



## Sole Source Exception Request Form

### When to use this form

The Sole Source Exception Request Form is used by IU departments to request an exception to the mandatory competitive bid process for purchases with a value of \$50,000 or more. Review policy [FIN-PURCH-03: Competition and Sourcing](#) to learn more about the competitive bid requirement.

The purpose of this form is to demonstrate that competitive procurement is impractical for one of the four allowable exception reasons. It cannot be used to circumvent normal purchasing procedure, nor for a price-based justification.

This form is not required if the purchase is under \$50,000. For these purchases, follow the guidance in [SOP-PURCH-38: Ways to Make a Purchase](#).

### How to use this form

This form should be completed by the individual with the most knowledge about the purchase.

1. Download the PDF to your machine.
2. Locate the PDF on your machine, right click on the PDF file, and select "Open with Adobe Acrobat." **Do not open the PDF with your internet browser.**
3. Complete the appropriate fields and sign the document using your digital signature.
4. Save the PDF to your machine. **Do not use the Print to PDF option to save the form.** Printing the form as a PDF removes the ability for others to review and sign the request.
5. Send the PDF to the Fiscal Officer (FO) of the IU account funding the purchase. The FO signs the form with their digital signature and saves the form as a PDF.
6. If the estimated total cost of the purchase is \$250,000 or more this form must be reviewed and signed by the department's executive approver who may be the Vice President, Provost, Chancellor, or their designee. The executive approver signs the form with their digital signature and saves the form as a PDF.
7. Return the completed Sole Source Exception Request Form PDF and related justification documentation to the department requisition submitter.
8. Requisition submitter attaches the completed Sole Source Exception Request Form PDF and related justification documentation to the BUY.IU requisition.

Purchasing will review the request as part of the order review process and notify the requisition submitter via the BUY.IU comments when the Sole Source Exception has been reviewed. Review [SOP-PURCH-05: Sole Source Exceptions](#) for additional details.



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Purchase Details

IU Account Number:	Estimate of total cost:
Preferred supplier name:	BUY.IU supplier number (if available):

Sole Source Exception Reason(s)

Check the box next to the sole source exception reason(s) that apply to this purchase and complete the instructions that follow.

After vetting several sources, it was found that competition was inadequate.

In the table below, list the suppliers that were vetted and why their product/service is inadequate. Include additional supporting documentation with this Sole Source Exception Request Form.

Supplier name	Reasons that the product/service is unacceptable.

Public exigency or emergency for the requirement will not permit the delay that comes with completing the competitive bid process.

Describe the unforeseen, unavoidable circumstances that do not allow for the delay associated with completion of the competitive bid process. Include the due date/implementation date for the goods/services.



## Sole Source Exception Request Form

The federal agency or pass-through entity expressly authorized noncompetitive proposals in response to a written request from the university.

Sole Source Exceptions for purchases made through a federally sponsored research project must be approved by the granting agency. The granting agency must specifically state an exception for noncompetitive procurement has been made for this Sole Source Exception to apply. This exception does not apply to preferred suppliers named in grant proposals. Documentation from the granting agency must be included with this sole source request.

The item or service is available only from one provider.

Describe the proprietary nature of the good or service. If product specifications or a contract mandate the use of goods/services by the preferred supplier, include those specifications with this Sole Source Exception Request Form.

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## Statement of Attestation and Department Approval

I understand that Indiana University and Federal procurement regulations mandate competitive procurements when feasible. I am requesting a sole source procurement based on the criteria in this form. The information provided is complete and accurate to the best of my professional judgment. I certify that neither I nor my immediate family will benefit personally from this purchase, and no family member is employed by or holds a position with the preferred supplier.

Printed name of person completing this form:		
Signature of person completing this form:		
Date:	Phone:	Email:

*Fiscal Officer review and approval is required on all Sole Source Exception Requests.*

Printed name of Fiscal Officer:		
Signature of Fiscal Officer:		
Date:	Phone:	Email:

*Executive review and approval are required for purchases with an estimated total cost of \$250,000 or more.*

Printed name of executive approver:		
Signature of executive approver:		
Date:	Phone:	Email:



## Sole Source Exception Request Form

### For IU Purchasing use only

#### Exception approved or denied?

Approved

Denied

#### Justification

Purchasing Category Manager signature:

Date:

Team Assistant Director Signature (required over \$250,000):

Date:

Director Signature (required over \$1,000,000):

Date:

Associate Vice President Signature (required over \$2,500,000):

Date: