Arizona State University Purchasing Department  

How-to guide to Process a Sole Source for Arizona State University

The purpose of this guide is to provide departments, researchers, and administrative staff a helpful guide to process a sole source justification and sole source vendor forms for ASU procurements over $100,000. In this three-page guide, the reader should be able to complete a sole source justification that will meet the approval of the director of ASU Purchasing. The benefit of using this guide will minimize the delay of processing a sole source, and to satisfy requirements when sole sources are reviewed by auditors (to make sure we are following our own rules!).

BEFORE GETTING STARTED:

Please make sure that all fields of the Sole Source Justification are completed. This includes:

A. Requisition Number  
B. Date  
C. Department  
D. Agency/Org #  
E. Supplier  
F. Item Description and Reason for Sole Source  
G. Technical Characteristics  
H. Reason for Requesting Sole Source  
I. Method Used to Determine that Only One Source Exists (MUST include evidence)

If any of the above fields are missing information, the sole source may be rejected.

If price or cost of the order is considered as a factor for a sole source, it will be rejected. Price cannot be used to determine a sole source.

Also, please make sure you are familiar with the Purchasing Policy PUR 303-02 regarding Sole Source Procurement/Justification

(You can find the full policy via the following link: [http://www.asu.edu/aad/manuals/pur/pur303-02.html](http://www.asu.edu/aad/manuals/pur/pur303-02.html)).

Preparing the Justification

To request a sole source procurement, the requestor must attach to the purchase request a written justification on a [Justification for Sole Source Purchase](#) form that:

1. Describes the technical or performance characteristics of the goods or services  
2. Explains why these characteristics are essential  
3. Verifies that these characteristics cannot be obtained from any other source.
SOLE SOURCE JUSTIFICATION PACKET
(http://www.asu.edu/purchasing/forms/Sole_Source_IA.pdf current revision):

This guide will focus on areas of the justification page that requires a detailed explanation of the goods or services provided.

A. ITEM DESCRIPTION AND REASON FOR SOLE SOURCE (MAY ALSO BE ATTACHED AS A MEMO)

WHAT’S NEEDED: A description of the goods or services provided and the characteristics that make this supplier unique for this procurement. This can be a unique model or equipment (with no substitutes), patent technologies or processes, maintaining continuity with existing equipment, etc.

B. TECHNICAL CHARACTERISTICS

WHAT’S NEEDED: We are looking for the characteristics that make the order unique

C. REASON FOR REQUESTING SOLE SOURCE

WHAT’S NEEDED: A clarification regarding the circumstances /reasons that apply for the sole source. If the order is related to existing equipment, the property control # or previous PO # for that equipment should be referenced. If No Other Manufacturer of this Type of Product Exists, this means there are no suitable substitutes that can be considered. If Other Manufacturers of this Type of Product Do Not Meet Our Minimum Requirements/Technical Characteristics, this means that there are substitutes for this order but cannot be considered (an explanation of why they cannot be considered should be given). If Other, please provide an explanation on why this should be considered a sole source.

D. METHOD USED TO DETERMINE THAT ONLY ONE SOURCE EXISTS

WHAT’S NEEDED: We are looking for tangible documentation that shows the due diligence of the end-user’s research to determine that this is a sole source. This evidence could include but is not limited to: a print out of the results of a Web search, a copy of the request sent to peers, the listserv request, the session(s) attended at a trade show, and the program of the professional or academic conference.

SOLE SOURCE VENDOR FORMS (TO BE FILLED OUT BY SUPPLIER)

A. PRICE WARRANTY

WHAT IT MEANS: The University is getting the best price for this sole source procurement

WHAT’S NEEDED: At least one box checked. If Box 1 is checked, we require a Price or Catalog List from the supplier. If box 3 is checked, please see Used Equipment Policy (http://www.asu.edu/aad/manuals/pur/pur401-05.html). A submission of the policy should be done by the requestor of the sole source.

B. CONFLICT OF INTEREST CERTIFICATION

Revised April 10th, 2015
WHAT IT MEANS: A situation in which a person is in a position to derive personal benefit from actions or decisions made in their official capacity needs to be identified

C. FEDERAL DEBARRED LIST CERTIFICATION

WHAT IT MEANS: To determine whether the supplier is debarred/disqualified from working with the Federal government

D. ANTI-LOBBYING CERTIFICATION

WHAT IT MEANS: Cannot use federal funds to lobby

E. LEGAL WORKER CERTIFICATION

WHAT IT MEANS: Supplier shall verify employment eligibility of their employees through e-verify