Sole Source Justification

EQUIPMENT

PURPOSE:

Purchasing Regulations, in accordance with university policy, require that material, equipment, supplies and services be procured via competitive means. However, Purchasing can choose to waive the competitive process and approve sole source procurement provided the requester can adequately justify its use.

Purchasing’s decision on the reasonability of sole source procurement will be based on the requester’s investigation, evaluation and documentation of alternate sources of supply and that rejection of similar products is based solely on their failure to meet specific and necessary specifications. In cases where an alternate supplier for a similar product cannot be identified, the requester must document that a good faith effort has been made to seek other sources. A list of the unique technical specifications required of the product and the potential companies contacted in the search for alternate sources is also necessary. Purchasing may use this information in conducting its own market search.

Sole source justification cannot be solely based on quality or price.

Quality can be a subjective evaluation based on opinion. Procurement regulations require price considerations be evaluated via competitive bidding.

The decision whether the university can employ sole source procurement will be made by the Purchasing Department upon review of materials provided by the requesting department.

INSTRUCTIONS:

This form with one or more categories completed must be forwarded to Purchasing when sole source approval is requested for equipment and supplies exceeding $29,100. Purchases from contract vendors (i.e. State, and university buying agreements) are exempted.

☐ Please type or print (legibly).

☐ Complete all categories and sections that apply.

☐ Provide full explanation, complete descriptions, and/or list all relevant reasons where space has been provided. Sole Source Justification forms lacking sufficient detail cannot be approved.
To: Director of Purchasing: __________________________

Date: _________________

From: ____________________________________________
Name of Principal Investigator, Department Head/Administrator

Subject: Sole Source Justification
Purchase Requisition #: ____________________________

Estimated Price: ____________________________

Proposed Vendor: ____________________________

Product Description: ____________________________

STATEMENT:

I am aware that university purchasing regulations require that we procure all materials, equipment, and supplies via competitive means whenever practicable. However, I am requesting sole source procurement based on the following criteria. (Attach additional sheets as necessary):

I. The requested product is an integral repair part or accessory compatible with existing equipment.
   A. Existing equipment: ____________________________
      Manufacturer/Model Number: __________________
      Age/Current Value: ____________________________
   B. Requested Equipment/Accessory/Part: ____________
      Manufacturer/Model Number: __________________
      Explain relationship between current equipment and requested equipment:
      ____________________________________________
      ____________________________________________
C. Please check all that apply

☐ **One of a Kind** *(item performs a function that no other piece of equipment on the market is capable of performing).*  
Explain: ____________________________________________

☐ **Compatibility** *(item is the only type in the market that matches existing equipment).*  
Explain: ____________________________________________

☐ **Design** *(physical design is the only one on the market that will fit requirements).*  
Explain: ____________________________________________

II. The requested product has unique design/performance specifications which are essential to my research protocol or other needs and are not available in comparable products.

**BOTH A & B PORTIONS OF THIS CATEGORY MUST BE ANSWERED.**

A. These capabilities are: _______________________________________

_______________________________________

_______________________________________

_______________________________________

B. In addition to the product requested, I have contacted other suppliers identified below and considered their product of similar capabilities. These products are not acceptable because they are lacking one or more of the technical specifications described in A above:

1. Vendor: __________________________________________

   Product Description: __________________________________________

   Vendor Contact/Phone Number: _____________________________

   Technical Deficiency: __________________________________________

2. Vendor: __________________________________________


III. The requested product is essential in maintaining experimental or administrative continuity. **Provide a thorough explanation in “Explain in detail” section.**

- Requested product is being used in continuing experiments;
- Other investigators have used this product in similar research and, for comparability of results, I require it;
- I have standardized the requested product; the use of another would require considerable time and money to evaluate.

**Explain in detail:**

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IV. The requested product is one with which I (or my staff) have specialized training and/or extensive experience. Retraining would incur substantial cost in money and/or item.

**Manufacturer/Model of existing equipment:**
Age/Current Value: __________________________________________

Estimated hours/per person required to retrain: ____________________

______________________________________________________________________

Other factors: _______________________________________________________

______________________________________________________________________

______________________________________________________________________

V. Please consider sole source approval for this reason(s) (e.g., trade-in allowance; availability of service, parts, and maintenance; product is a prototype; responsibility for integrated system performance will be voided if other vendors are introduced, etc.): Attach any and all documentation supporting this request. Summarize this information below:

______________________________________________________________________

______________________________________________________________________

______________________________________________________________________

______________________________________________________________________

VI. **Emergency Requirements** - Additional Documentation Summary (Please check the explanation which applies).

- Immediate compliance with building codes and permits. _____
- O.H.S. situation requiring immediate action. _____
- Needed immediately for ongoing experimentation. _____
- Replacement parts on equipment necessary for continuing research, construction, or operations. _____
- Other: (Explanation) ____________________________________________

______________________________________________________________________

______________________________________________________________________

______________________________________________________________________

______________________________________________________________________
VII. Has surplus equipment been considered as an alternative to this purchase?

☐ Yes  ☐ No.

VIII. Other factors not addressed above which may assist in the sole source justification review process are:

________________________________________________________________________

________________________________________________________________________

AUTHORIZATION:

Full Name of Principal Investigator

Signature ___________________________ Date __________

Full Name of Supervisor ___________________________ Date __________

Department Head/Administrator ___________________________ Date __________

For Purchasing Use Only:

Reviewed By: ___________________________ Date: __________

Notes: ___________________________________________