

K. Zhubanov Aktobe Regional University

Approved
Acting Chairman of the Board – Rector
Non-Profit Joint-Stock Company
“K. Zhubanov Aktobe Regional University”
_____ **Beknazarov R.A.**

RULES FOR CONDUCTING PROCUREMENT PROCEDURES
WITHIN THE FRAMEWORK OF PROJECTS IMPLEMENTED UNDER
GRANT AND PROGRAM-TARGETED FUNDING PROGRAMS

Aktobe, 2025

DEVELOPED AND SUBMITTED ON “__” _____ 2025

Director of the Department of Science and Innovation _____ Z.T.
Nugaeva

APPROVED AND PUT INTO EFFECT

By the Chairman of the Board — Rector of K. Zhubanov Aktobe Regional
University

based on the decision of the Board (Minutes No. __ dated “__” _____ 2025)

2. VALID UNTIL REPLACED BY A NEW VERSION

1. GENERAL PROVISIONS

1.1 These Rules establish the procedures and requirements for organizing procurement within the framework of projects implemented under Grant and Program-Targeted Funding Programs (hereinafter — the Rules) at the Non-Profit Joint-Stock Company “K. Zhubanov Aktobe Regional University” (hereinafter — the University).

1.2 These Rules for organizing procurement within the framework of projects implemented under Grant and Program-Targeted Funding Programs have been developed in accordance with Order No. 538 of the Minister of Science and Higher Education of the Republic of Kazakhstan dated November 26, 2024, the Charter, and internal documents of the University.

In accordance with Article 4, Paragraph 2 of the Law of the Republic of Kazakhstan “On Science and Technological Policy” dated July 1, 2024, No. 103-VIII ZRK, the provisions of the legislation of the Republic of Kazakhstan establishing requirements for procurement procedures, including public procurement, do not apply to legal relations governed by this Law in terms of conducting scientific research funded by grant and program-targeted financing, financing of scientific organizations conducting fundamental scientific research, and grants for the commercialization of the results of scientific and/or scientific-technical activities.

1.3 The requirements of these Rules are mandatory and apply exclusively to the procurement of goods within the framework of projects implemented under Grant and Program-Targeted Funding Programs.

1.4 The procurement of goods, works, and services is based on the following principles:

1. openness and transparency of the procurement process;
2. optimal and efficient use of funds allocated for procurement;
3. acquisition of high-quality goods, works, and services;
4. equal opportunities for all potential suppliers to participate in the procurement process;
5. fair competition among potential suppliers;
6. control and accountability for decisions made;
7. minimization of intermediaries' participation in the procurement process;
8. effective implementation of investment and strategic projects.

The following terms are used in these Rules:

1. potential supplier — a natural person engaged in entrepreneurial activity, a legal entity (except for state institutions, unless otherwise provided by the laws of the Republic of Kazakhstan), a temporary association of legal entities (consortium), as well as a natural person not engaged in entrepreneurial activity, applying for the conclusion of a procurement contract;
2. research work — work related to scientific inquiry, research, and experimentation aimed at expanding existing knowledge and obtaining new knowledge, testing scientific hypotheses, identifying patterns of development in nature and society, conducting scientific generalization, and providing scientific justification for projects;
3. scientific research — applied, fundamental, and strategic scientific studies carried out by entities engaged in scientific and/or scientific-technical activities within the framework of research, experimental design, and technological work, using appropriate scientific methods and tools to achieve results in scientific and/or scientific-technical activities;
4. scientific infrastructure — scientific laboratory and engineering equipment, pilot industrial production facilities, unique installations, as well as other movable and immovable property intended for conducting scientific and/or scientific-technical activities;
5. scientific activity — activity aimed at studying the surrounding reality in order to identify the properties, characteristics, and patterns inherent in the studied objects and phenomena (processes), and at applying the acquired knowledge in practice;

6. authorized body in the field of science (hereinafter — the Authorized Body) — a state body that performs intersectoral coordination and management in the field of science and scientific-technical activities.
7. Specification — technical and functional requirements for potential suppliers, including the submission of documents confirming that the supplied goods, works, and services comply with requirements established by technical regulations, standards, or other documents in accordance with the legislation of the Republic of Kazakhstan.
8. E-lab — a module of the Unified Information System of Science of Kazakhstan, designed for accounting and analyzing the material and technical base intended to support scientific activities in research institutes and institutions of higher and/or postgraduate education.
9. Organization of higher and/or postgraduate education (hereinafter — OHPE) — a higher education institution that implements higher and/or postgraduate educational programs and conducts research activities.
10. State order — an order issued by the authorized body and/or sectoral authorized bodies to an entity engaged in scientific and/or scientific-technical activities, based on a contract for performing research work funded from the state budget through grant and program-targeted financing, financing of scientific organizations conducting fundamental research, financing scientific and technical support, and commercialization of the results of scientific and/or scientific-technical activities.
11. procurement contract — a civil law contract (official agreement) concluded between the customer and the supplier, defining the terms of supply of goods, works, and services necessary for the execution of scientific research and scientific work funded from the state budget;
12. procurement — the process by which research institutes and institutions of higher and/or postgraduate education acquire goods, works, and services necessary for the execution of scientific research and scientific work funded from the state budget for the respective financial year;
13. procurement commission — a collegial body established by the customer to review the technical assignment and/or technical specification of the procured goods, works, and services, and to prepare an expert opinion on the compliance of potential suppliers' proposals with the technical specification of the procured goods (equipment), works, and services, as well as the feasibility of acquiring the goods based on E-lab data analysis, evaluation of potential suppliers' proposals, and decision-making regarding the selection of a potential supplier. The commission operates for the entire duration of the state order contract;
14. procurement entities — the potential supplier, supplier, customer, involved experts, the responsible person of the organizational unit conducting the procurement, and the procurement commission.
15. customer — research institutes and/or institutions of higher and/or postgraduate education applying to carry out scientific research and scientific work funded from the state budget.

1.5 The main objectives of procurement are:

1. to improve the quality of scientific research by providing the University with high-quality goods and services necessary for conducting scientific research;
2. to ensure the efficient use of budgetary funds by enabling economically justified expenditure in the procurement of goods, works, and services;
3. to promote competition by creating conditions for fair and honest competition among potential suppliers, which contributes to improving the quality of goods, services, and works and reducing their cost;
4. to ensure transparency and openness of procurement by establishing clear and transparent procurement procedures to prevent corruption risks and abuse.

2. REQUIREMENTS FOR SUPPLIERS

- 2.1 Potential suppliers must be registered as a legal entity or as an individual entrepreneur.
- 2.2 The registration period of potential suppliers must be at least 1 (one) year.
- 2.3 The supplier's activities must correspond to the OKED (General Classifier of Types of Economic Activity).
- 2.4 Potential suppliers and suppliers must not be listed in the register of unscrupulous participants in public procurement.
- 2.5 Potential suppliers must not be affiliated companies of individuals who can influence decisions or give approval or refusal for the conclusion of contracts.

3. PROCEDURES FOR ORGANIZING AND CONDUCTING PROCUREMENT

- 3.1 The University appoints a responsible person to carry out the procedures for organizing and conducting procurement.
- 3.2 To organize procurement and make decisions on the selection of a potential supplier, a Procurement Commission (hereinafter — the Commission) is established, and a Secretary of the Commission is appointed.
- 3.3 The composition of the Commission is approved by the decision of the Chairman of the Board — Rector of the University. The Commission consists of an odd number of members and includes:
 - 1. Vice-Rector for Science and Innovation — Chair of the Commission;
 - 2. Director of the Department of Accounting and Reporting;
 - 3. Head of the Office of State Procurement and Material-Technical Support;
 - 4. Director of the Department of Science and Innovation — Deputy Chair of the Commission;
 - 5. Director of the Legal Department;
 - 6. Chief Economist of the Department of Economic Planning;
 - 7. Invited experts, as agreed.

The scientific supervisor of the project or program within the framework of grant and program-targeted funding, or their deputy, participates in the meetings of the Commission as an invited member without the right to vote.

The Secretary of the Commission, an employee of the Department of Science and Innovation, ensures the organizational activities of the Commission, is not a member of the Commission, and has no voting rights in decision-making. A representative of the University Compliance Office participates as an observer in the work of the Commission.

The convocation of the Commission meeting, indicating the date and time of the meeting and ensuring a quorum, is carried out by the Secretary of the Commission by notifying each member via email or other means of communication, including messaging services.

- 3.4 In the first year of project or program implementation, the scientific supervisor and/or the responsible executor, after coordinating actions with the Chief Economist of the Department of Economic Planning, prepares information on upcoming procurement of goods with the full technical specification attached. This information is prepared within one month from the date of the contract for the execution of the project or program, in order to include it in the procurement plan for the current calendar year within the approved budget. After preparation, the information is forwarded to the Department of Science and Innovation for subsequent posting on the official website of the customer organization for projects and/or programs implemented under grant and program-targeted funding.

In the following years of project or program implementation, the scientific supervisor and/or the responsible executor, also in coordination with the Chief Economist of the Department of Economic Planning, prepares information on the procurement of goods for the next calendar year. This information must be submitted no later than September 30 of the current

year to be included in the upcoming procurement plan and is forwarded to the Department of Science and Innovation for posting on the official website of the customer organization.

The Department of Science and Innovation, within 5 working days from the date of approval of the annual (preliminary annual) procurement plan, posts information on the procured goods on the official website of the customer organization, including the timelines for their acquisition.

3.5 Information on upcoming procurement of goods includes:

1. a list of goods planned for procurement for scientific research in the current year under the execution of the state order, indicating their specifications;
2. the estimated cost;
3. justification for the necessity of procuring the equipment, specifying the manufacturer from the E-lab list;
4. information on warranty and post-warranty service;
5. the planned timeline for concluding the procurement contract;
6. contact information of responsible staff in charge of the procurement;
7. payment terms.

The prepared information on upcoming procurements must be approved by the Chairman of the Board — Rector of the University or a Board Member — Vice-Rector for Science and Innovation.

3.6 Potential suppliers who meet the requirements specified in Clause 2 of these Rules shall submit their price proposal to the designated email address, along with a draft contract containing a detailed description of the goods, a copy of the certificate of registration as a legal entity or a license/certificate confirming the commencement of activity as an individual entrepreneur, as well as full banking and legal details, within the deadlines established by the University.

3.7 The list of goods and their specifications must correspond to the list and specifications indicated in the application for participation in the Grant or Program-Targeted Funding competition, or as specified in the approved and adjusted budget request of the project or program.

3.8 In the case of procuring services related to the following expenses, their acquisition does not require review by the Procurement Commission:

- scientific and organizational support (expenses for publications, patenting, and acquisition of analytical materials);
- other services related to organizational fees for participation in conferences, seminars, and symposia;
- provision of services under a concluded consortium contract for the performance of research work submitted to the relevant competition.

In this case, procurement documents are submitted by the scientific supervisors or responsible persons of the project or program to the structural unit of the customer (the responsible person) tasked with carrying out the procurement. The contract with the selected supplier is prepared by the Legal Department and signed by authorized persons.

3.9 The Head of the Office of State Procurement and Material-Technical Support of the University, or a person authorized by the Rector to carry out procurement on behalf of the University, or the Director of the Department of Science and Innovation, provides the Secretary of the Commission with commercial proposals or price lists along with a draft contract for the procured goods, works, or services.

3.10 The Commission, in accordance with these Rules, reviews the submitted commercial proposals or price lists (at least three) for procurement to ensure compliance with the specifications, delivery timelines, the reputation of the potential supplier, adherence to legal and regulatory requirements, and payment terms. In cases where the cost of equipment exceeds ten thousand times the monthly calculation index, the Commission also verifies the absence of the equipment in E-lab.

3.11 The Commission considers the price proposals (competitive price proposals) or commercial proposals (price lists) for the procurement of goods, works, and services and makes a decision provided a quorum is present, which must constitute at least two-thirds of the total number of its members.

If fewer than three commercial proposals or price lists are submitted for the procurement of goods or works, the Commission declares the procurement invalid. A repeat procurement must be conducted within one calendar month.

3.12 If the procurement is again declared invalid due to the submission of fewer than two commercial proposals or price lists for the procured goods, works, or services, or due to a potential supplier's refusal to conclude the procurement contract, the customer shall carry out the procurement by selecting a supplier chosen by the Commission, taking into account compliance with the specifications, price and cost, delivery timelines, the reputation of the potential supplier, adherence to legal and regulatory requirements, and payment terms.

3.13 Three working days before the start of the Commission meeting, the Secretary of the Commission submits the procurement documents for review by the members of the Commission.

3.14 The Secretary notifies the Commission members of the date, time, and place of the meeting, providing them sufficient time to review the materials.

3.15 Based on the review and discussion of the submitted procurement documents (with attached proposals — competitive price proposals or commercial proposals/price lists — and the draft contract), the Commission, through the Secretary, makes a decision by open voting, with a simple majority of votes from the members present, and the decision is announced by the Chair within one working day from the submission of the procurement materials.

The decision is considered adopted if it receives a majority of votes from the total number of Commission members. The Secretary of the Commission records the voting results in the minutes of the meeting, which are prepared within five working days.

If there are two or more winners with equal evaluations among several potential suppliers, the winner shall be the supplier who submitted their competitive price proposal or commercial proposal (price list) first.

The minutes also record all expressed opinions, dissenting opinions (if any), and other important remarks.

3.16 When reviewing commercial proposals or price lists for procurement, the Commission uses the method of requesting price proposals. In the event of a tie in votes, the vote of the Chair of the Commission (or, in their absence, the Deputy Chair) shall be decisive.

3.17 The Commission's decision is formalized in the minutes of the Commission meeting. The minutes of the meeting are signed by the members of the Commission.

Based on the evaluation and comparison of competitive price proposals from potential suppliers, the Commission prepares the minutes summarizing the results of the procurement of goods, works, and services, which is signed by all members present at the meeting, as well as the Secretary of the Commission.

A copy of the minutes summarizing the results of the procurement of goods, works, and services shall be provided by the customer, upon request of any potential supplier who submitted a commercial proposal, within three working days after the conclusion of the procurement by competition.

3.18 If a member of the Procurement Commission does not sign the relevant minutes, the Secretary of the Commission shall prepare a document indicating the reason for the absence of the signature.

If a member of the Commission is unable to participate in a meeting, they must notify the Secretary of the Commission in writing, providing the reason for their absence and, if necessary, submit supporting documents (e.g., order, certificate, temporary disability sheet, or written explanation).

3.19 All Commission meetings reviewing the procurement of goods, works, and services shall be documented in minutes and additionally recorded on video. The video archive of the

meetings is stored together with the minutes in accordance with the internal regulatory acts of the customer organization.

5. PROCEDURES FOR ORGANIZING AND CONDUCTING PROCUREMENT OF EQUIPMENT AND MATERIALS, THE COST OF WHICH EXCEEDS TEN THOUSAND TIMES THE MONTHLY CALCULATION INDEX

4.1 If the cost of equipment exceeds ten thousand times the monthly calculation index, the procurement of equipment shall be conducted using E-lab.

In this case, the Commission, after reviewing the price proposals (competitive price proposals) or commercial proposals (price lists), makes a decision on the procurement of equipment based on:

1. compliance with the specifications;
2. price and cost;
3. delivery timelines;
4. reputation of the potential supplier;
5. compliance with legal and regulatory requirements;
6. payment terms;
7. availability of the equipment in E-lab.

4.2 Procurement of equipment costing more than ten thousand times the monthly calculation index is carried out using the method of requesting price proposals (competitive price proposals) based on the cost information for similar equipment available in E-lab.

For the acquisition of equipment exceeding ten thousand times the monthly calculation index, the Customer uses the method of collecting price proposals (competitive price proposals) through E-lab to ensure the lowest possible price for the equipment while maintaining the specified characteristics and ensuring transparency of the procurement process.

4.3 The cost of equipment being procured that exceeds ten thousand times the monthly calculation index includes expenses for equipment registration in the Republic of Kazakhstan, consumables for the first three years of operation, delivery, installation, commissioning, VAT, as well as staff training on operating the equipment.

4.4 When procuring equipment costing more than ten thousand times the monthly calculation index, the Customer conducts the procurement specifying the exact model/brand and manufacturer of the equipment, country of origin, or other relevant product details, indicating them in the specification.

4.5 Upon receipt of a procurement request, the Commission members and the Customer verify the availability of the required equipment in E-lab. The search for equipment is conducted based on type, manufacturer, and specifications. If the equipment is found in the database:

- its availability and current condition are confirmed;
- the necessity of acquiring new equipment is assessed, taking into account the possibility of using (renting) the existing equipment;
- recommendations regarding the feasibility of procuring new equipment are made by the decision of the Commission.

4.6 After information on upcoming procurements is posted in E-lab, it becomes available to potential suppliers through notifications sent by E-lab to the contact details provided by them.

4.7 The University conducts the procurement of equipment directly from the manufacturer, bypassing the method of requesting and submitting price proposals from other suppliers, if the required equipment is available in the catalogs posted in the E-lab system.

4.8 A potential supplier must register in E-lab to participate in the procurement procedure.

4.9 A potential supplier submits price proposals (competitive price proposals) to the contacts specified in the posted procurement information.

The final price proposals (competitive price proposals) from potential suppliers are posted in E-lab and are publicly accessible.

The procurement of equipment costing more than ten thousand times the monthly calculation index is considered valid if at least one price proposal (competitive price proposal) from a potential supplier is submitted by the final submission date.

4.10 The Customer uploads the minutes of the Commission meeting into E-lab for open access by users.

4.11 If no price proposals (competitive price proposals) are submitted by potential suppliers for equipment costing more than ten thousand times the monthly calculation index, the procurement is reviewed, taking into account amendments to the project and/or program expenditure estimates for conducting scientific research and scientific work funded from the state budget, in order to acquire alternative equipment and/or to repost the updated procurement information for the upcoming year.

4.12 Information on equipment procured at a cost exceeding ten thousand times the monthly calculation index is entered into E-lab. The scientific supervisor or responsible executor of the project/program updates the equipment status monthly, by the 5th day of the month, indicating statuses such as “in delivery,” “delivered,” or “available.” The scientific supervisor and responsible executor are required to promptly notify the Finance Department and the Budget Projects Department of the current equipment status to ensure the data remains up to date.

4.13 Information on procured, available, and delivered equipment in E-lab is used to review and analyze equipment needs across the country. Access to reports and analytics is provided by the Center to the relevant users.

4.14 The University integrates its processes with the platform to coordinate delivery and payment terms, as well as to track the status of orders.

4.15 The Center generates and exports reports on procured equipment through E-lab, containing information on procurements, potential suppliers, delivery timelines, and the current status of equipment, no later than the last Friday of each month.

4.16 During the operation of procured equipment, the Customer maintains records of its use, including operating hours, maintenance periods, workload, and performance assessment in E-lab.

4.17 During the financial year, the annual volume of procurement of homogeneous goods, works, or services shall not be divided into parts, the value of any of which is less than ten thousand times the monthly calculation index.

4.18 Responsibility for the financial and scientific support of the project/program, implementation of the calendar plan, as well as for the acquisition of materials, equipment, and services, rests with the scientific supervisors of the project/program and the Department of Science and Innovation.

5.CONCLUSION AND EXECUTION OF THE CONTRACT

5.1 The contract is concluded based on the decision of the Commission. After the Commission’s decision, an employee of the Legal Department of the Customer notifies the selected supplier of the results and, together with the scientific supervisor or responsible person of the project/program, prepares the draft contract.

5.2 After being signed by both parties, the contract is submitted for registration. The contract is recorded in the University’s Contract Registration Journal.

5.3 Protocols of disagreements submitted by suppliers are reviewed in the same manner as draft contracts.

5.4 After approval and signing, the complete set of documents is forwarded to the Department of Accounting and Reporting for payment or prepayment processing.

5.5 After receiving goods that comply with the technical specifications, the project supervisor signs the delivery note and submits it to the Department of Accounting and Reporting, while a copy of the delivery note is provided to the responsible person.

5.6 If the goods do not meet the declared specifications, they are replaced or returned in accordance with the terms specified in the contract.

5.7 In the event of a return of goods and termination of the contract with the supplier, the procurement procedure is conducted again.

5.8 The Head of the Office of State Procurement and Material-Technical Support of the University / Department of Science and Innovation ensures the maintenance and updating of the procurement registry on the University's official website. The registry is updated within three working days from the date of the procurement contract and includes the following information: the name of the potential supplier, the subject of procurement, contract amount, delivery period, and a brief description of the contract terms.

6. ENTRY INTO FORCE, AMENDMENTS, AND ADDITIONS TO THESE PROVISIONS

6.1 These Rules, as well as any amendments and additions thereto, are approved by the Chairman of the Board — Rector of K. Zhubanov University based on the decision of the Board and come into force upon their approval.

APPROVED BY:

Director of the Department of Accounting and Reporting	Shaukilova M.K.
Director of the Legal Department	Alimanova L.B.
Director of the Department of Documentation Support Head of the Office of State Procurement and	Yesenalina L.S.
Material-Technical Support	Kazhetov E.S.
Chief Economist of Economic Planning	Iskakova Zh.G.