



## SOLE SOURCE REQUEST AND JUSTIFICATION

The procurement of material, equipment and supplies should be by competitive bidding. Should circumstances exist where competitive bidding is not feasible or cost effective, this request must be used to justify single source procurement for a specific product or from a specific vendor when total cost exceeds \$10,000 regardless of the source of funding. Purchasing, at its discretion, may require justification for lesser amounts.

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Sole source justification must show that an equitable evaluation of comparable products has been made and that rejection of unsuitable products is based on technical deficiencies or a combination of other reasons. In cases where no other comparable source is known, whether at the manufacturer or distributor level, technical description of the product must be provided which is adequate to allow Purchasing to make a thorough search and evaluation. It is important to remember that sole source justification cannot be based solely on price. Price consideration must be evaluated via competitive bidding.

SECTION I : The following questions are meant to provide appropriate justification for sole source procurement. Please answer all applicable questions:

1. Is the equipment specifically named by model number and/or manufacturer, in an awarded grant as essential to the completion of the project? Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, what is the grant number?
2. Does the product have special design and/or performance features which are essential to your needs, such as unique capabilities, size constraints, portability, instrument response time, etc? Yes \_\_\_\_\_ No \_\_\_\_\_  
(If "yes", please explain in your response in Section II.)
3. Has comparable equipment/supplies been evaluated? Yes \_\_\_\_\_ No \_\_\_\_\_ (If "yes", please list other equipment in Section II. If "no", explain in your response why evaluation was not done.)
4. Is the item requested a repair or replacement item uniquely compatible with existing equipment and/or available from the requested source exclusively? Yes \_\_\_\_\_ No \_\_\_\_\_
5. Is the requested item(s) essential to maintaining experimental continuity? Yes \_\_\_\_\_ No \_\_\_\_\_

SECTION II. Please consider sole source approval for the following reasons (e.g., trade-in allowance; availability of service, parts, and maintenance; item is a prototype; other equipment evaluated and specific deficiencies; special features, etc.)

\_\_\_\_\_  
Signature of Principle Investigator

\_\_\_\_\_  
Department Name

\_\_\_\_\_  
Signature of Department Head or Hospital Administrator

Date \_\_\_\_\_

\_\_\_\_\_  
Signature of Director of Purchasing

Date \_\_\_\_\_

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## EQUIPMENT PURCHASE SCREENING POLICY (ACADEMIC COLLEGES AND SCHOOLS ONLY)

"I have reviewed the appropriate equipment inventory listing and certify that, to the best of my knowledge, no such item or substantially similar item is available for shared use within the appropriate area\*."

\*(1) Equipment item cost \$5,000 through \$24,999: Department Head certifies to availability within department.

\*(2) Equipment item cost \$25,000 through 99,999; Dean certifies to availability within colleges/schools.

\*(3) Equipment item cost \$100,000 or more: Dean certifies to availability within University.

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## TRADE-IN

Attach a completed VU EQUIPMENT TRANSMITTAL FORM if equipment is being traded in as part of this procurement.

INSTRUCTIONS FOR COMPLETING THE VANDERBILT UNIVERSITY CAPITAL  
EQUIPMENT REQUISITION FORM (#60-002-411)

A sample Vanderbilt University Capital Equipment Requisition Form has been provided with various numbered areas. These numbered areas correspond to the instructions below which contain a brief description of what should be written in the area on the form.

PLEASE COMPLETE ALL INFORMATION REQUESTED  
TO AVOID PROCESSING DELAYS

- (1) **DATE PREPARED**  
The date the requisition was prepared by the requesting department.
- (2) **PREPARED BY**  
The individual who completed the requisition.
- (3) **TELEPHONE**  
The phone number of the person who completed the requisition.
- (4) **REQUISITIONING DEPARTMENT**  
The department requesting the purchase order. Only one department may be placed in this box. If more than one department is involved with the requisition, list the department that will be receiving the equipment or supplies when they are delivered.
- (5) **NEED BY**  
The delivery date the item(s) should be received by.
- (6) **DELIVER TO**  
This section should contain the ROOM NUMBER, BUILDING and ZIP CODE where the items should be delivered by the vendor. This address is important to ensure that the items are delivered to the correct location by the vendor or freight carrier. Accounts Payable will mail the invoice cop to this address when appropriate in the payment process. If a departmental code is used in block (25) the invoice will be mailed to a special pre-determined address.
- (7) **REQUISITIONED FOR**  
The individual for who the item (s) is being purchased, i.e. principal investigator, professor, department head, physician.

Exhibit E (continued)

(8) TELEPHONE

The phone number of the individual for whom the item (s) is being requisitioned.

(9) VENDOR NAME, ADDRESS AND PHONE NUMBER

This section should contain the complete name and business address of the vendor you are recommending this item should be purchased from. The telephone number is optional. However, it is very helpful in the event that a buyer needs to contact the vendor for further information in processing your order.

(10) EXTERNAL/INTERNAL

If an item is being purchased from a vendor outside the University, the external block should be checked. If an item is being purchased from a department internal to the University, i.e., Computer Store, Bookstore, BMES, the internal block should be checked.

(11) CONFIRMED WITH AND DATE

When placing an order or requesting pricing by phone, always request the name of the individual with whom you placed the order or received pricing information from. Confirming orders are orders that have been placed with the vendor prior to sending a hard copy purchase order. Confirming orders should only be placed after contacting the Purchasing Department explaining the need for a confirming order and obtaining an authorized purchase order number to give the vendor.

(12) CHARGE ACCOUNT CENTER AND AMOUNT

Account/center and sub-ledger, when applicable, that will be charged for the items being purchased. The requisition allows for four different account/centers. Should you require distribution among more than four account/centers, please attach a memo to the requisition with that distribution listing. The amounts to be charged to each account/center should be completed in the amount column. The total dollar amount of all account/center amounts should equal the total of the purchase requisition.

(13) CREDIT ACCOUNT CENTER AND AMOUNT

Account/center and sub-ledger, when applicable, that will be credited for the items being purchased. This section should be used when purchasing equipment from internal University departments.

(14) AUTHORIZED BY

This signature block serves a dual purpose. First, it denotes funds required to support the purchase are current budgeted and available. Second, it confirms the

Exhibit E (continued)

equipment screening requirements detailed on the back of this requisition for Academic Colleges and Schools and Schools have been met by appropriate review.

(15) ITEM

This section should contain the number of the line item on your requisition.

(16) QUANTITY

This quantity of item (s) you are requesting on each individual line.

(17) UNIT

The unit of measure that the item (s) you are requesting will be shipped in, i.e. case, box, pack, each.

(18) MODEL/CAT#

The vendor model, catalog number or lot number of the item(s) to be purchased. Please verify this number and any unique description requirement with the vendor before placing your order.

(19) DESCRIPTION

This section should contain a complete description of the item, including the correct identifying name and any unique specifications you may require, i.e. size, and color function.

(20) PRICE

This section should contain the cost of the item being requested. The number in this block will be multiplied by the quantity to determine the amount. It is important to use the correct price that applies to the specified unit of measure. Please confirm the price with the vendor prior to placing the order.

(21) DISC

This discount, if any, is to be placed in this block. It should be written with a percent sign, i.e. 10%.

(22) EXTENDED AMOUNT

The amount should reflect QUANTITY X PRICE, less DISCOUNT.

(23) ACCOUNTING CLEARANCE/NOTATIONS

Accounting approval stamp, when necessary, should be placed in this section.

(24) RECEIVED BY

For internal orders only, this section can be used to sign when orders are received.

Exhibit E (continued)

(25) DEPARTMENT CODE (optional)

This section is for those departments with a special three-digit code that controls the invoice label address. The code represents a pre-determined address to which Accounts Payable will send the invoice.

BACK OF CAPITAL EQUIPMENT REQUISITION FORM

(26) SOLE SOURCE REQUEST AND JUSTIFICATION

Section I and II should be completed and signed when the requesting department wishes the item(s) described on the front of the requisition purchased without competitive bidding when that item exceeds \$5,000 in cost.

(27) EQUIPMENT PURCHASING SCREENING POLICY

For academic Colleges and Schools utilizing grant funding covered by the scope of OMB Circular A-110, we are required to show documentation that a review of existing available equipment of similar capability and capacity was made prior to the purchase of new equipment. The guidelines relative to organizational review and dollar range are University policy.

(28) TRADE-IN

If you are proposing to trade-in an existing equipment item to offset the cost of your new purchase, a Property Transmittal for (Exhibit H) must be completed and attached to this requisition when forwarded for approval and processing.

Once completed, the form should be separated and distributed in accordance with the marginal wording on the bottom of the requisition. Upon receipt of the Requisition Form, Purchasing will promptly review and determine the processing step necessary to effect a purchase order for your requested items(s).