

# SINGLE/SOLE SOURCE DOCUMENTATION

THIS FORM TO BE COMPLETED AND ATTACHED TO ALL SINGLE/SOLE SOURCE  
REQUISITIONS \$5,000 OR ABOVE

**CHECK THE APPROPRIATE CATEGORY AND ATTACH ADDITIONAL DOCUMENTATION AS REQUIRED**

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Vendor: \_\_\_\_\_ Description of Services: \_\_\_\_\_

Purchase Order Number: \_\_\_\_\_ Date: \_\_\_\_\_

Project: \_\_\_\_\_ Task: \_\_\_\_\_ Award: \_\_\_\_\_

The appropriate stewardship and use of public funds generally require that all procurements at a public institution be conducted in an open and competitive manner. This usually involves securing multiple quotes or bids for these purchases of material and/or services. While single- and sole-sourced procurements are appropriate and allowable under certain conditions with reasonable justification/documentation, they have been identified as a key risk area, requiring substantive internal controls and a higher level approval of the documentation and justifications submitted for these types of procurements.

**\*\* IMPORTANT \*\***

- The two most often cited reasons for SSJ are uniqueness and timeframe. These are often confused and inappropriately interchanged. If a supplier is unique and if their uniqueness is adequately substantiated, a discussion of timeframe is inappropriate. If the basis for the SSJ is timeframe, a discussion of uniqueness should not be made or alluded to.
- Statements that a supplier has the best capability or offers the lowest price are not bases for an SSJ. Such determinations can only be made through full and open competitive processes.
- Rationale that the recommended source is the most highly qualified to perform but does not establish why other sources cannot perform is not acceptable.
- Incumbency does not justify an SSJ.
- Administrative delay or lack of adequate advanced planning resulting in urgency does not justify an SSJ.

**SINGLE**

1. \_\_\_ Equipment is to be integrated with a currently owned system of the same manufacturer and it is necessary to maintain integrity of overall system for traceability of the accuracy, stability and reproducibility of final data. Only manufacturer specified is acceptable.

**Manufacturer and model number of existing system:**

\_\_\_\_\_

2. \_\_\_ The supplies and/or material are for an ongoing project and to change manufacturers during the project will have an adverse effect upon the accuracy, stability and reproducibility of the completed experimental data. Only manufacturer specified is acceptable.

3. \_\_\_ An analysis of various equipment/materials/services of an "equal" or "like" nature has been conducted and only the specified manufacturer/item/service should be considered for my project needs. *See attached detailed justification outlining specific reasons for the need to process on a non-competitive basis, with a detailed copy of my original analysis.*
  
4. \_\_\_ Although I am aware that the same item/service is available from multiple sources, which could result in a lower cost, the bidding requirements mandated by federal regulations and/or the Research Foundation should be waived and the purchase made with specified vendor only. *See attached detailed justification outlining specific reasons for this method of processing.*

**SOLE SOURCE:**

1. \_\_\_ The supplies/equipment/services are available only from one supplier. Explain the specific project need for the product or service and the choice of the supplier.

**OTHER:**

1. \_\_\_ Provide information on reverse side or attach additional sheet if more space is required.
  
2. \_\_\_ We would like to take this opportunity to clarify your relationship with this vendor. If you feel that we have made a mistake in your classification, you must notify us within ten (10) working days from the date of this letter.

**Reasonableness of Price**

Reasonableness of Price must be documented. A few ways that this can be documented are listed below:

- The vendor's published price list and documented discount
- Invoices or cost sheets from prior state contracts
- Comparisons to other vendors' prices for similar products/services (RFQ)
- Comparison to similar purchases by other campuses
- Price or cost analysis
- Historical cost or price comparison
- Competitive bidding

**DESCRIPTION & REASONABLENESS OF PRICE:** (Provide written explanation, technical reasoning and/or evidence of the claim)

As the Principal Investigator you:

- Certify that I have no existing or preexisting relationships with this vendor that would present a conflict of interest between you, the Research Foundation or SUNY ESF. In addition, you will give the Research Foundation written notice of any professional relationships entered into during the period of the agreement that would present a conflict of interest. You have not had any professional relationships with this vendor involving the Research Foundation, ESF, or any of its affiliates in the past five years that would constitute a conflict of interest relative to this agreement.
  
- Certify that statements checked, and information provided above, are complete and correct to the best of my knowledge. I understand that the processing of this single/sole source justification precludes the use of full and open competition.

**DEPARTMENT SIGNATORY**

SIGN: \_\_\_\_\_ DATE: \_\_\_\_\_

PRINTED NAME: \_\_\_\_\_

The attached Single/Sole Source request for approval of \_\_\_\_\_ as a vendor has been determined to be insufficient, and will require one of the following to occur:

1. An advertisement and an open bid request for the services and/or materials to be rendered under this procurement. Please provide a description and the specifications of the item(s)/service(s) to be procured.

**OR**

2. Additional documentation must be provided, as described below:

**JUSTIFICATION:** (Select one)

<input type="checkbox"/>	<p><b>Only known supplier.</b> (<u>List the suppliers who were contacted below and the specific reasons why each was not a viable source</u>).</p> <ul style="list-style-type: none"> <li>•</li> </ul>
<input type="checkbox"/>	<p><b>Only known qualified supplier.</b> (<u>List the qualifications that each source or items meet. If another supplier offers a similar item, provide the item identification, supplier information and comparable pricing</u>).</p> <ul style="list-style-type: none"> <li>•</li> </ul>
<input type="checkbox"/>	<p><b>Supplier is proprietary or unique.</b> (The selected supplier is the only provider of this item or service. <u>List the reasons why</u> no substitute item can be used and if no similar item is available). Please indicate other potential suppliers who were contacted to make this determination, and provide any documentation available to support this determination.</p> <ul style="list-style-type: none"> <li>•</li> </ul>
<input type="checkbox"/>	<p><b>Continuation of an ongoing service or addition to a critical system already procured from that supplier.</b> (<u>List the reasons why</u> it would not be cost effective and/or schedule effective and/or technical risk mitigation prudent to procure with another supplier for this procurement).</p> <ul style="list-style-type: none"> <li>•</li> </ul>