. Deal with the technical and financial aspects of procurement as well as the negotiation of the process including evaluation of bids, proposals for prequalification, registration lists, expression of interest, and any other roles assigned to it.
- ii. Consist of between three and five members appointed by the VC in writing on a rotational basis comprising heads of the user department and two other departments or their representatives and where necessary, procurement consultants or professionals, who shall advise on the evaluation of the tender documents and give a recommendation on the same to the committee within a reasonable time;
- iii. Have as its secretary, the CPO.
- iv. Complete the procurement process for which it was appointed and no new committee shall be appointed on the same issue unless the one handling the issue has been procedurally disbanded.
- v. Adopt a process that shall ensure that public money shall be used prudently and responsibly; and it shall do so under a system that is fair, equitable, transparent, competitive, and cost-effective.
- vi. All tender evaluations must be carried out within a maximum period of 30 days from the date of tender opening.

Each member of the Evaluation Committee shall evaluate independently from the other members before sharing his or her analysis, questions, and evaluation including his or her rating with the other members of the technical evaluation committee. The Evaluation Committee shall carry out negotiations if need be and with approval from the VC for the said procurement.

Due diligence and negotiations where applicable shall be carried out before financial evaluation. The recommendation to award to the best-evaluated tenderer shall be submitted to CPO, who will then forward it to the procurement processing committee for verification.

Thereafter, the CPO shall forward the report with recommendations and professional opinion to the VC for approval and award.

Section 80 (1-7) of the PPAD Act shall guide evaluation.

4.12 Overall Records

Records consist of the procurement plan and its updates, advertising notices, bidding and proposal documents, minutes of pre-bid conferences, communications with tenderers or stakeholders, bid opening minutes, actual bids and proposals, bid/proposal evaluation reports, minutes of VC approvals, records of contract award publications, signed contracts, Form D1 - Material Requisitions, Form D2–Beneficiary Certification Report, Form D3–Distribution of Materials, procurement related reports, Pre-shipment inspection, delivery and acceptance reports, testing reports, records of payments, procurement audit reports, contract completion certificates and any other relevant documentation relating to the particular contract.

4.13 Disclosure of information from procurement records

The records referred to above shall, on request, be made available to any person after a tender, proposal, offer, quotation has been accepted, or after procurement, proceedings have been terminated without resulting in a procurement contract.

The records referred to above shall, on request, be made available to suppliers, contractors, or consultants that submitted tenders, proposals offer or quotations, or applied for prequalification after a tender, proposal, offer or quotation has been accepted or procurement proceedings have been terminated without resulting in a procurement contract. No other disclosure shall be made. The PF may charge a fee for availing the records, but the fee shall not exceed the cost of making the records available.

SECTION 5

5.1 CONTRACT MANAGEMENT

Part XI of the PPADA 2015 stipulates how procurement contracts will be managed.

5.2 *Contract Preparation*

The CPO shall prepare the procurement contracts and forward them to the Legal Office for review before signing by the VC as appropriate and per the PPAD Act.

A contract shall not be signed until after fourteen (14) working days from the date suppliers receive the debrief and notification letters. This will allow bidders enough time to lodge any complaint with the Review Board in case they are not satisfied with the decision.

Specimen signatures of signatories authorized to sign procurement contracts must be made public to curb fraud and forgery. Audit Department shall keep specimen signatures for all officers involved in the contract or any other procurement approvals.

Contracts signed will be publicized on Public Procurement Information Portal as per the threshold allowed and on the university website for openness and accountability. Also, necessary reports shall be submitted to PPRA in the format provided for all contracts as applicable.

It should be noted that conditions that were not in the tender document cannot be introduced in the contract at this point.

The winning bidder shall provide a performance bond and all risk insurance as appropriate and per the Act and tender document.

5.3 *Contract Variation*

The VC subject to the following shall approve all requests for variations:

- a) The request has been made by the contractor and approved by the project manager/Contract implementation team.
- b) The request is accompanied by a renewed performance bond or insurance policy as appropriate.

- c) The appropriate Evaluation Committee shall take the variation for evaluation and a new Professional Opinion developed to inform the award or rejection by the VC.
- d) Variation for goods and services shall not exceed 15%, while works 20% and cumulatively it must not exceed 25%.

It should be noted that;

The best practice is not to vary the contract but procure the new quantities afresh through a competitive process. Therefore, the University will treat all variation requests as new procurement.

Provisional sums in construction contracts cannot be used without VC's approval and shall be submitted with professional opinion to justify the use and such shall be treated as a variation.

5.4. Payments and Interest on overdue amounts

- i. Women, Youth, and Persons with Disabilities shall be paid within thirty (30) days of receipt of the required payment documents.
- ii. All other suppliers/contracts will be paid within ninety (90) days of receipt of the required payments document.

5.5 Performance Security

The performance security shall not exceed 10% of the total contract price. The performance security shall be used if the supplier refuses to sign the contract. If the bank that guaranteed the supplier refuses to pay, the University shall charge a one (1%) percent interest daily until the bank pays.

The performance security shall be acquired from reputable banks and only insurance companies approved by PPRA. The performance security will be returned immediately and within thirty (30) days once contract completion is certified.

5.6 Advance Payment

- i. No advance payment will be made before the contract signing and without the VC approval.
- ii. If any advance payment is to be made, then it shall not exceed 20% and must be secured by a bank guarantee of the same amount from a reputable bank. Where the supplier defaults, the University will recover the loss with the security guaranteed.
- iii. Where the goods/services to be procured may require advance payment it shall be stated in the tender document.

5.7 Contract Administration

All contracts shall be managed as follows:

- i. Where the nature of the Contract is a framework, the CPO will issue a certificate of acceptance on behalf of the University.
- ii. Where the nature of the Contract is open tender and the evaluation committee, project team, or the project manager shall issue one off the Certificate of acceptance where appropriate.
- iii. Where the nature of the Contract is complex or specialized, the VC shall appoint a Contract Implementation Team that shall include representatives from procurement, the user department, the relevant technical department, and a consultant where applicable.
- iv. For all the University contracts/LPO, the CPO shall prepare a monthly progress report to the Vice Chancellor.

5.8 Contract Monitoring

- i. The CPO shall provide monthly progress reports on all procurement contracts to the VC.
- ii. The CPO shall ensure that all sections within the procurement unit submit weekly reports to the CPO on all procurement contracts in force.
- iii. The CPO shall through the VC ensure that the statutory reports on contract monitoring are submitted to PPRA monthly or biannually.

5.9 Termination of Contract

- i. Only VC can approve the termination of contracts.
- ii. The termination of contracts shall be done in place of the executed contract.
- iii. Where arbitration is provided for expressly in the Contract, the Contract shall not be terminated without invoking arbitration.

5.10 Contract Closeout

Upon completion of a contract, the VC shall be responsible for closing out contracts.

The close-out shall involve:

- i. Issuance of Certificate of Completion to the contractor confirming delivery and acceptance of goods works and services where the contract is not complex and specialized.
- ii. Issuance of certificate of completion by the contract implementation team confirming delivery, and acceptance of goods works, and service in case of complex and specialized contracts.

5.11 Certificate of Final Acceptance

The ad hoc Acceptance and Inspection Committee shall issue interim or completion certificates or Goods Received Note (GRN) as appropriate and per the contract.

The Acceptance and Inspection Committee shall issue the appropriate documents subject to:

- i. Certificate of Acceptance by Head of Procurement.
- ii. Certificate of confirmation by the Technical Department/Contract Implementation Team for complex procurement.
- iii. Goods Received Note.

5.12 Procurement Risks

The CPO shall maintain and be the custodian of all University Contract Management Plan.

For purposes of (i) above, The CPO shall maintain a risk register to monitor all identified contract risks to be incorporated in the monthly contracts progress report which should be submitted monthly to the VC.

SECTION 6

6.0 Receiving, Inspection, and Acceptance

6.1 Introduction

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

6.2 Receiving Goods

Goods or materials to be received at the university central stores from external suppliers or other sub-stores. These goods/ materials must be accompanied by the relevant documents relating to a 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.

6.3 Inspection of Goods

Before materials are accepted into the store, they must be inspected for quality against the order specifications and, where relevant, the sample. The ad hoc inspection and acceptance committee established by Act section 48 (1-4), may be required to inspect before goods are received. If goods are technical, 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.

A goods inward register shall be kept and entered daily as and when consignments arrive. The register shall provide the following information:

- i. Date and time of arrival of the consignment.
- ii. Consignor.
- iii. Method of transport.
- iv. Vehicle number.
- v. Brief description of the goods.
- vi. Order/contract number.

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 and produced by the inspection committee. It should have the following information:

- i. Date of receipt (same as in the receipt register)
- ii. Consignor

- iii. Consignor's delivery note number
- iv. Orders /contract number
- v. Item(s) code/ description
- vi. Quantity received
- vii. Number and type of packages
- viii. Any excess or shortfall in delivery
- ix. Name /signature of receiving storekeeper
- x. Quality inspector's name/ signature (where applicable)

The GRN shall be distributed as follows:

- i. Original will be attached to the original delivery note and original invoice and sent to the finance department for settlement of the account.
- ii. Duplicate will be retained in Procurement Department to confirm delivery of the order (supplier performance).
- iii. A Triplicate will be sent to Stores for updating of stock control ledgers and bin cards.

The Inspection Committee will inspect all goods delivered immediately.

Supplier shall get a copy of inspection certificate if goods are accepted/rejected as proof of acceptance.

6.4 Issuing and Dispatching of Materials

The service rendered by the store's section to other departments becomes effective at the point where the store's personnel issues goods to users.

The Stores Personnel shall only issue materials upon receipt of a Stores issue note duly authorized by the head of the department requesting goods. The store's 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

The store's issue note will be distributed as follows:

- i. A copy remains in the store for stock control and updating of stock records.
- ii. Another copy will be issued to the person collecting such goods from the store.

6.5 Store Records

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

The purpose of keeping stock records is to:

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

6.6 Documentation

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

- i. Goods Received Note- GRN
- ii. Purchase Requisition-PR
- iii. Stores Requisition Issue Note-SRIN
- iv. Local Purchase Order- LPO
- v. Contract
- vi. Any other relevant communication

6.7 Stock Control Procedures

Introduction

The Procurement Department shall be responsible for the proper accounting of stock

and records.

The Storekeeper shall maintain adequate records for stock control such as control ledgers, systems, and bin cards.

All receipts and issues of stores must be recorded in the store ledger and bin cards immediately after each transaction.

There will be regular stock counts by the Storekeeper and the in-charge stores.

Any discrepancies between the physical stock and bin cards shall be investigated and appropriate action is taken.

There shall also be an annual stock-taking activity at the end of every financial year, the results of which shall be incorporated into the annual accounts.

6.8 *Stock Taking*

The FO shall independently initiate the annual stocktaking. Designated officers shall carry out quarterly stock takes in various stores.

The essence of stocktaking will be to ascertain whether:

- i. The storekeeping function of the procurement department is effectively carried out.
- ii. Proper documentation of stocks and stores is maintained.
- iii. All stocks and stores are adequately accounted for.
- iv. There are adequate procedures for identifying and separately accounting for slow-moving, damaged, or otherwise defective stocks and stores.
- v. The amounts attributable to stocks in the University's final accounts are valid.

6.9 *Stock-Taking Procedure*

Issuing and receiving of items shall be suspended during the stocktaking period.

Stocktaking details shall be recorded on stock sheets.

Annual stocktaking will commence after adequate preparations and in the presence of authorized representatives of the Internal Audit, External Audit, Procurement, and Finance Departments.

Supervisors and representatives of the Internal Audit Departments shall ensure that the correct stock position is recorded and that there are no omissions or commissions. The stock sheets shall be signed by all present. The ledger/stock card balances will then be entered into the appropriate columns for comparison. Any discrepancies will thereafter be investigated.

During stocktaking, the following procedure shall be used for all types of stock:

- i. Identification of stock and ascertainment of ownership (Does it belong to the University)
- ii. Counting, weighing, or measuring.
- iii. Reporting slow-moving, expired, damaged, or otherwise defective stock.
- iv. Recording Information on all inventories.

All items shall be properly arranged and kept in their respective places in the Stores during the stocktaking exercise.

All defective stock items shall be recorded, marked, and separated.

Storekeepers shall be present to guide the counting staff on the identification and description of items in stock.

6.10 Stock Verification

The Storekeeper shall conduct regular stock counts under the supervision of the procurement officer to ensure that:

- i. Records of receipts and issues are well maintained (all receipts and issues have been recorded in the store's ledger, system, and bin cards).
- ii. Stocks and stores are all accounted for. This will be done through a comparison of the physical stocks and the balances reflected on the ledger/bin card and system.

6.11 Stock Reconciliation

Following the regular or annual stocktaking exercise, any shortages/ discrepancies noted will

be investigated and appropriate action is taken.

Any damaged or defective items will also be noted and separated from the good ones.

The ledgers, system, and bin cards will then be appropriately amended to reflect the shortages noted, and/or any defective/ damaged stock items identified.

SECTION 7

7.0 Disposal of stores and equipment

7.1 Introduction

The University Council shall approve all the annual Disposal Plan.

The VC shall not dispose-off assets to an employee or associates of the University or a member of the Council.

Where the University stores, plant, and equipment become unserviceable as a fair wear and tear or become obsolete, the chairperson/ Head of department will be required to compile a disposal plan of these items for submission to CPO.

The Procurement Department under the guidance of the CPO shall: Coordinate the exercise of compiling a list of all unserviceable and obsolete furniture, plant, and equipment. The PF shall receive and submit the lists to the VC through the CPO.

Every department shall submit its list of obsolete or unserviceable stores, plants, and equipment, if any, by the 31st of July every year.

7.1 Disposal of stores

There shall be an annual disposal of these items three (3) months to the end of the financial year.

A Disposal Committee established by Section 163(1) of the Act shall carry out the disposal.

The VC shall appoint a disposal committee, which shall include senior qualified officers including a representative from the user department, Internal Audit, the Finance Section, and external experts where necessary. Disposal shall only be done on the recommendations of the Disposal Committee.

The disposal committee shall submit a report to the VC with recommendations on the best mode of disposal including a reserve price where applicable.

The recommended methods of disposal as per Section 165 of the Act 2015 include:

- i. Transfer to another public entity or part of another public entity, with or without financial adjustment.
- ii. Sale by tender.
- iii. Sale by public auction to the highest bidder subject to a reserve price.
Trade-in.
- iv. Waste disposal management or,
- v. As may be prescribed

For consumables or perishable items, an ad hoc Disposal Committee constituted shall decide on the most appropriate disposal action. Technical personnel may be invited where necessary.

All other immovable property of the University shall not be sold or otherwise disposed of without the authority of the University Council.

All proceeds from the Disposal of the items shall be tabled to the University Council.

The VC reserves the right to award or reject recommendations to dispose of with reasons.

SECTION 8

8.0 SUPPLIER EVALUATION, MARKET SURVEY, AND RECORD MANAGEMENT

8.1 Introduction

To achieve a competitive advantage and a cost-effective Procurement Department, the University requires a well-developed and effective system of supplier evaluation and market survey.

8.2 Supplier Evaluation

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

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.

The following factors shall be considered during supplier evaluation: quality control records, timeless in delivery, shortages, license, credit terms, reputation, management, location/proximity, early/ late consignments, rejects for quality deficiency, after-sale services, compatibility with existing equipment, ease of communication for everyone, consistency in the quality of items and variations in the prices tendered/ outdated within a given period.

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.

8.3 Market survey

The PF shall have a section dedicated to a market survey. The Section shall conduct continuous market surveys and develop an internal resource base (data bank). The University shall use this for Price Comparisons and the establishment of market trends. The data bank shall be used for both technical and financial evaluation of bids. No contract will be entered into without having carried out a market survey.

8.4 *Records Management*

The University shall ensure the Procurement Department is staffed with a qualified records manager to facilitate proper keeping and retrieval of procurement files and tender documents.

Procurement documents shall be kept for at least six (6) years from the date of opening

Procurement files will contain all relevant documents including payment vouchers and contract close-out certificates.

No officer shall tamper with tender documents or cause the disappearance of tender documents in any way. Procurement officers shall be responsible for files/tender documents under their custody during and after evaluation.

Files submitted for annual audit shall be under the care of FO during the audit period and shall be returned officially to the Head of Procurement after an audit.

No procurement file or tender document shall be issued to any officer without prior approval of VC through the CPO.

The records for procurement shall include: -

- i. A brief description of the goods works or services being procured.
- ii. If a procedure other than open tendering was used, the reasons for doing so.
- iii. If, as part of the procurement procedure, anything was advertised in a newspaper or other publication, a copy of that advertisement as it appeared in that newspaper or publication.
- iv. For each tender, proposal, or quotation that was submitted, the following shall form the records: -
 - a. The name and address of the person submitting.
 - b. The price, or basis of determining the price, and a summary of the other principal terms and conditions of the tender, proposal, or quotation.
 - c. A summary of the proceedings of the opening of tenders, evaluation and comparison of the tenders, proposals, or quotations, including the evaluation criteria used as prescribed.
 - d. If the procurement proceedings were terminated without resulting in a contract, an explanation of why they were terminated.
 - e. A copy of every payment voucher showing the payment was made to the supplier awarded the tender.
 - f. Such other information or documents are necessary.

SECTION 9

9.0 ETHICS IN PUBLIC PROCUREMENT AND PROFESSIONAL TRAINING

Upholding 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.

All staff in the procurement department shall be expected to observe professional ethics and guidelines by the Kenya Institute of Supplies Management. Provisions of chapter six of the Constitution of Kenya and the Public Officer Ethics Act, 2003 shall also apply in regulating the ethical conduct of all members of staff involved in the procurement process.

The guiding ethical principles shall include the following:

- i. Staff involved in the procurement process shall avoid engaging in practices or transactions that create a conflict of interest.
- ii. 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.
- iii. University employees shall be required to avoid arrangements that might in the long term prevent the effective operation of fair competition.
- iv. Employees shall not accept or receive gifts from current or potential suppliers unless such gifts are of very small intrinsic value and are of an advertisement nature such as calendars, diaries, and pens.
- v. Employees shall refrain from any business hospitality that might be viewed by others as likely to influence procurement decisions by the University.
- vi. Care should be taken to avoid splitting orders for specific works, services, or materials by ensuring that the approval is within the prescribed authority ceilings.
- vii. Care should be taken before requesting variations to ensure such request is within the PPAD Act 2015 and its regulations 2020.
- viii. Staff should not obstruct the procurement process or collude with contractors or employees to defraud the University.

9.1 *The Compliance monitoring system*

The CPO will identify common indicators of potential corruption, abuse in the procurement system, any shortcomings, possible irregularities, suspicious cases, or difficulties in the procurement process, including action plans to make improvements.

The CPO will map procurement risks and provide remedial measures.

The CPO should ensure that every procurement staff is taken to a procurement-training seminar to enable them to appreciate the features of the PF and their respective roles in the same.

The main activities that are fuels of corruption are tailoring specifications to limit competition or to favor a particular bidder; abusing confidentiality; limiting advertisement and publicity; manipulating the preparation, submission, and evaluation of bids; false invoicing; overbilling; receipt of non-existent goods or services, underperforming; failure to meet specifications; contract changes and renegotiations. These activities are identified via common indicators referred to as “red flags”.

The Compliance monitoring review determines areas or activities of concern peculiar to normal situations. Any significant risk identified during the review should be considered a “red flag” to deal with. Studies have identified common indicators of potential fraud and corruption in the procurement process. Ten (but not limited to) most common “red flags” include:

- i. Complaints from bidders and other parties may signal that additional due diligence and investigation may be warranted in a particular procurement.
- ii. Multiple contracts below procurement thresholds may indicate contract-splitting schemes used by corrupt officials to avoid higher-level review or competitive bidding.
- iii. Unusual bid patterns such as unexplained inflated bid prices, round or unnatural numbers, apparent rotation of winning bidders, and other seemingly irregular activities may be a sign of collusive bidding by at least some of the vendors.

- iv. Inflated agent fees or the unnecessary involvement of intermediaries or third parties may be used to disguise corrupt payments.
- v. Some dubious bidders to submit unreasonably high bids so that a real bidder can submit a higher-than-normal bid price and give the appearance it is competitive may use fictitious companies or consulting firms.
- vi. Too much time taken in the adjudication of bids and rejection of the lowest bidder on unjustifiable grounds may indicate bid rigging with project officials having a hidden interest in a contractor.
- vii. Sole source awards given repeatedly to the same bidder should be scrutinized, especially if these requests are made for reasons of urgency and with no other legitimate purpose.
- viii. Changes in contract terms and value with regard to the price, amount, or type of services between the selection and the signing of the contract, while sometimes unavoidable, may nevertheless be an indicator that warrants more review.
- ix. Contract change orders after the contract has been signed, especially if multiple, can indicate collusion between the client and contractor to increase the value of the contract without delivery of additional products or services.
- x. Poor performance or deficiencies in the goods or services, or even non-delivery can indicate fraud and corruption.

9.2 Procurement Staff Performance

The CPO's primary role is to ensure **100%** implementation of the procurement plan. This will depend on the efficiency and diligence of the staff of the Procurement department and user departments.

The CPO shall prepare a report to the VC by evaluating staff performance from

- i. Quarterly Progress Reports,
- ii. Monthly Meetings to Monitor Progress on the implementation of the procurement plan to compare the actual versus the planned.
- iii. Compliance Monitoring Reports,
- iv. Ex-Post Reviews Conducted by The PPRA,

- v. Auditor's General Audit Reports, And
- vi. Any Review of Staff Performance Sanction by The University Council.

9.3 Training and Capacity Development

The University management will endeavor to train procurement staff and user departments to ensure compliance with the PPAD Act 2015.

The training may be in-house, or seminars organized by PPRA or KISM.

9.4 Review of the Procurement Manual & Procedures

This Procurement Manual & Procedures shall be reviewed every three (3) years or when necessary, through an addendum.

9.5 Effective Date

These Procurement Manual & Procedures shall be effective from **1st July, 2023**.

SECTION 10

ANNEXES



EGERTON UNIVERSITY

Vendor Appraisal Procedure

DRAFT CONTROLLED DOCUMENT

		Sign	Date
Prepared by:			
Reviewed by:			
Approved by:			

The signatures above certify that these Standard Operating Procedures have been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

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1. PURPOSE

To continuously assess and monitor the performance of external service providers

2. SCOPE

This procedure covers assessing performance, continuous monitoring and evaluation of external providers

3. REFERENCES

- 3.1 Procurement and Stores Procedures Manual;
- 3.2 Public Procurement and Asset Disposal Act, 2015
- 3.3 Public Procurement and Asset Regulations 2020

4. DEFINITIONS

- 4.1 CPO-Chief Procurement Officer
- 4.2 SPO-Senior Procurement Officer
- 4.3 PO-Procurement Officer
- 4.4 APO-Assistant Procurement Officer

5. RESPONSIBILITY AND AUTHORITY

The Chief Procurement Officer has the principal responsibility for ensuring that this procedure remains adequate for its intended purposes and its being implemented.

6. VENDOR APPRAISAL PROCESS

6.1 Objectives

This procedure aims at ensuring capable external service providers are identified, registered and their performance are continuously evaluated.

Note 1: Evaluation areas:

- Quality
- Price
- Service
- Timely delivery
- Quantity

Note 2: The value of measures will depend on time, urgency of the requirement, whether the materials are critical to the Company operations or not.



6.2 Key Performance Indicators

- 6.2.1 The percentage of timely deliveries.
- 6.2.2 Contracts/orders executed fully.
- 6.2.3 The number of orders placed within the prevailing market prices and the market price index
- 6.2.4 The percentage of acceptable deliveries.
- 6.2.5 No inquiries/query resolved within the stipulated time.

6.3 Resources

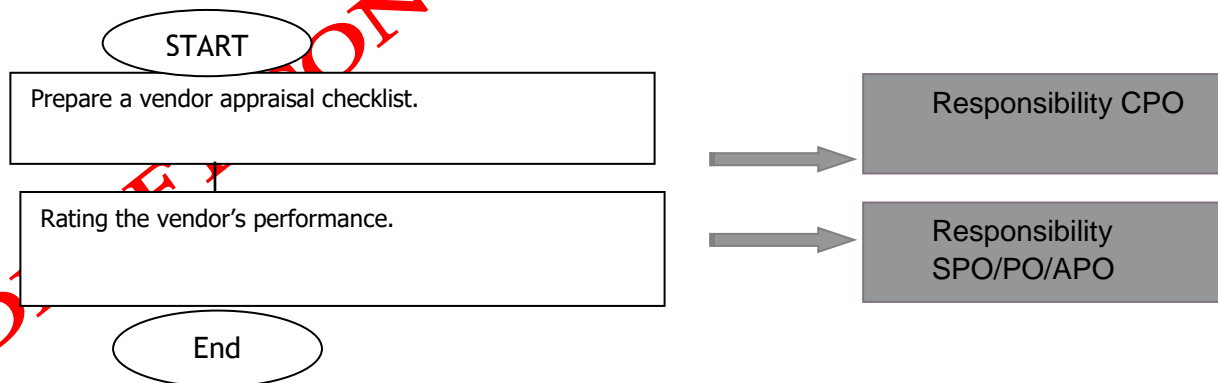
- 6.3.1 Personnel
- 6.3.2 Finances
- 6.3.3 Materials
- 6.3.4 Equipment

6.4 Vendor appraisal process details

STEP	INPUT	ACTIVITY	OUTPUT	RESPONSIBILITY	RECEIVER(S) OUTPUT(S)
1	Purchase orders, Contracts, delivery notes	Prepare a vendor appraisal checklist.	Checklist	CPO	SPO/PO/APO
2	Checklist	Rating the vendor's performance.	Vendor Appraisal report	SPO/PO/APO	CPO

NOTE: if so recommended, the Supplier deregistration shall be guided by the Public Procurement and Asset Disposal Act. 2015 and its attendant regulations.

6.5 Process Flow chart





7. DOCUMENTED INFORMATION PRODUCED

- 7.1 University list of Registered Vendors/suppliers
- 7.2 Monthly Procurement reports
- 7.3 Appraisal Questionnaire! Checklist

8. RELATED RISKS AND OPPORTUNITIES

Risk is the single word that determines every contract. Adequate steps for risk mitigation must be taken in all University contracts. Where the tender document so requires, unconditional performance security must be provided by the successful tenderer issued by a reputable bank based in Kenya.

Chief Procurement Officer Shall prepare and maintain a risks register where identified risks should be recorded and monitored. The common contract risks that should be watched are:

- i. Global/Industry supply chain Shocks.
- ii. Poor Supplier Relationship Management.
- iii. Delayed Contract payments.
- iv. Inefficient Contract Management.
- v. Fraud and Corruption.
- vi. Price Fluctuations
- vii. Change in government policy
- viii. Exchange Rates risks
- ix. Speculative risks
- x. Product safety risks
- xi. Liquidity Risks

Any risks identified shall be isolated and addressed within a reasonable time by the CPO.

Refer to the Egerton University Risk Management Policy (Doc.....)

9. AMENDMENT/REVISION HISTORY

No.	Pages/section amended	Details/reasons of amendment	Approved by (Name and signature)	Date	Effective date
1	N/A	N/A	N/A		
2					
3					
4					



EGERTON UNIVERSITY

RECEIVING, STORAGE, AND ISSUING PROCEDURE

		Sign	Date
Prepared by:			
Reviewed by:			
Approved by:			

The signatures above certify that these Standard Operating Procedures have been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.


 Egerton University		
DOCUMENT: Procurement Procedures Manual	TITLE: Receiving, Storage and Issuing Procedure	REF: CPO-2-6
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1. PURPOSE

To provide adequate control for processes of receiving, storing, issuing, and return of goods to stores.

2. SCOPE

This procedure covers receipt of purchased goods, storage, issuance, and return of goods to stores or External Providers/Suppliers/contractors.

3. REFERENCES

- 3.1 Procurement and Stores Work Instructions
- 3.2 Updated bin cards

4. DEFINITIONS & ACRONYMS

- 4.1 CPO-Chief Procurement Officer
- 4.2 PO-Procurement Officer
- 4.3 PA- Procurement Assistant
- 4.4 IC- Inspection Committee
- 4.5 MR-Materials Reservation
- 4.6 RTS-Return to Stores

5. RESPONSIBILITY AND AUTHORITY

The Chief Procurement Officer has the principal responsibility for ensuring that this procedure remains adequate for its intended purposes and is being implemented.

6. RECEIVING, STORAGE, AND ISSUING PROCESS


6.1 Objectives

This procedure is to ensure that conforming goods are accepted into storage, and adequate stocks are maintained safely. Through the procedure, the following are ascertained:

- 6.1.1 All items issued from the stores are duly approved and issued to authorized persons.
- 6.1.2 All issues are properly accounted for in the consumption reports and stock records.
- 6.1.3 Items of the same group and same family group are kept in the same rack.
- 6.1.4 All rejected items are returned to the supplier.
- 6.1.5 All unused items are returned to the stores.

6.2 Key Performance Indicators

6.2.1 Accepted materials

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- 6.2.2 No cases of loss damage or deterioration.
- 6.2.3 Goods are always available when required.
- 6.2.4 All items are stored in their designated locations.
- 6.2.5 Availability of all store records.

6.3 Resources

- 6.3.1 Personnel
- 6.3.2 Finances
- 6.3.3 Materials
- 6.3.4 Equipment


6.4 Receiving and Issuing Process details

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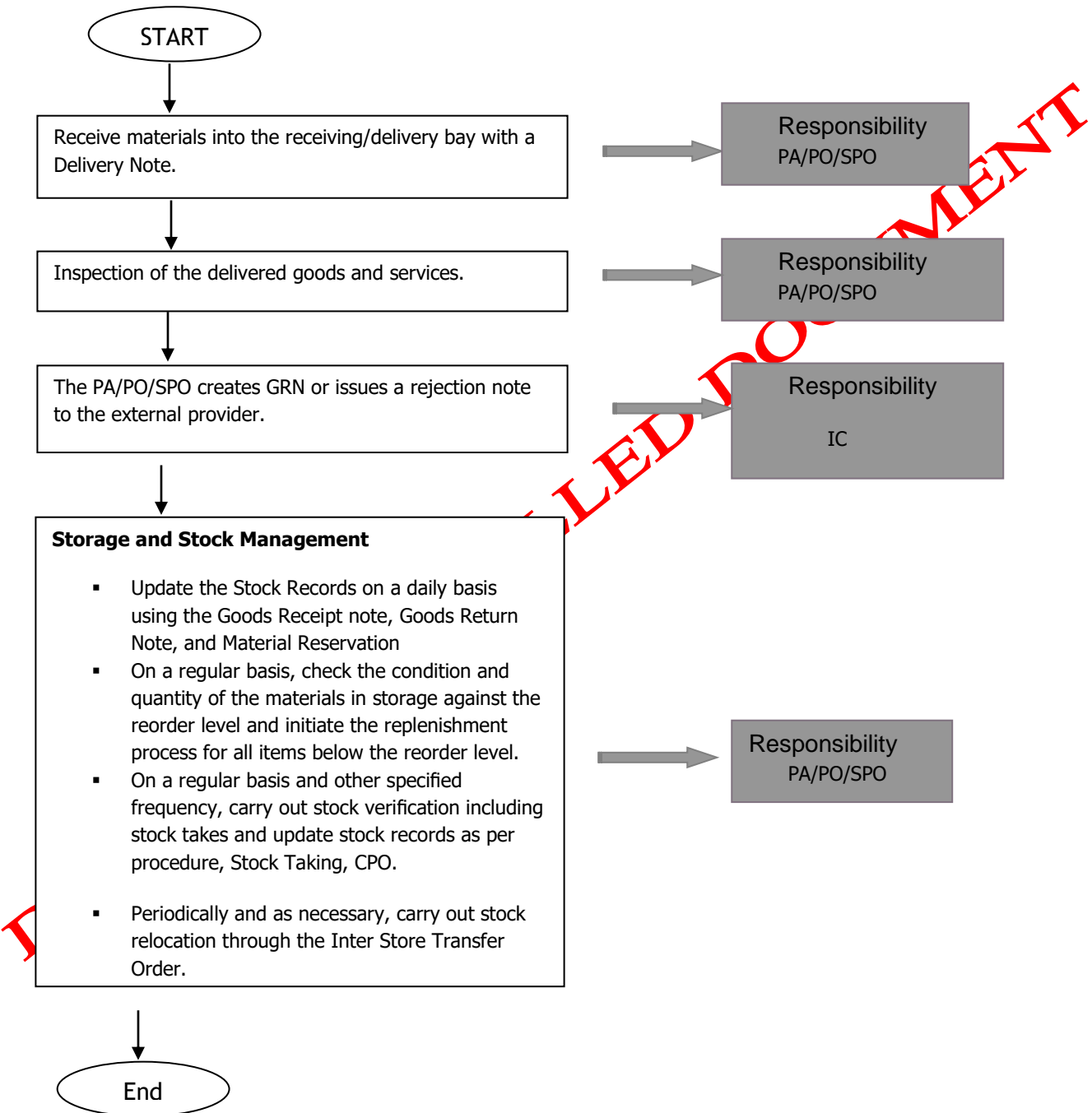



STEP	SOURCE OF INPUT	INPUT	ACTIVITY	OUTPUT	RESPONSIBILITY
1	External Provider/Supplier/contractor	Delivery Note	Receive materials into the receiving/delivery bay with a Delivery Note.	Goods Inspection and Acceptance Note	PA/PO/SPO
2		Inspection and Acceptance Note	Inspection of the delivered goods and services.	Goods Rejection or acceptance report.	IC
3		Rejection or acceptance report.	The PA/PO/SPO creates GRN or issues a rejection note to the External Provider/Supplier/contractor.	Goods received Note	PA/PO/SPO
4		Goods Receipt notes, Bin cards, stock verification reports.	<p>Storage and Stock Management Update the Stock Records daily using the Goods Receipt note, Goods Return Note, and Material Reservation</p> <p>Regularly, check the condition and quantity of the materials in storage against the reorder level and initiate the replenishment process for all items below the reorder level.</p> <p>On a regular basis and other specified frequency, carry out stock verification including stock take and update stock records as per procedure, Stock Taking, CPO.</p> <p>Periodically and as necessary, carry out stock relocation through the Inter Store Transfer Order.</p>	Updated stock reports	PA/PO/SPO

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6.5 Process Flow Diagram



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7. DOCUMENTATION INFORMATION PRODUCED

- 7.1 Goods Inspection and Acceptance Note
- 7.2 Goods Rejection or acceptance report.
- 7.3 Goods received Note
- 7.4 Updated stock reports

8. RELATED RISKS AND OPPORTUNITIES


Risk is the single word that determines every contract. Adequate steps for risk mitigation must be taken in all University contracts. Where the tender document so requires, unconditional performance security must be provided by the successful tenderer issued by a reputable bank based in Kenya.

Chief Procurement Officer Shall prepare and maintain a risks register where identified risks should be recorded and monitored. The common contract risks that should be watched are:

Any risks identified shall be isolated and addressed within a reasonable time by the PA/PO/CPO/IC.

Refer to the Egerton University Risk Management Policy (Doc.....)

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9. AMENDMENT/REVISION HISTORY

No.	Pages/section amended	Details/reasons for the amendment	Approved by (Name and signature)	Date	Effective date
1	NONE	N/A			
2					
3					
4					

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Annex III: Vendor Selection and Registration Procedure



EGERTON UNIVERSITY

VENDOR SELECTION AND REGISTRATION PROCEDURE

		Sign	Date
Prepared by:			
Reviewed by:			
Approved by:			

The signatures above certify that these Standard Operating Procedures have been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.


		Egerton University		
DOCUMENT: Procurement Procedures Manual		TITLE: Vendor Selection and Registration Procedure		REF: CPO-3-6
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	Egerton University		
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1. PURPOSE

To provide adequate control for the process of identifying suitable bidders to supply goods works and services and ensuring that bidders are properly screened so as not to introduce bias and unfairness to the selection process while ensuring that only eligible bidders are included in the University list of registered bidders.

Procurement serves as one window through which the University interacts with the private sector. How much interaction is managed is very important in fostering a sense of fairness and widening the base of participation by the private sector in the University procurement process.

The University procurement should only be carried out with bidders who are legal entities and who have not been debarred from carrying out public procurement.

The Chief Procurement Officer's primary role is to ensure that the details on the eligibility and qualification of bidders are worked out to ensure that all bidders are entitled to bid and that the competition is fair amongst comparable entities and that these entities are legally established and can enter into enforceable contracts with the University.

The eligibility criteria should be clearly stated in the bidding documents for each procurement

To ensure that these criteria are met, signed statements or documentary evidence may be requested to certify the eligibility. Consideration should be given to time and costs constraints when requesting documentary evidence as obtaining an up-to-date certificate from several administrations may take time.

2. SCOPE

This procedure covers the identification of external service providers of goods, works, and services.

3. REFERENCES

- 3.1 Public Procurement and Asset Disposal Act 2015
- 3.2 Public Procurement and Regulations 2021
- 3.3 Procurement and Stores Work Instructions

4. DEFINITIONS


5. RESPONSIBILITY AND AUTHORITY

The Chief Procurement Officer has the principal responsibility for ensuring that this procedure remains adequate for its intended purposes and is being implemented.

6. VENDOR/BIDDER SELECTION AND REGISTRATION PROCESS

6.1 Objectives

- 6.1.1 To come up with an approved bidders list.
- 6.1.2 To ensure that all approved bidders meet specific requirements

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6.1.3 To ensure that the EU continually maintains and updates the approved external provider's list.

6.2 Key Performance Indicators

6.2.1 Approved and updated external service providers list

6.3 Resources

6.3.1 Personnel


6.3.2 Finances

6.3.3 Material

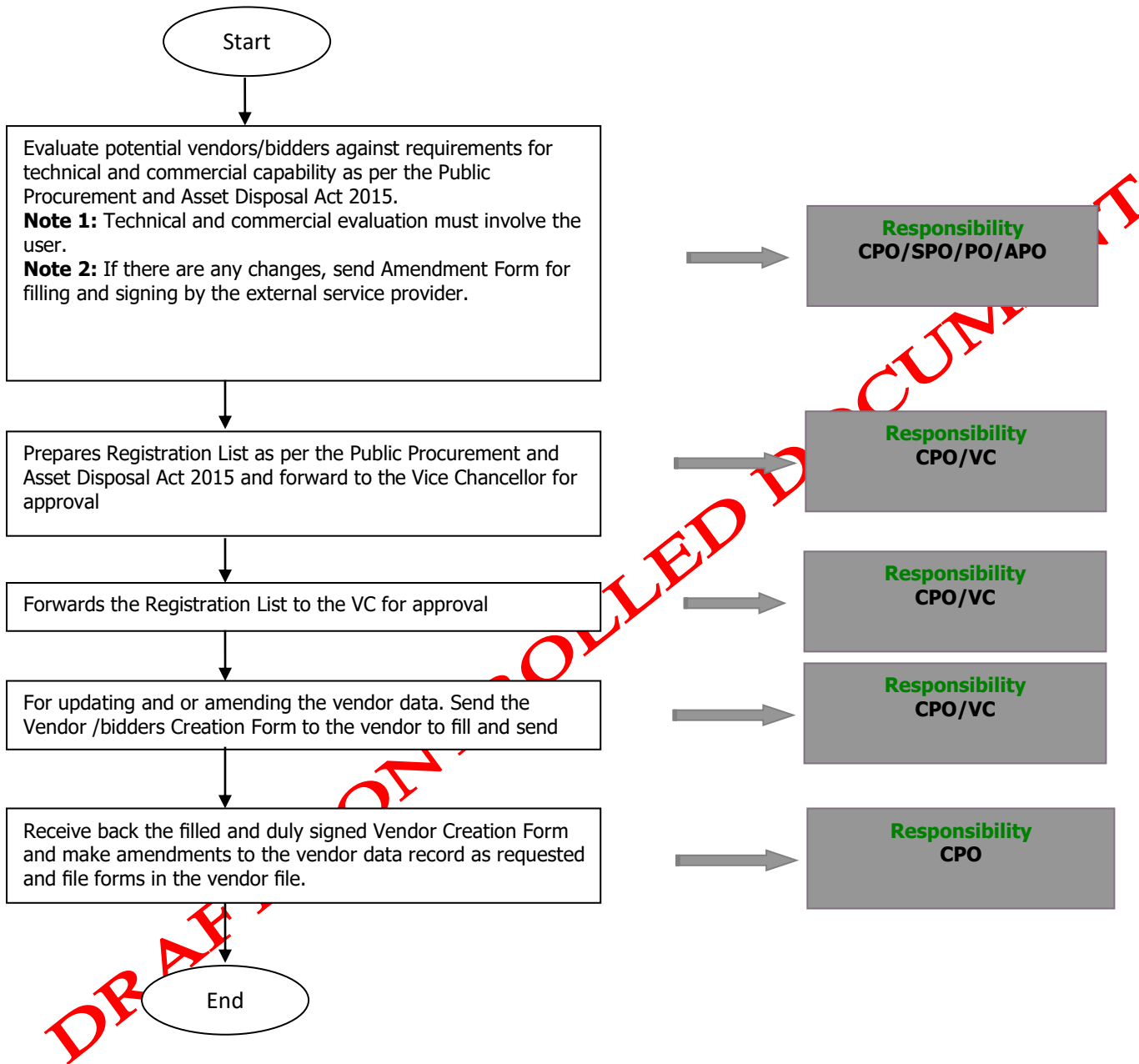
6.3.4 Equipment


6.4 Vendor/bidder selection and registration process details

STEP	SOURCE OF INPUT	INPUT	ACTIVITY	OUTPUT	RESPONSIBILITY	RECEIVER(S) OUTPUT(S)
1	Request for bids	Received bids	Evaluate potential bidders against requirements for technical and commercial capability as per the Public Procurement and Asset Disposal Act 2015. Note 1: Technical and commercial evaluation must involve the user. Note 2: If there are any changes, send Amendment Form for filling and signing by the external service provider.	Evaluation report	PO	VC
2	PO	Evaluation report	Prepares Registration List as per the Public Procurement and Asset Disposal Act 2015 and forward to the VC for approval.	Professional Opinion and Approved Registration List	CPO	VC
3		Approved Registration List	Forwards the Registration List to the VC for approval	Approved Registration List	VC	
4		Approved Registration List	For updating and or amending the vendor/bidder data. send the Vendor/bidder creation Form to the vendor/bidder to fill and send back	Filled and duly signed Vendor/bidder creation Form	CPO/VC	
5		Filled and duly signed Vendor/bidder creation Form	Receive back the filled and duly signed Vendor/bidder creation Form and make amendments to the vendor/bidder data record as requested and file forms in the vendor/bidder file.	Updated vendor/bidder data	CPO	

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6.5 Process flow chart



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- 7. DOCUMENTED INFORMATION PRODUCE**
- 7.1 Evaluation report
 - 7.2 Approved Registration list
 - 7.3 Filled and duly signed Vendor/bidder Creation Form
 - 7.4 Updated vendor/bidder data

8. RELATED RISKS AND OPPORTUNITIES

Risk is the single word that determines every contract. Adequate steps for risk mitigation must be taken in all University contracts. Where the tender document so requires, unconditional performance security must be provided by the successful tenderer issued by a reputable bank based in Kenya.

Chief Procurement Officer Shall prepare and maintain a risks register where identified risks should be recorded and monitored. The common contract risks that should be watched are:

- xii. Low-quality products
- xiii. The vendor/bidder might not deliver what they say they can
- xiv. The supplier might not deliver on time
- xv. The vendor/bidder might not uphold the correct ethical standards
- xvi. The supplier could be non-compliant

Any risks identified shall be isolated and addressed within a reasonable time by the CPO.

Refer to the Egerton University Risk Management Policy (Doc.....)

9. AMENDMENT/REVISION HISTORY

No.	Pages/section amended	Details/reasons for the amendment	Approved by (Name and signature)	Date	Effective date
1	NONE	N/A			
2					
3					
4					



EGERTON UNIVERSITY

Sourcing Process Procedure

		Sign	Date
Prepared by:			
Reviewed by:			
Approved by:			

The signatures above certify that these Standard Operating Procedures have been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

DRAFT CONTROLLED DOCUMENT


	Egerton University		
DOCUMENT: Procurement Procedures Manual		TITLE: Sourcing Process Procedure	REF: CPO-4-6
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1. PURPOSE

Document the necessary control measures to be taken during sourcing.

2. SCOPE

This procedure covers from when a user raises a purchase requisition for goods, services, and works to when the goods, services, or works are delivered.

3. REFERENCE

- 3.1 Procurement and Stores Procedures Manual
- 3.2 Receiving, Storage, and Issuing Procedure
- 3.3 Procurement and Stores Work Instructions
- 3.4 Public Procurement and Asset Disposal Act 2015
- 3.5 Public Procurement and Asset Disposal Regulations 2020
- 3.6 PPRA Manuals, Circulars, and Directives

4. DEFINITIONS AND ACRONYMS

- 4.1 RFQ-Request for Quotation
- 4.2 LPO-Local Purchase Order
- 4.3 PR-Purchase Requisition
- 4.4 CN-Credit Note
- 4.5 PPR-Provisional Purchase Requisition
- 4.6 MR-Materials Reservation
- 4.7 PO-Professional Opinion
- 4.8 GRN-Goods Received Note
- 4.9 RN-Return Note
- 4.10 I&A C-Inspection and Acceptance Certificate
- 4.11 RD- Return Delivery
- 4.12 PID- Physical Inventory document
- 4.13 USER- Requisition Entity
- 4.14 ISR - Inter—Store Transfer Order


5. RESPONSIBILITY AND AUTHORITY

The Chief Procurement Officer has the principal responsibility for ensuring that this procedure remains adequate for its intended purposes and is being implemented.

6. SOURCING PROCESS

6.1 Objective(s)

To ensure that sourcing meets the specified requirements and that it's done in a cost-

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effective and timely manner.

6.2 Key Performance Indicators (KPIs)

- 6.2.1 Sourced goods, services, and works that meet the specifications.
- 6.2.2 On-time delivery of sourced goods services and works.
- 6.2.3 Sourced goods, services, and works that do not exceed the budgeted amounts.

6.3 Resources.


- 6.3.1 Personnel
- 6.3.2 Finances
- 6.3.3 Materials
- 6.3.4 Equipment

6.4 Sourcing process details.

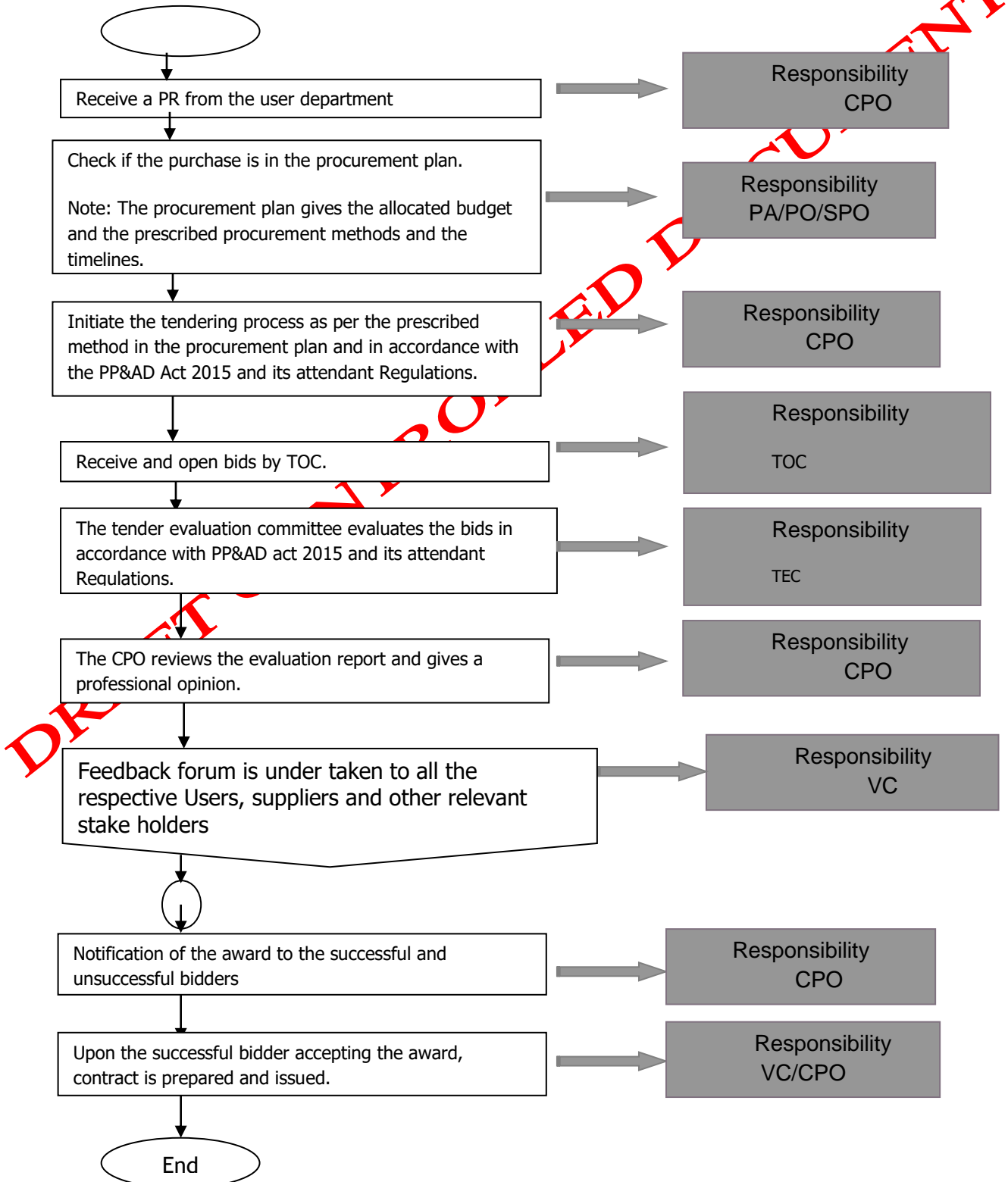
DRAFT CONTROLLED DOCUMENT




STEP	SOURCE OF INPUT	INPUT	ACTIVITY	OUTPUT	RESPONSIBILITY	RECEIVER(S) OUTPUT(S)
1.		Need for goods or Services/ Procurement plan	Receive a PR from the user department	Approved Procurement plan and Project plan	CPO	PA/PO/SPO
2.		PR	Check if the purchase is in the procurement plan. Note: The procurement plan gives the allocated budget and the prescribed procurement methods and the timelines.	Approved PR	PA/PO/SPO	
3.		Approved PR	Initiate the tendering process as per the prescribed method in the procurement plan and the PP&AD Act 2015 and its attendant Regulations.	Tender	CPO	
4.		Tender/Bids	Receive and open bids by TOC.	Tender opening Minutes	TOC	
5.		Received Bids	The tender evaluation committee evaluates the bids per PP&AD Act 2015 and its attendant Regulations.	Evaluation Report	Tender evaluation committee	
6.		Evaluation report	The CPO reviews the evaluation report and gives a professional opinion.	Professional Opinion	CPO	VC
7.		Professional opinion	The VC receives professional opinion and awards.	Letter of Award/regret letter.	VC	
8.		Letter of award/Regret letter	Notification of the award to the successful and unsuccessful bidders	Acceptance/rejection letter	CPO	
9.		Acceptance/rejection letter	Upon the successful bidder accepting the award, contract is prepared and issued.	Contract	CPO/LO/PIT/VC	

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6.5 Process Flow Diagram



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7. DOCUMENTATION INFORMATION PRODUCED

- 7.1 Materials Reservations are done manually or online
- 7.2 Provisional Purchase Requisitions are done online or manually
- 7.3 Purchase Requisitions are done online
- 7.4 Local Purchase Order
- 7.5 Request for Quotation
- 7.6 Pro-Forma invoice
- 7.7 Local Order Register
- 7.8 Contract Agreement
- 7.9 Goods Receipt Note
- 7.10 Return Delivery Notes
- 7.11 Quotation Register
- 7.12 Inter-store Transfers
- 7.13 Documentation Cancellation forms
- 7.14 Monthly stock Reports

8. RELATED RISKS AND OPPORTUNITIES


Risk is the single word that determines every contract. Adequate steps for risk mitigation must be taken in all University contracts. Where the tender document so requires, unconditional performance security must be provided by the successful tenderer issued by a reputable bank based in Kenya.

Chief Procurement Officer Shall prepare and maintain a risks register where identified risks should be recorded and monitored. The common contract risks that should be watched are:

- xvii. Incomplete or incorrect specifications.
- xviii. Poor communication.
- xix. Supplier lacking sufficient resources.
- xx. Production problems.
- xxi. Quality problems including technology.
- xxii. Shipment details.
- xxiii. Underestimation of costs by a supplier.
- xxiv. Inflation trends.
- xxv. Unexpected events

Any risks identified shall be isolated and addressed within a reasonable time by the CPO/PIT.

Refer to the Egerton University Risk Management Policy (Doc.....)

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9. AMENDMENT/REVISION HISTORY

No.	Pages/section amended	Details/reasons for the amendment	Approved by (Name and signature)	Date	Effective date
1	NONE	N/A			
2					
3					
4					

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Annex V: Stock Taking Procedure



EGERTON UNIVERSITY

STOCKTAKING PROCEDURE

		Sign	Date
Prepared by:			
Reviewed by:			
Approved by:			

The signatures above certify that these Standard Operating Procedures have been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

DRAFT CONTROLLED DOCUMENT


	Egerton University		
DOCUMENT: Procurement Procedures Manual		TITLE: Stock Taking Procedure	REF: CPO-5-6
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DOCUMENT: Procurement Procedures Manual		TITLE: Stock Taking Procedure REF: CPO-5-6
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1. PURPOSE

To ascertain and confirm the stock levels.

2. SCOPE

This procedure covers from creation of physical inventory document to posting of inventory adjustment or difference after stock take.

3. REFERENCES

- 3.1 Bin Cards
- 3.2 Procurement and Stores Work Instructions

4. DEFINITIONS

- 4.1 FO-Finance Officer
- 4.2 CPO-Chief Procurement Officer
- 4.3 SPO-Senior Procurement Officer
- 4.4 PO- Procurement Officer
- 4.5 Assistant Procurement Officer
- 4.6 IM-Inventory Management

5. RESPONSIBILITY AND AUTHORITY

The Chief Procurement Officer has the principal responsibility for ensuring that this procedure remains adequate for its intended purposes and is being implemented.

6. STOCKTAKING PROCESS

6.1 Objectives


To carry out a physical inventory of stocks and reconcile to Bin cards /ledger cards balances or system balances ERP.

Note: The physical stock-taking is done annually.

6.2 Key Performance Indicators

- 6.2.1 Availability of closing/ opening stock balance report at every end of June stock take
- 6.2.2 Reconciled Bin Cards or system(ERP) and physical stock balances at the closure of every stock take

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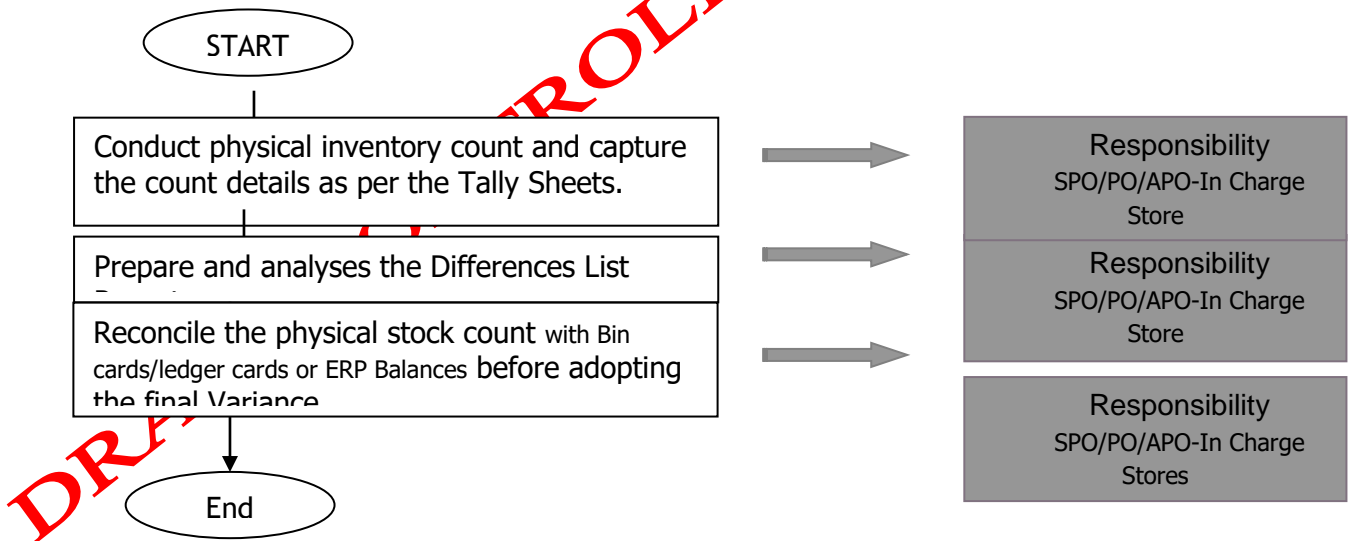
6.3 Resources


- 6.3.1 Personnel
- 6.3.2 Finances
- 6.3.3 Materials
- 6.3.4 Equipment

6.4 Stock-taking process details

STEP	SOURCE OF INPUT	INPUT	ACTIVITY	OUTPUT	RESPONSIBILITY	RECEIVER(S) OUTPUT(S)
	Bin card or ERP IM.	Tally sheets	Conduct physical inventory count and capture the count details as per the Ledger cards and Bin cards	The count	SPO/PO/APO	SPO/PO/APO-In charge stores
		The count	Prepare and analyze the Differences List Report.	Differences List Report.	SPO/PO/APO	CPO
		Differences List Report.	Reconcile the physical stock count with BIN cards/ledger cards or ERP Balances before adopting the final Variance	Variance Report	SPO	FO

6.5 Process flow chart



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7. DOCUMENTED INFORMATION PRODUCED
 - 7.1 Physical Inventory Documents (BIN Cards and Ledger Cards)
 - 7.2 Tally Sheets
 - 7.3 Variance report
 - 7.4 Differences list report

8. RELATED RISKS AND OPPORTUNITIES

Risk is the single word that determines every contract. Adequate steps for risk mitigation must be taken in all University contracts. Where the tender document so requires, unconditional performance security must be provided by the successful tenderer issued by a reputable bank based in Kenya.

Chief Procurement Officer Shall prepare and maintain a risks register where identified risks should be recorded and monitored. The common contract risks that should be watched are:

- i. Shelf Life
- ii. Theft.
- iii. Loss
- iv. Product Damage
- v. Life Cycle.

Any risks identified shall be isolated and addressed within a reasonable time by the APO/PO/SPO/CPO.

Refer to the Egerton University Risk Management Policy (Doc.....)

9. AMENDMENT/REVISION HISTORY

No.	Pages/section amended	Details/reasons of amendment	Approved by (Name and signature)	Date	Effective date
1	N/A	N/A	N/A		
2					
3					
4					

Annex VI: The procurement plan template (Annex vii)

PROCUREMENT PLAN, PERIOD 2022-2023																
No.	Item/Services Description	Unit of Measure	Qty	Method	Source of Fund	Estimated Unit Cost	Estimated Total Cost	Time Process	Invite / Advert	Open Tender	Evaluate Tender	Committee Award Approval	Notification of Award	Contract Signing	Total time to contract Signature	Time for Completion
	HP P2035 CE505A	Pcs	20	RFQ	GOK	8,500	170,000	Q1 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP MFP M225dw - CF 083A Black	Pcs	5	RFQ	GOK	9,000	45,000	Q1 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP LaserJet Color M277dw - 201A Black	Pcs	4	RFQ	GOK	10,000	40,000	Q2 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP LaserJet Color M277dw - 201A Cyan	Pcs	3	RFQ	GOK	10,000	30,000	Q2 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP LaserJet Color M277dw - 201A Yellow	Pcs	3	RFQ	GOK	10,000	30,000	Q2 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP LaserJet Color M277dw - 201A Magenta	Pcs	3	RFQ	GOK	10,000	30,000	Q2 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP Pagewide 477dw Laser Color - 913A Black	Pcs	2	RFQ	GOK	9,500	19,000	Q3 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP Pagewide 477dw Laser Color - 913A Cyan	Pcs	3	RFQ	GOK	9,500	28,500	Q3 Actual Dates	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	HP Pagewide	Pcs	3	RFQ	GOK	9,500	28,500	Q3	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

	477dw Laser Color - 913A Magenta							Actual Dates									
0	HP Pagewide 477dw Laser Color - 913A Yellow	Pcs	3	RFQ	GOK	9,500	28,500	Q3	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
								Actual Dates									
1	Epson LQ 690 Carbon Ribbon	Pcs	10	RFQ	GOK	2,150	21,500	Q3	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
								Actual Dates									
							471,000										
Prepared by: _____		Signature _____				Date _____											
Checked by: _____		Signature _____				Date _____											

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Annex VII: The purchase requisition template



EGERTON UNIVERSITY

GOODS AND SERVICES REQUISITION FORM

Date 11th August 2021

Please Note that the requisition is for internal only and no liability will be accepted by the University if goods and services are required, using it

Approved Estimates	XXXXX
Less Total Expenditure including this entry Kshs	
Balance to Account Kshs	

Please ORDER the following goods/services from M/s _____ of P.O BOX _____

ITEM	QTY	DESCRIPTION	UNIT PRICE	TOTAL(KSHS)
HM047				
HC229				
HM039				
HM040				
HP370				
EN004				
HM043				
EN006				
HC070				
HW122				


TOTAL KSHS **XXXXX**

ESTATES **60-043-007-100-E034**

Examined and passed Examination Section	Signature Head of Department	Department	ACCOUNT NUMBER
-----------------------------------------	------------------------------	------------	----------------

Authorized _____ Authorized _____

This requisition form will not be altered without consultation with the Head of the Department

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DOCUMENT: Procurement Procedures Manual		TITLE: Annual Asset Disposal Plan		REF: CPO-5-6
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Annex VIII: Annual Asset Disposal Plan.

ANNUAL ASSET DISPOSAL PLAN

Financial Year:


Name of the Procuring Entity:

No.	Item Description	Qty	Unit of Issue	Date of purchase	Purchase Price	Estimated current value	Justification for disposal	Item Life span	Ref. No to the asset register	Disposal Method	Cost of managing disposal	Dates for completing key disposal activities
	Disposal Initiation	Bid Documents Prepared	Invitation To Tender/Public Auction	Bid Opening/Registration of Bidders	Accounting Officer Award/Fall of Auction Hammer	Notification of Award/	Contract Signed	Disposal Completed	Notice to PPRA (if Disposal to Employee)			
1.												
2.												

Prepared by: Head of Procurement: Sign Date

Approved by: Accounting Officer: Sign Date.....

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	Egerton University			
DOCUMENT: Procurement Procedures Manual		TITLE: Procurement Thresholds		REF: CPO-5-6
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Annex IX: Procurement Thresholds

THRESHOLD MATRIX
Kenya Subsidiary Legislation, 2020

Procurement Method	The maximum or minimum level of expenditure allowed for the use of a particular procurement method	Segregation of duties for different officers and committees in the procurement cycle under the section 45 of Part V of the Act					
Goods	Works	Services	Person responsible for procurement initiation	Body responsible for the awarding the contract	Person responsible for signing the Contract	Verification of receipt of goods, services or works 150/151 where applicable	
International Open tender (s 89 of the Act)	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. The maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing

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Egerton University

DOCUMENT: Procurement Procedures Manual

TITLE: Procurement Thresholds

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National Open tender (s 96 of the Act)	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
Restricted tender under sec 102(1)(a) of the Act	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing

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	Egerton University	
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846 Kenya Subsidiary Legislation, 2020

Procurement Method	Maximum or minimum level of expenditure allowed for the use of a particular procurement method	Segregation of duties for different officers and committees in the procurement cycle under section 45 of Part V of the Act					
Goods	Works	Services	Person responsible for procurement initiation	Body responsible for the awarding the contract	Person responsible for signing the Contract	Verification of receipt of goods, services or works 150/151 where applicable	
Restricted tender under sec 102(1)(b) of the Act	The Maximum level of expenditure shall be KES. 30,000,000 above this threshold use open tender	The Maximum level of expenditure shall be KES. 30,000,000 above this threshold use open tender	The Maximum level of expenditure shall be KES. 20,000,000 above this threshold use open tender	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
No minimum	No minimum	No minimum					
Restricted tender under 102(1)(c) of the Act	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement.	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
Request for proposals (s 116 of the Act)	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing

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Kenya Subsidiary Legislation, 2020 847

Procurement Method	Maximum or minimum level of expenditure allowed for the use of a particular procurement method	Segregation of duties for different officers and committees in the procurement cycle under section 45 of Part V of the Act					
Goods	Works	Services	Person responsible for procurement initiation	Body responsible for the awarding the contract	Person responsible for signing the Contract	Verification of receipt of goods, services or works 150/151 where applicable	
Direct Procurement under s 103(2) and (3) of the Act	No minimum or maximum expenditure under this method provided the conditions under this section is met	No minimum or maximum expenditure under this method provided the conditions under this section is met	No minimum or maximum expenditure under this method provided the conditions under this section is met	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
Request for quotations(s 105 of the Act)	Maximum level of expenditure under this method is KES. 3,000,000 per request for quotation	Maximum level of expenditure under this method is KES. 5,000,000 per request for quotation	Maximum level of expenditure under this method is KES. 3,000,000 per request for quotation	Head of the User Department in consultation with accounting officer	Accounting Officer or delegated person in writing by the Accounting officer	Accounting Officer or delegated person in writing by the Accounting officer	Accounting officer or his or her appointee in writing
Low value procurement(s 107 of the Act)	Maximum level of expenditure under this method is KES. 50,000 per item per financial year	Maximum level of expenditure under this method is KES. 100,000 per item per financial year	Maximum level of expenditure under this method is KES. 50,000 per item per financial year	Head of the User Department in consultation with accounting officer	A person delegated in writing by the Accounting officer	A person delegated in writing by the Accounting officer	Accounting officer or his or her appointee in writing
There is no minimum expenditure for the use of this method	There is no minimum expenditure for the use of this method	There is no minimum expenditure for the use of this method					
Competitive negotiation. (s.131 of the Act)	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing

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Procurement Method	Maximum or minimum level of expenditure allowed for the use of a particular procurement method	Segregation of duties for different officers and committees in the procurement cycle under section 45 of Part V of the Act					
Goods	Works	Services	Person responsible for procurement initiation	Body responsible for the awarding the contract	Person responsible for signing the Contract	Verification of receipt of goods, services or works 150/151 where applicable	
Electronic reverse auction (s.110 of the Act)	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
Force account (s.109 of the Act)	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement provided the conditions under this section are met.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement provided the conditions under this section are met.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement provided the conditions under this section are met.	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing

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Egerton University

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Two stage tendering (s.99 of the Act)	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement provided the conditions under this section are met.	No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement provided the conditions under this section are met.	met. No minimum. Maximum level of expenditure shall be determined by the funds allocated in the budget for the particular procurement provided the conditions under this section are met.	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
---------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------	--------------------	--------------------	-------------------------------------------------------

Procurement Method	Maximum or minimum level of expenditure allowed for the use of a particular procurement method	Segregation of duties for different officers and committees in the procurement cycle under section 45 of Part V of the Act				
Goods	Works	Services	Person responsible for procurement initiation	Body responsible for the awarding the contract	Person responsible for signing the Contract	Verification of receipt of goods, services or works 150/151 where applicable

DRAFT CONTROLLED DOCUMENT



Egerton University

DOCUMENT: Procurement Procedures Manual	TITLE: Procurement Thresholds	REF: CPO-5-6
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Design competitio (s.100 of the Act)	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
Framework agreement (s.114 of the Act)	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	No minimum or maximum expenditure under this method provided the conditions under this section are met	Head of the User Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing
Community Participation	No Minimum Maximum Kshs 10,000.000.00	No Minimum Maximum Kshs 30,000.000.00	No Minimum Maximum Kshs 5,000.000.00	Head of user Department in consultation with accounting officer	Accounting Officer	Accounting Officer	Accounting officer or his or her appointee in writing

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Annex X: Asset Disposal Procedure



EGERTON UNIVERSITY

ASSET DISPOSAL PROCEDURE

		Sign	Date
Prepared by:			
Reviewed by:			
Approved by:			

The signatures above certify that these Standard Operating Procedures have been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.


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1. PURPOSE:

To dispose of stores, assets and equipment that are unserviceable, obsolescent, obsolete or surplus.

Disposal is a critical element of the stores, equipment and other assets management of the University. When any equipment is obsolete, its keeping, through maintenance costs, storage, parking, insurance, etc., may well exceed the returns that can be derived from that piece of equipment and the investment of additional monies. When stores are perishable, keeping them run risks of misuse, using shelf space unduly and not signalling requirements for what may be life savings products. Disposal is thus one of the element of managing procurement and supply and distribution in the University. It focuses on safeguarding the University assets and on sending information for decision making.

Disposing is thus a function that is necessary to guarantee that public monies are not applied to useless or obsolete equipment and assets and that when stores are disposed of, they are sold at the best achievable value in the market.

It also here clarified that items which are sold by the University or division/department/section within the University in its normal business should not be treated as disposal e.g. sale of Cows by Kenyatta Campus for slaughter by Catering Department or sale of farm produce by Tatton Agricultural Park.

2. SCOPE:


This procedure covers from establishment of the need for disposal to reporting of all proceeds obtained from the disposal.

3. REFERENCES:

- 3.1 Procurement and Stores Work Instructions
- 3.2 Public Procurement and Asset Disposal Act 2015
- 3.3 Public Procurement and Asset Disposal Regulations 2020
- 3.4 Public Procurement Review Authority General Manual
- 3.5 Egerton University Financial Rules and Regulations Manual 2021

4. DEFINITIONS & ACRONYM'S:

- 4.1 VC-Vice Chancellor
- 4.2 FO-Finance Officer
- 4.3 CPO-Chief Procurement Officer
- 4.4 SPO – Senior Procurement Officer
- 4.5 PO – Procurement Officer
- 4.6 PA-Procurement Assistant
- 4.7 DC-Disposal Committee

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5. RESPONSIBILITY AND AUTHORITY:

The Chief Procurement Officer has the principal responsibility for ensuring that this procedure remains adequate for its intended purposes and its being implemented.

The Chief Procurement Officer shall ensure that the university documents the Disposal Cycle.

For each Disposal Method adopted by the Disposal Committee, the Chief Procurement Officer should document:

- i. The initiation of a disposal requirement clearly establishing the need for disposing of the stores, assets or equipment, the justification of the disposal method and the reference to the Disposal Plan;
- ii. The Selection process to account transparently on the compliance to the disposal procedures set forth in the Regulations, notably but not limited to the choice and the enforcement of the appropriate disposal method for selecting the winning candidate securing the best value for money;
- iii. The Contract Award to establish without ambiguity the commitments taken by the Contractor/Buyer and the Procuring Entity to secure efficient and effective disposal;
- iv. The Certification of Completion of the Disposal to ensure the contractor has discharged of its obligations;
- v. The Receipt of Monies as provided in the disposal documents.

6. DISPOSAL PROCESS

6.1 Objective(s):

To undertake disposal of obsolete & unserviceable stores, assets and equipment in order to maintain an up to date inventory register and maintain optimal stoke levels.

Note 1: Disposal is done annually using an annual Disposal Plan which should be prepared for each fiscal year.

6.2 Key Performance Indicators (KPI'S)

- 6.2.1 Idle assets and obsolete stores disposed off.
- 6.2.2 Updating of the ERP Asset Register to Scrap disposed off stocks


6.3 Resources:

- 6.3.1 Personnel
- 6.3.2 Finances
- 6.3.3 Materials
- 6.3.4 Equipment

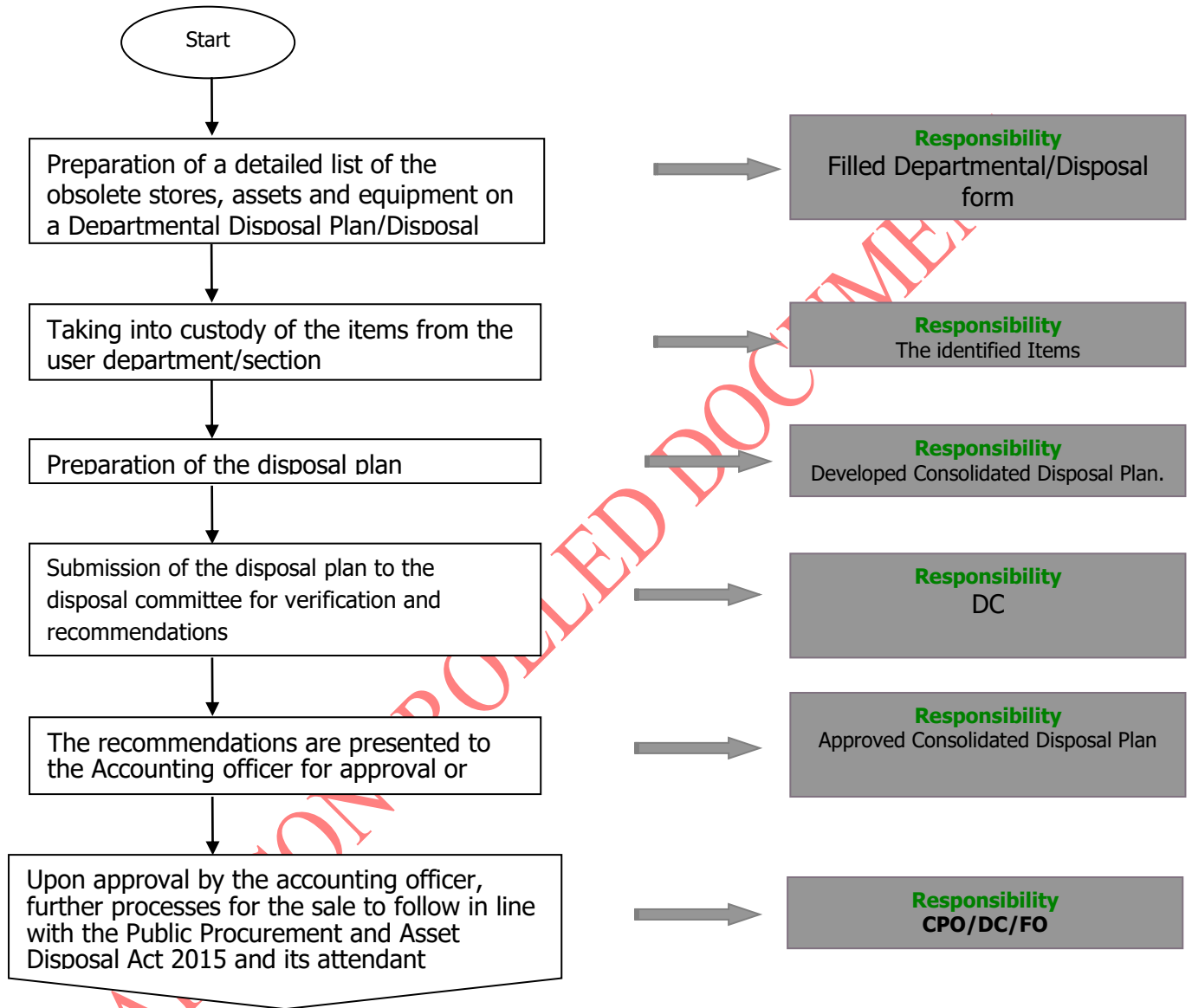



6.4 Process details

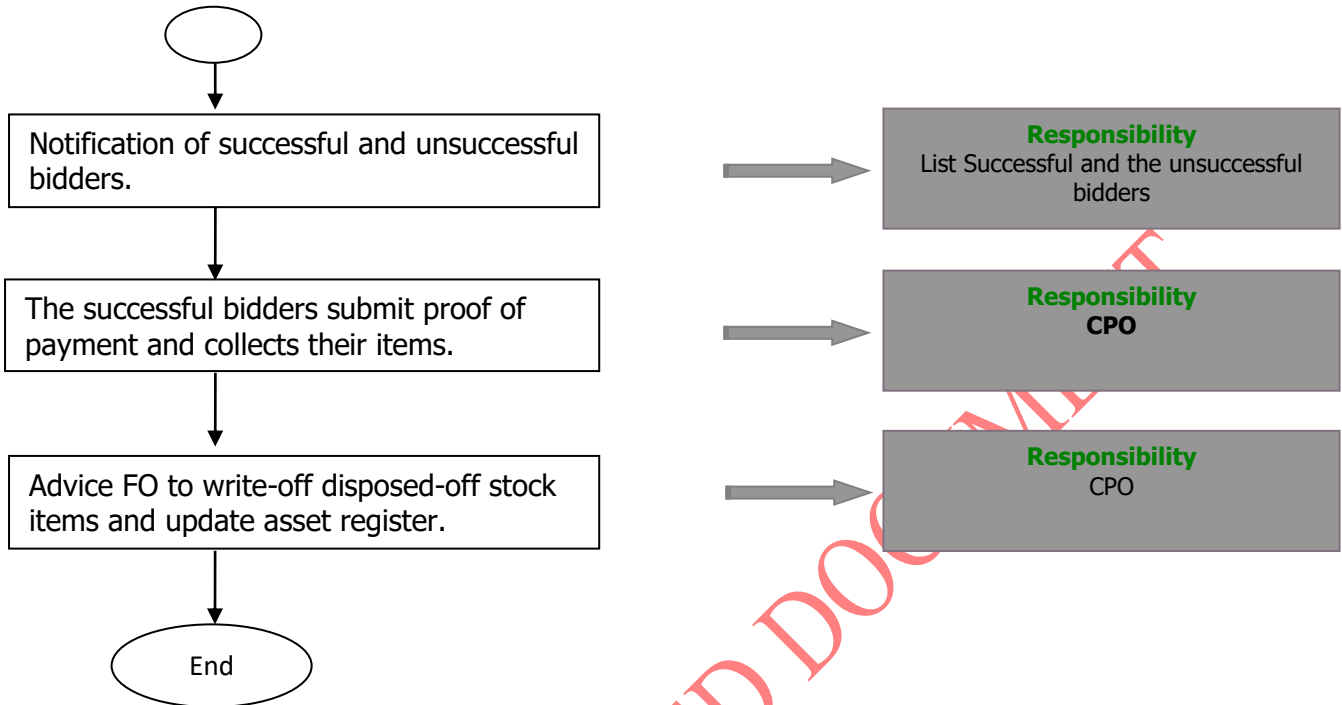
No	INPUT	ACTIVITY	OUTPUT	RESPONSIBILITY
1.	Obsolete items, surplus, obsolete	Preparation of a detailed list of the obsolete stores, assets and equipment on a departmental asset Disposal Plan/Disposal Form	Filled departmental asset Disposal Plan/Disposal Form	User Departments / Sections/Procurement Department
2.	Filled departmental asset Disposal Plan/Disposal form	Taking into custody of the items from the user department/section.	The identified Items	CPO
3.	Filled Disposal request form	Preparation of the Consolidated disposal plan.	Developed Consolidated Disposal Plan.	CPO
4.	Consolidated Disposal plan.	Submission of the consolidated disposal plan to the disposal committee for verification and recommendations.	Approved Disposal Plan	DC
5.	Approved Consolidated Disposal Plan by DC	The recommendations are presented to the Accounting officer for approval or Rejection including the appropriate Disposal Method to be adopted.	Approval/Rejection.	VC
6.	Approval/Rejection.	Upon approval by the accounting officer, further processes for the sale to follow in line with the Public Procurement and Asset Disposal Act 2015. Upon rejection the disposal committee will review the recommendations and submit to the VC	A list of Success and unsuccessful bidders	CPO
7.	A list of Success and unsuccessful bidders	Notification of successful and unsuccessful bidders.	Notification letters	CPO
8.	Notification letters	The successful bidders submits proof of payment and collects their items.	Proof of payment	SPO/PO/PA
9.	Proof of payment	Advice FO to write-off disposed-off stock items and update asset register.	Updated assets Register.	CPO

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6.5 Process Flow Chart



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7. DOCUMENTED INFORMATION PRODUCED

- 7.1 Notification letters
- 7.2 Disposal plan
- 7.3 Disposal request from

8. RELATED RISKS AND OPPORTUNITIES

Risk is the single word that determines every contract. Adequate steps for risk mitigation must be taken in all University contracts. Where the tender document so requires, an unconditional performance security must be provided by the successful tenderer issued by a reputable bank based in Kenya.

Chief Procurement Officer Shall prepare and maintain a risks register where identified risks should be recorded and monitored. The common contract risks that should be watched are:

xxvi. **Obsolescence of store items**

Any risks identified shall be isolated and addressed within a reasonable time by the PA/PO/CPO/DC.

Refer to the Egerton University Risk Management Policy.

8. AMENDMENT/REVISION HISTORY

No.	Pages/section amended	Details/reasons of amendment	Approved by (Name and signature)	Date	Effective date
1	N/A	N/A			
2					
3					
4					

The Committee hereby jointly submits the 1st Draft of the proposed Egerton University Procurement Manual & Procedures to the Vice Chancellor for further guidance.

Name of the committee members

NAME	DEPARTMENT	SIGNATURE
1. Dr. Caroline Mundia	Department of A, F&MS/Chairperson	_____
2. Mr. Charles Wanjohi	Deputy Finance Officer	_____
3. Ms. Anne Wangeci	Audit Department	_____
4. Ms. Janet Bii	Legal Officer	_____
5. Ms. Amina Kemei	Procurement Department	_____
6. Mr. Benard Kipkemoi	Procurement Department/Secretariat	_____