



# University of Connecticut Health Center

**POLICY NUMBER 2006-32**

**October 13, 2006**

## **POLICY: PURCHASING B-4: SOLE SOURCE PURCHASE**

### **PURPOSE:**

This policy establishes guidelines for processing sole source purchases requests.

### **SCOPE:**

All University of Connecticut Health Center (UCHC) faculty and staff.

### **POLICY STATEMENT:**

The policy of UCHC for a Sole Source Purchase: Purchase Requisition (PR) shall be accompanied by a completed *Sole Source Justification Form (attached)*.

Purchases under \$50,000 shall be approved by either the Director or Assistant Director of Purchasing. Purchases \$50,000 or over shall be approved by the Director of Purchasing, the Controller, and the Chief Financial Officer. The purchase is subject to competitive bidding or negotiation as determined by the Director or Assistant Director of Purchasing. Competitive bidding shall be waived only in accordance with the UCHC Policy #2006-31 – UCHC Purchasing B-3: Emergency Purchase.

### **Definitions:**

1. Business Owner - Person or department submitting PR for material, service or equipment.
2. Sole Source Purchase – a purchase transaction that meets one or more of the following criteria:
  - a. *One of a Kind*: the material product, equipment or contractual service can only be purchased from a single vendor;
  - b. *Compatible*: commodity or service has no competitive product and is available from only one supplier and must match existing equipment;
  - c. *Replacement Part*: replacement part for a specific brand of existing equipment and is available from only one supplier;
  - d. *Research Continuity*: commodity or service must comply with established University standards and/or protocol and is available from only one supplier;
  - e. *Unique Properties*: commodity or service must meet specific requirements and is available from only one supplier.
3. Purchase Requisition (PR) – An electronic requisition or a paper three-part, pre-

numbered requisition form (HCA-39) which is used to request supplies, equipment, or contractual services. Only individuals who have been authorized through the UCHC Signature Authorization System shall approve PRs.

4. Supplies - “materials” and “equipment” mean any and all articles of personal property furnished to or used by UCHC, including all printing, binding, publication of laws, stationery, forms and reports.
5. Contractual Services – Any and all laundry and cleaning services, pest control service, janitorial service, security service, the rental and repair or maintenance, of equipment, machinery and other state-owned personal property, advertising and photostating, mimeographing, and other service arrangements where the services are provided by persons other than state employees.
6. Purchase Order (PO) - A computer generated form issued by the Purchasing Department to order requested materials, services or equipment received on a PR.
7. Sole Source Justification Form 1-B4 - A form used to justify a Sole Source Purchase.

**Responsibilities:**

1. **Director of Purchasing** is responsible for ensuring compliance to policies and procedures and may use discretion to waive competitive bidding in emergency situations.
2. **Business Owner** is responsible for justifying the sole source purchase through the completion of the [\*Sole Source Justification Form\*](#).
3. **Assistant Director of Purchasing** is responsible for reviewing and processing “Sole Source” purchase requests in compliance with UCHC policies and procedures in consultation with the Director of Purchasing.
4. **Purchasing Services Officer (PSO)** is responsible for reviewing and processing assigned *Sole Source Purchase* requests in compliance with UCHC policies and procedures. Upon completion of required procurement action, the PSO shall prepare a PO. The PO, with supporting documentation shall be submitted to the Assistant Director of Purchasing for review and signature.

**Procedures:**

1. **Purchases under \$50,000.**
  - a. Purchasing Services Officer shall:
    - review procurement action;
    - if Sole Source, forward to the Assistant Director of Purchasing with supporting documentation for review and approval;
    - if approved, produce a PO and return to Assistant Director of Purchasing or Director of Purchasing for signature. The PSO may not sign Sole Source PO’s.
  - b. Assistant Director of Purchasing shall:
    - review and approve procurement action;

- forward to the Director of Purchasing for review and approval;
- Process PO upon Director's approval.
- c. Director of Purchasing shall:
  - review and approve procurement action.

**2. Purchases \$50,000 and over**

- a. Director of Purchasing shall review and approve Sole Source Purchases \$50,000 and over, forward to the Controller and Chief Financial Officer for review and approval. Upon approval return to Assistant Director of Purchasing for processing.
- b. Controller shall review and approve the purchase and then forward to the Chief Financial Office.
- c. Chief Financial Officer reviews and approves the purchase and returns to the Director of Purchasing.
- d. Assistant Director of Purchasing shall return documentation to PSO for processing.
- e. Purchasing Services Officer shall conduct procurement action and issue a PO with supporting documentation. Submit PO to the Director or Assistant Director of Purchasing for review and signature. The PSO may not sign Sole Source PO's.

[Link to Purchasing B-4](#)

**Robert W. Murphy**

**11/14/06**

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**Director of Purchasing**

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**Date**

**Peter Deckers, MD**

**11/14/06**

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**Executive Vice President**

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**Date**

**NEW POLICY: October 13, 2006**