

# Sole Source Request & Justification

## For Non-Grant Purchases over \$20,000

What to Expect?

### 1. Supplier Information:

#### Supplier

Existing Vendor  Enter Manually

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Vendor ★

**Pro-Tip:**

A preference to a specific vendor will not be approved as a Sole Source Request.

If the vendor you would like to use is not available when you search, please create a New Vendor Request in ProConnect.

### 2. Cost Information:

#### Anticipated Cost ?

Quantity ★

Cost ★

**ANTICIPATED COST TOTAL 0.00**

### 3. Services / Product:

#### Service / Product Information

Description ★

Service Start Date ★  mm/dd/yyyy

Service End Date ★  mm/dd/yyyy

**Pro-Tip:**

Please outline clearly in the description what your purchase is for. This is the information that carries over onto the purchase order. The vendor will need to know how to fulfill your order.

**Pro-Tip:**

If you are requesting a product, please add today's date and the anticipated delivery date.

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### 4. Contract:

#### Contract

Contract

Select Contract

Do you have a fully-executed contract processed outside of ProConnect? ★

Please select... ▼

If you answered yes to the previous question, please provide contract # below.

Example Value

#### Pro-Tip: 4 Scenarios

If your contract was processed through ProConnect, it will be available here.

If you have a contract, but it was processed prior to Go Live in the contract module, enter the contract # in the required field.

If you have a contract that has *not* been processed, please stop here and submit in ProConnect.

If there are no documents requiring review or signature, please move forward with the request.

### 5. Get Technology:

#### Get Technology

If your request requires a Get Technology Approval, please provide approval number:

Example Value

### 6. Attachments:

#### Supporting Documentation

Internal Attachments ★

#### Pro-Tip:

Insert Quote, Get Tech Approval Email, and any other documentation that will assist with OC&P's review and approval.

### 7. Justification: *You will be required to select one of the following categories, defined below:*

- Authorized Service Provider
- Compatibility
- Competition is inadequate
- Delivery Date
- One-of-a-Kind
- Products which match existing equipment, item standardization, replacement parts
- Project or Research Continuity
- Requirement by Funding Source
- Unique and innovative concept
- Unique Design
- Used Goods

## Sole Source Request & Justification

**Authorized Service Provider** - A specific service provider is required by previous contract. The contract for a product requires return of a defective product via a freight company specified by the contractor.

A specific service provider is required by a warranty.

- **Example:** Under the terms of a warranty, the original equipment manufacturer requires use of specified service personnel

**Compatibility** - The product must match an existing brand of equipment for compatibility and is available from only one supplier. Products that are an integral repair part or accessory compatible with existing equipment. Products that, although not an integral repair part or accessory, must be compatible with existing equipment, systems or a substantial parts inventory and compatibility is the overriding consideration.

- **Example:** Furniture required for the expansion of an existing workstation.
- **Example:** Educational Supplies. Single source educational supplies, such as prepared film slides, instructional multimedia products, prepared motion picture film and printed test forms
- **Example:** Holding an extra inventory of parts for a different machine would not be cost, space, or time effective.

**Delivery Date** - Only one supplier can meet necessary delivery requirements. *You will have to show correspondence with vendors suggesting the same.*

- Delivery by a specific date is essential for the completion of a task or project.
- Delays would cause an extreme increase in cost or detriment to the University.

**One-of-a-kind** - The product has no competitive product and is available from only one supplier. Includes proprietary products, patented products, and prototypes. The item is a one-of-a-kind product which has essential unique design/performance features providing superior utility not obtainable from similar products. The existence of limited rights in data, patent rights, copyrights, or secret processes; the control of basic raw material; or similar circumstances make the supplies or services available from only one source.

- **Example:** A pharmaceutical drug, which is under a multiple year patent and is only sold directly by the manufacturer.
- **Example:** A one-of-a-kind microscope that is available from only one source.
- **Example:** A supplier that possesses exclusive and/or predominant capabilities.

**Project, Research, or Instructional Continuity** - The product must comply with established standards and is available from only one supplier. Changing brands or manufacturers would compromise the continuity of the project.

- A product, equipment, part, service or supplier that, due to technically constraining factors associated with a project or research, are needed to ensure the fairness and validity of the underlying project or research.
- The requested product is being used in ongoing experiments and use of another product could cast doubt on research results.
- Other investigators have used a specific product in similar research, and, for comparability of results, the same product is essential.

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- Products for instructional use. The product is to be used in an instructional setting and the intent is to provide instruction on the specific product or diversity of products.

**Requirement by funding source** - A product that is specifically and clearly required by a lender, grantor (such as the Federal government) or other provider of funds where the usage of those funds is specifically, explicitly, and clearly restricted by the lender, grantor or other provider.

**Unique and innovative concept** - A service that demonstrates a unique and innovative concept or, demonstrates a unique capability of the source to provide the services requested or proposed. In this context, the term does not mean that the source has the sole capability of performing the service. It is the approach that is unique. A service is considered unique and innovative when:

- It is the product of original thinking submitted by a single source.
- Contains new, novel, or changed concepts, approaches, or methods.
- Was not submitted previously by another.
- Is not otherwise available within the University or state government.

**Unique Design** - The product must meet physical design or quality requirements or demonstrates a unique capability to provide a particular function and is available from only one supplier.

- Products that have specific features essential for the completion of a task or project.
- Products with physical design characteristics, which satisfy aesthetic requirements.
- Products where it's practical to match existing equipment, e.g., office or school furniture.

**Used Goods** - Items needed by the University which become immediately available and are subject to prior sale. *By selecting Used Goods, you are assuming the risk of purchasing the item(s) listed above without warranties as to fitness or merchantability or other standard protections available for "new" merchandise. In addition, you certify that the purchase of used equipment is allowable pertaining to sponsor guidelines and award notice.*

### Justification

How would you categorize your request?

**Pro-Tip:**

Familiarize yourself with the category definitions. Once you decide which category fits your unique need, outline in detail how this request applies to the category selected and why it is a sole source. The more detail you can provide, the quicker we can approve.

- Authorized Service Provider
- Compatibility, products which match existing equipment, item standard
- Delivery Date
- One-of-a-Kind
- Project, Research, or Instructional Continuity
- Requirement by Funding Source
- Unique and innovative concept
- Unique Design
- Used Goods

Provide detail describing why this should be approved under the Sole Source

Exception: ★

Example Value

**Remember:**

A sole source *cannot* be approved if you can obtain quotes from other vendors or if you prefer one vendor to the next.

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### 8. Finalize Request:

#### a. Add and Review Cart



#### b. Assign Cart if you are a Shopper or Proceed to Checkout if you are a Requester



#### c. Follow the Shopper or Requester Job Aids found [here](#).

### What Happens after the request is finalized by the department?

Whether you are a Shopper or a Requester, the Sole Source Request will be routed to your Approver. Once approved internally, it will move through the Procurement workflow.

Your requisition will be automatically converted to a purchase order and sent to the vendor.

You will no longer be required to use the external Google Form to make your request, which means, you will not receive a separate sole source number and approval email.

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