

UConn

UNIVERSITY OF CONNECTICUT

Sole Source Justification Form

Before you begin: If your spend for this request is less than \$350,000 for funded/sponsored research efforts, or less than \$100,000 for non-federally funded efforts, providing two (2) additional quotes for comparable goods/services will expedite the process of finding a sourcing solution to satisfy your needs. Additionally, for IT software and hardware needs, existing reseller agreements may exist to help expedite the procurement of certain items. Contact Procurement prior to initiating a Sole Source request for more information on these options.

Instructions: To request an exemption to competitive bidding laws/requirements:

1. Complete Sections 1-3 of this form. (Select only **one** (1) option within **Section 2** of this form, depending on your funding source.)
2. The Sole Source Justification Form must be executed by (i) a manager or principal investigator who will be using, or overseeing the use of, the requested good/service in question **AND** (ii) an individual at the level of Director, Department Head, or higher, that oversees such manager or principal investigator.
3. Attach the completed form and supporting documentation to your requisition in HuskyBuy or contact the HuskyBuy Support Team at 486-2289 option 1 for assistance.

NOTE: Sparse or incomplete information will require greater investigation by Procurement and will result in a less expedient resolution to your needs. The more information you include in each section, the better.

SECTION 1 Date: _____

Requestor Name: _____ Title: _____

Email: _____ Dept: _____ Phone: _____

Contractor/Supplier Name: _____ Amount: \$ _____

Contractor/Supplier Representative: _____ Email: _____

Funding Source (Federal, State, etc.): _____

What are you buying? Please provide a full description of the goods or services that you want to purchase from the contractor/supplier named above. (If necessary, provide additional sheets to be uploaded into HuskyBuy.)

For equipment or supplies provide: Manufacturer: _____ and Model # _____

SECTION 2 An exemption from competitive bidding requirements may be justified due to a requirement or exclusivity. Please check off which type makes your purchase non-competitive and circle the specific reason where applicable. Please understand that price is NEVER a valid sole source justification.

Select only one (1) option within **Section 2**

Non-Federally Funded Sole Source Justifications:

- ☐ Single Source: This may include, but is not limited to:
- i) Only one product meets the specifications and/ or capabilities necessary for the intended use **AND** The requested goods/services are only available from one vendor.
 - ii) Compatibility/Warranty/Compliance:
Using goods/services other than those requested would cause existing UConn equipment or software to function improperly or would cause UConn to lose warranty coverage for existing UConn equipment or software that could only be replaced at a significant cost **AND** The requested goods/services are only available from one vendor.
 - iii) Other _____
- ☐ Intellectual Property:
Intellectual property of a vendor is necessary to properly use existing UConn equipment or software.
- ☐ Mandate of Good/Service:
Use of the requested good/service is mandated by an association in which the University is a member; or an individual or entity with whom the University has a contract **AND** the requested goods/services are only available from one vendor.
- ☐ Mandate of Vendor: Use of the requested vendor is mandated by:
- i) an association in which the University is a member, **OR**
 - ii) An individual or entity with whom the University has a contract.

Federally Funded Sole Source Justifications:

- ☐ Single Source: This may include, but is not limited to:
- i) Only one product meets the specifications and/ or capabilities necessary for the intended use **AND** the requested goods/services are only available from one vendor.
 - ii) Compatibility/Warranty/Compliance:
Using goods/services other than those requested would cause existing UConn equipment or software to function improperly or would cause UConn to lose warranty coverage for existing equipment or software that could only be replaced at a significant cost **AND** the requested goods/services are only available from one vendor.
 - iii) Only supplier that can meet the delivery requirement to fulfill an established commitment to the funding agency **AND** supporting documentation of required dates is provided
 - iv) Other _____
- ☐ Federal Authorization:
The federal funding agency has expressly authorized the non-competitive procurement of this good/service after written request by PI
- ☐ Inadequate Competition:
Previous procurement attempts from multiple sources did not result in a successful, competent vendor/supplier.

Supporting documentation of previous procurement solicitation is attached.

Provide a description of how your investigation was conducted and how you determined your request may be a sole source, (Internet, publications, consultations). List all sources identified and investigated to determine that no other source exists for similar products or services capable of meeting your requirements. If necessary, provide additional sheets to be uploaded into HuskyBuy.

Provide a description of features or capabilities unique to the vendor/brand being requested as it relates to your program and/or project requirements. If necessary, provide additional sheets to be uploaded into HuskyBuy.

If there are other suppliers of similar goods or services, provide a side-by-side comparison of key features/specifications/qualifications that clearly distinguishes your selection as the only source of these goods/services that will meet your specified requirements. If you are attaching the side-by-side comparison in an excel spreadsheet, please note that in the box below and attach the excel spreadsheet when submitting this document. If necessary, provide additional sheets to be uploaded into HuskyBuy.

SECTION 3 Please note that this certification is required to ensure compliance with Federal and State Law. Review it carefully before signing. Inaccuracies could result in criminal and civil penalties and loss of Federal grants.

1. I certify that neither I, nor my cohabitating partner, nor any member of my immediate family, nor a business with which I or any of these individuals, am/are associated, (i) has a financial or other interest in this vendor or (ii) will derive a monetary gain or other tangible personal benefit as a result of the proposed contract with this vendor.
2. I certify, to the best of my knowledge, no other person associated with this sole source has a conflict of interest as stated in section 3.1.

Manager/PI Name (Print)

Manager/PI Signature

Date

Next Level Supervisor Name (Print)

Next Level Supervisor Signature

Date