

**Ministry of Education and Science of the Republic of Kazakhstan  
KEJSC "Caspian University of Technology and Engineering named after Sh. Yessenov"**



**Procurement and purchasing policy**

translated from original copy

**APPROVED**  
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**ST UE 018-2022 -QUALITY MANAGEMENT SYSTEM STANDARD**

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ST UE 018-2022 Purchase  
First edition.

- 1 **DEVELOPED AND ENTERED BY** Quality Assurance Office of Yessenov University January 5 , 2022 .
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## 1. GENERAL PROVISIONS

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- 1.1. This "Purchasing" standard was developed in order to prevent (prevent) the purchase of products/services of inadequate quality or high cost, which may lead to unreasonable costs and harm the activities of "Sh. Yesenov Caspian University of Technology and Engineering" (hereinafter referred to as "University"). .
- 1.2. The requirements of this standard **apply to** public procurement of products/services that affect university operations .
- 1.3. All work according to this standard **is controlled by** the purchase manager of the financial department (hereinafter referred to as the purchase manager) .
- 1.4. This standard is mandatory for **the performance** of all university employees involved in the processes of planning, implementation of public procurement, implementation of revenue control of the purchased product/service .
- 1.5. This document is an internal normative document of the university and may not be presented to the Parties other than auditors of certification bodies, as well as to customer-partners (at their request) with the permission of the first head of the university during quality management system inspections.

## 2. REGULATORY REFERENCES

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- 2.1. This standard was developed taking into account the requirements of the following normative documents:
- |                |   |
|----------------|---|
| ISO 9000:2015  | Quality management systems. Basic rules and vocabulary.                         |
| ISO 9001:2015  | Quality management systems. Requirements.                                       |
| ISO 19011:2018 | Management system audit guidelines  |
| VND SMK        | Internal normative documents of the quality management system of the university |
- 2.2. This standard implements the following forms:
- |                  |                                    |
|------------------|------------------------------------|
| F UE 018-01-2022 | Application for a planned purchase |
|------------------|------------------------------------|

## 3. TERMS AND DEFINITIONS

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Purchase	necessary for the provision of services/performance of Works and quality, nomenclature, price, delivery time, etc. b. purchase of products/services that meet the requirements established by
Control compliance requirements	an activity that involves measuring, examining, testing or evaluating one or more characteristics of an object and comparing the results obtained with established requirements: in order to determine whether compliance has been achieved for each of these characteristics.
Material-responsible personality	an employee who assumes responsibility for the preservation of material values entrusted to him on the basis of an appropriate agreement on material responsibility.
Evaluation suppliers	determine the degree of compliance of the suppliers' capabilities with the university's requirements
Certificate compliance	a document issued according to the principles of the certification system to confirm compliance of the product (management system) with the established requirements.

Purchase management	a set of works for selection and evaluation of suppliers, evaluation and verification of purchase quality, and maintenance of necessary documentation for the purpose of timely provision of purchased products and services of appropriate quality within the specified period and at reasonable prices.
A potential supplier	an individual carrying out entrepreneurial activity, a legal entity (except for state institutions, unless otherwise specified by the laws of the Republic of Kazakhstan), a temporary association (consortium) of legal entities applying for the conclusion of a state procurement contract. An individual who is not a subject of entrepreneurial activity may be a potential supplier in the case provided for in subparagraph 5) of paragraph 3 of Article 41 of the Law on State Procurement.
Commission	collegial body established by the organizer of public procurement to perform the procedure of public procurement by comparing bids collegial body established by the organizer of public procurement to perform the procedure of public procurement by comparing bids
Agreement is a contract	a legal document defining the rights and obligations of the parties in the process of providing products and services

#### **4. SIGNS AND ABBREVIATIONS**

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ISO	International Organization for Standardization.
SMG	quality management system of the university
VND SMK	Internal normative documents of QMS
Quality Council	Collegiate body on QMS, working group on QMS for the period of development and implementation of QMS at the university
ST UE	University Standard
University	"Caspian University of Technology and Engineering named after Sh. Yesenov" KEJSC
Purchasing Manager	person responsible for purchasing
Mzht	Materially responsible person

#### **5. PUBLIC PROCUREMENT PLANNING**

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- 5.1. Purchase planning is carried out in the current year for the next year. Collection of requests for purchase from university departments is carried out in the process of forming the development plan and budget of the university. The form of the application for public procurement is determined by the procurement manager.
- 5.2. The formation of purchase requests is carried out by university departments according to the allocated responsibilities (Appendix A).
- 5.3. The formation of purchase expenses for the coming year is carried out by the financial department, and the formation is completed by December 1 of the current year during the approval of the budget.
- 5.6. On the basis of the expenditure estimate approved for the coming year, the procurement manager develops an annual plan for public procurement, dividing the goods, works and services by month according to the relevant items of expenditure, as well as indicating the

method of procurement, within 10 working days after the approval of the budget and confirms.

- 5.7. When it is necessary to make changes (supplements) to the procurement plan, for example, when the amount of state procurement specified in the procurement plan for the corresponding item of expenses for one month increases, the department that initiated the change (supplementation) shall send goods, works and services according to the approved State the designated procurement manager submits an application for inclusion (supplement and change) in the procurement plan.
- 5.8. Any clarification and correction of the plan within the approved budget is carried out by the decision of the President of the University.
6. Organization of public procurement
  - 6.1. The purchasing manager is responsible for organizing purchases. At the same time, the procurement manager is guided by the approved State procurement plan.
  - 6.2. The decision on the method of implementation of public procurement is made only on the basis of the approved or clarified annual plan of public procurement.
  - 6.3. Procurement is carried out in strict accordance with the legislation of the Republic of Kazakhstan on public procurement, public procurement is carried out in accordance with the established Rules.
  - 6.4. Preparation of technical specifications for the goods (service) to be purchased is carried out by the relevant departments of the university (in accordance with Appendix A). Technical specifications are submitted by the Procurement Manager prior to the commencement of the Public Procurement Notice.
  - 6.5. During the development of the technical specifications, the parameters of the Purchased product (service provided) and the supplier, capable of ensuring compliance with the requirements ensuring the appropriate quality, must be established.
  - 6.6. The suppliers conclude contracts on State procurement according to the model form or non-model form in accordance with the legislation of the Republic of Kazakhstan on State procurement with the procurement manager chosen based on the results of the state procurement.
7. Conclusion of a contract on state procurement
  - 7.1. The Procurement Manager is responsible for overseeing government procurement contracts with suppliers. Drafting of the contract includes formalization of all necessary annexes (specifications, calculations, estimates, calculations, schedules of works, etc.) provided for in the contract.
  - 7.2. The draft of the contract is formed by the web portal.
  - 7.3. The draft contract is recommended for agreement with all annexes attached to the contract (related to the contract to be concluded or referred to in the contract to be concluded) and other materials of significant importance for the contract to be concluded. It is not allowed to agree on the draft contract without submitting the materials and documentation specified in this clause.
  - 7.4. The scope of the departments with which the draft contract should be agreed depends on the content of the contract and is determined by the university management. Officials with whom the contract on public procurement should be agreed shall be entered by the procurement manager in the agreed form.
  - 7.5. As a rule, the following are included in the list of officials who carry out contractual agreements:
    - department heads - initiators of contracts;
    - vice presidents of the university;

- Chief accountant;
  - Purchasing Manager;
  - Purchasing specialist;
  - head of the department responsible for legal work
- 7.7. The contract draft will be reviewed (agreed) by all contracting parties within 3 (three) working days after the selection of the supplier.
- 7.8. After agreement, the draft of the contract is given to the person authorized to sign the contract for signature.
- 7.9. The Agreement and its annexes are signed by the authorized person specified in the preamble of the Agreement. It is not allowed to sign the contract and its annexes by a person other than what is specified in the preamble of the contract.
- 7.10. After the university approves the draft contract, it is registered on the state procurement portal and sent to the counterparty for signature.
- 7.11. The original copy of the formalized Agreement is in the purchasing manager, who transfers the copies of the Agreement to the concerned departments.
- 7.12. Monitoring of the fulfillment of obligations under contracts is controlled by the initiators of the respective contracts and the officials who supervise them.

## **8. ACCEPTANCE OF PURCHASED PRODUCT**

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- 8.1. The department of the procurement initiator, in agreement with the supplier, sets the time of arrival of the supplier and organizes the incoming control of the product upon receipt of the goods (see the next section of the Standard).
- 8.2. The person materially responsible for the delivery shall receive the product from the supplier in accordance with the accompanying documentation of the supplier: the act, bill of lading, electronic invoice issued by the financial department of the university in the prescribed manner.
- 8.3. Unloading the product from the vehicle is carried out in accordance with the provisions of the contract for the purchased product or using the technical means of loading and unloading operations or manually according to the conditions discussed in advance with the supplier.
- 8.4. The person responsible for the material will submit the documentation accompanying the goods to the financial department of the university.
- 8.5. Documentation of the transfer of the purchased product to the ownership of the University is carried out according to the established forms of accounting.
- 8.6. In the technical documentation for the purchased product/service:  
documents indicating the name, type, class, grade or other technical identification;
- product characteristics, packaging, labeling requirements; documents showing the names, numbers and dates of regulatory documents;
  - documents confirming the compliance of the product with established requirements and other technical data, including product certification;
  - presentation of other types of documents provided for in the purchase contract.

## **9. INCOME CONTROL OF PURCHASED PRODUCT**

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- 9.1. If necessary, the inspection (input control) of products received by the university is carried out by the permanent commission on input control, appointed by the order of the President of the university, with the involvement of employees at the Int-resa where the purchase was made (on request).

- 9.2. The organization of income control is entrusted to the materially responsible person and the purchasing initiator - department.
- 9.3. The incoming control of the product consists of matching the accompanying documentation with the requirements set for the product, as well as checking:
- the integrity of packaging, containers (if applicable);
  - matches in appearance (if applicable);
  - matches in number and configuration;
  - expiration date.
- 9.4. Product introduction control at the university begins with the inspection and study of accompanying documents (certificates of conformity, passports, operating documentation) confirming its quality.
- 9.5. If necessary, for example, when purchasing capital equipment, an incoming control procedure can be carried out at the supplier's enterprise. This should be specified in the relevant purchase agreement.
- 9.6. The competent employees of the university are involved in the inspection of the equipment.
- 9.7. If the University does not have the necessary experts to inspect the equipment, the University may use the assistance of a third-party expert.
- 9.8. In case of receiving negative results during income control, the materially responsible person:
- registers the non-conformity (Article 021 of the UE "Management of non-conformities, corrective actions") and makes a certificate for the product that has not passed the input control in 2 copies (according to the forms established by the university), conveys the information to the university management through a service note.
  - according to the method agreed with the purchasing manager, the supplier is informed about the detected non-conformity by a letter with an EC-sample of the act attached to the product that did not pass the input control.
  - If used, the material responsible specialist will mark the product by hanging a label with the word "defect" and place it in a specially identified, fenced area (defect isolator) to store the product that has not passed the incoming inspection.
- 9.9. Products in Marriage Insulator include:
- re-inspection with the presence of the supplier;
  - use for other purposes;
  - return to supplier;
  - Delete.
- 9.10. The decision on further action regarding non-conforming product is made by the head of the university.

## **10. STORAGE**

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- 10.1. Storage of the purchased product can be carried out:
- in places of use ;
  - specially designated areas, including warehouses.
- 10.2. Storage of purchased products at the university is organized in appropriate warehouses in accordance with the requirements for storage premises (MEMST, KNzhE, etc.).

- 10.3. The materially responsible person is responsible for the condition of warehouse premises, labeling, observance of expiration dates and proper storage of materials, equipment and aggregated products.

## **11. ACCEPTANCE OF SERVICES PERFORMED**

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- 11.1. Acceptance of the performed services is carried out by the representatives of the concerned department.
- 11.2. The authorized representative of the concerned department shall conduct the necessary inspection of the provided services, including:
- documentary verification (records, certificates, etc.)
  - compliance of the volume and terms of works with the contractual requirements;
  - demonstrate the conformity of the provided services of the supplier
- 11.3. Accepted services are justified according to the established procedure.
- 11.4. If the service is not accepted, an Act on non-conforming service is drawn up (in the most appropriate form, detailing all non-conformities in the work performed by the service provider), which is submitted to the first head of the university for decision.

## **12. PROCESS EFFICIENCY CRITERIA**

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- 12.1. The performance criteria of this QMS process are:
- Absence of violations of the requirements of the Law on State Procurement;
  - lack of facts of purchase of non-conforming products in the case of not properly defining technical specifications - requirements for a potential supplier;
  - absence of facts of development of technical specifications for the purchased product/service without taking into account the legislative and regulatory requirements for the product;
  - lack of receipt of products that do not meet the established requirements;
  - failure to timely conduct activities on development, agreement and approval of the purchase plan;
  - the presence of signatures of agreement to all concluded contracts;
  - existence of records confirming the registration of contracts;
  - absence of facts of loss of original contracts;
  - lack of facts of non-delivery to the executors of the terms;
  - absence of violations of the requirements of this standard during the audit of the quality management system.
- 12.2. Verification of the effectiveness of this standard by the university is carried out during the evaluation of the effectiveness of the process during the analysis by the management (UE 010 "management analysis") and during the internal audits of the quality management system in accordance with the article UE 020 "internal audits".
- 12.3. Non-compliance with the requirements of this standard is considered as non-conformities, and corrective actions are taken according to Article UE 021 "management of non-conformities, corrective actions".

**A. ALLOCATION OF ACQUISITION RESPONSIBILITIES**

No . p/ p	Types of products/services defined as responsibility for forming a purchase order, defining technical specifications, accepting and monitoring purchased products/services	Responsible department (official)
1	2	3
1	Testing services of measuring instruments; purchase of measuring instruments.	Management of operational activities
2	Vehicles, car maintenance, repair services (accumulator and spare parts, consumables), EMS	Management of operational activities
3	Design and research works, design and construction services, Building materials, Construction and assembly works	Management of operational activities
4	Legal services, notary services, etc. b.	Leading lawyer
5	Typographical equipment, typographical services (collective and spare parts, consumables)	Marketing and Communications Department
6	Telecommunication equipment, telecommunication services, communication tools (collectors and spare parts, consumables)	Department of Information Technologies
7	Security equipment and systems, security services (collector and spare parts)	Environmental Management Center
8	Personal protective equipment, fire-fighting equipment and systems (collective and spare parts, consumables)	Management of operational activities
9	Furniture, equipment and accessories for the collection of office premises and offices of employees	Management of operational activities
10	Computer, reproduction equipment (collector and spare parts, consumables)	Department of Information Technologies
11	Washing and disinfecting means, Hygienic means, etc. b. household chemical products, collection tools	Management of operational activities
12	Special clothing (personnel uniform), personal protective equipment	Management of operational activities
13	Office supplies and other household goods	Management of operational activities
15	Drinking water, food, etc. for daily needs and for conferences, meetings, negotiations. b	Management of operational activities
16	Information, media services	Department of Information Technologies
17	Consulting and certification services, services	Office quality assurance
18	Electrical equipment (assembly and spare parts, consumables)	Department of Information Technologies

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19	Plumbing equipment (collector and spare parts, consumables)	Management of operational activities
20	Vocational training (qualification improvement) services of employees	Institute of Continuing Education

Entrances		Exit	
Suppliers	What is delivered	Customers	What is consumed
Divisions	Purchase orders	Divisions	Goods, services
Foreign enterprises	Products, services	Foreign enterprises	Payment for products and services

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Position	YES	Date	Signature
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