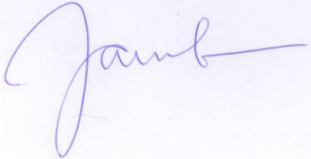



# The Catholic University of Eastern Africa

TITLE	AUTHOR
<b>PROCEDURE FOR PRE-QUALIFICATION OF SUPPLIERS CUEA/DVC ADM/PRC/04</b>	<b>SUPPLY CHAIN OFFICER</b>
	NO. OF APPENDICES:
	<b>FOUR (4) 7.1 – 7.4</b>
<b>AUTHORIZATION</b> This Standard Operating Procedure is issued under the authority of:	
TITLE	<b>DEPUTY VICE CHANCELLOR ADMINISTRATION, FINANCE AND PLANNING</b>
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<b>NOTE:</b> 1. Write amendments on the page provided (Clause 0.2) 2. Controlled copies of this document will be in the Supply Chain Office's and the Deputy Vice Chancellor's Administration, Finance and Planning Office.	

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## 0. CONTENTS AND RECORD OF CHANGES

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### 0.2 Record of Changes

No.	Date	Details of Changes		Authorization
	<i>(dd-mm-yy)</i>	<i>Page</i>	<i>Clause/subclause</i>	<i>Title</i>
1.	10-12-2018	All	Complete review of procedure	SCO


### 0.3 Distribution / Circulation

This standard operating procedure is available at relevant functions for authorized users.

## 1.0 PURPOSE

To give guidelines on how the pre-qualification of suppliers' process is carried out to ensure the University obtains reliable and credible supplier base.

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## 2.0 SCOPE

The procedure applies to the process of pre-qualification of suppliers carried out within The Catholic University of Eastern Africa.

## 3.0 REFERENCES

- 3.1 CUEA Quality Management Manual
- 3.2 CUEA Procurement Policies and Procedures Manual, Draft

## 4.0 DEFINITION OF TERMS


### 4.1 Abbreviations

- CUEA - The Catholic University of Eastern Africa
- DVC AFP - Deputy Vice Chancellor Administration, Finance and Planning
- SCO - Supply Chain Officer

### 4.2 Definition of Terms

- 4.2.2 *Candidate*: A potential supplier who is invited to take part in the University's procurement pre-qualification process.
- 4.2.5 *Goods*: Means raw materials, products, equipment and commodities in solid, liquid or gaseous form and electricity as well as installation, transport maintenance or similar obligations related to the supply of the goods.
- 4.2.6 *Pre-qualifications*: Means the procedure of identifying qualified persons/individuals or contractors for consideration to participate in tenders and/ or quotations.
- 4.2.7 *Procurement*: Means the purchasing, hiring or obtaining by any other contractual means of goods, works and services.
- 4.2.8 *Procurement cycle*: Means the process that begins with initiation of an individual requirement to when goods or services have been delivered and accepted.
- 4.2.9 *Services*: Any object of procurement other than works and goods.

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4.2.10 *Standard*: A characteristic or set of characteristics for an item which for reasons of quality level or compatibility with other products is generally accepted by the manufacturers and users of that item as a required characteristic for all items of that type.

4.2.11 *Supplier*: A person under contract with the University to supply goods, works or services.

4.2.12 *Tender*: An offer in writing by a tenderer to supply at a price goods, services or works pursuant to an invitation to tender by the University.

4.2.13 *Tenderer*: Means a person submitting a tender.

4.2.14 *Tender Document*: The document provided by the University to tenderers as a basis for preparation of their tenders/bids.

4.2.15 *Tender Opening Date*: A date and time designated by the University for the opening of tenders.

4.2.16 *User Department*: Means the Department, which initiates procuring proceedings.

4.2.17 *Works*: All work associated with the construction, reconstruction, demolition, repair or renovation of roads, bridges, dams, buildings or structures; installation of equipment, materials and decorations as well as services incidental to works.

## 5.0 PRINCIPAL RESPONSIBILITIES


The Supply Chain Officer has the full responsibility to ensure that this procedure is adhered to effectively.

## 6.0 METHOD

6.1 The SCO consolidates categories of items / services needed for use by the University in the next financial year by the last quarter of the preceding financial year.


6.2 The SCO shall present the list of categorized items to the Procurement Committee for approval:

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- 6.2.1 If approved, the SCO shall prepare a prequalification advertisement to appear in the local newspaper(s). The advertisement is valid for at least 21 working days; or
- 6.2.2 If not approved, it shall be referred back to the SCO with comments / advice.
- 6.3 The Procurement Committee shall open the prequalification documents immediately after the closing date.
- 6.4 The SCO shall sort the opened prequalification documents and present them to the procurement committee for evaluation.
- 6.5 The Procurement Committee shall carry out an evaluation exercise to identify and select suitable suppliers and service providers using the Criteria for Selection of New Suppliers (CUEA/DVC AFP/PRC/04/L 01).
- 6.6 The Committee shall determine the total number of points / marks for each criteria (clause 6.5) and award marks accordingly.
- 6.7 The Committee shall determine the cut off points / marks in each category as per criteria used in 6.5 and decide / select the suppliers accordingly. Minutes of the Procurement Committee during the evaluation and selection of suppliers shall be comprehensively documented and maintained.
- 6.8 The SCO shall prepare letters of both successful and unsuccessful suppliers as per the results of clause 6.7 above and forward it to the DVC AFP to notify the suppliers. The SCO shall prepare a Suppliers' Register of the successful list of tenderers (suppliers).
- 6.9 Suppliers who have applied to become part of CUEA suppliers but did not take part in the prequalification of suppliers or they are not in the Suppliers Register, shall be evaluated as per the criteria in clause 6.5 and the Procedure of Prequalification of Suppliers (CUEA/DVC AFP/PRC/04) shall be followed.

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## 7.0 APPENDICES

### 7.1 CONTEXT


#### 7.1.1 External / Internal Factors

(a)	External Factors	Identified Risk / Opportunity
(i)	Number of suppliers participating	Non-responsiveness to tender
(ii)	Statutory requirements	Non-conformance to government regulations
(iii)		
(b)	Internal Factors	Identified Risk / Opportunity
(i)	Availability of funds to advertise	No tendering
(ii)	Personnel to evaluate the tender bids	Bids not evaluated properly.
(iii)		

#### 7.1.2 Relevant Interested Parties

Party	Needs and Expectations
(i) Potential bidders	To be pre-qualified
(ii) User departments	Reliable and capable suppliers
(iii) Relevant stakeholders	Reliable and capable suppliers


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## 7.2 RISK ANALYSIS AND CONTROL

No	Risk	Cause	Risk Assessment			Risk Level	Control / Treatment
			Likelihood	Impact	Likelihood / Impact		
1	Non responsiveness of tender	Very few service providers	2	1	2	Low	
2	Non conformance to gvt reg	Suppliers not registered	2	2	4	Medium	
3	No tendering	Unavailability of funds	2	3	6	Medium	
4	Bids not evaluated properly	Inadequate personnel	2	3	6	Medium	

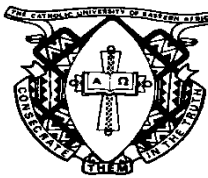
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### 7.3 REQUIRED ORGANIZATIONAL KNOWLEDGE

- (a) Trained supply chain personnel
- (b) Knowledge of user requirements
- (c) Knowledge of existing market forces.

### 7.4 CRITERIA FOR SELECTION OF NEW SUPPLIERS



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### CRITERIA FOR SELECTION OF NEW SUPPLIERS

The following is the Criteria (Parameters) to be used by the Procurement Committee to select New Suppliers:

- (a) Legal Registration
- (b) Financial Stability
- (c) Experience
- (d) List of Clientele

**CUEA/DVC AFP/PRC/04/L 01**

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