



**Procurement Policy Exemption
Sole & Single Source Justification Form
Purchases between \$20,000 - \$75,000**

Procurement & Contract Management

Finance, Procurement and Planning

[Finance, Procurement and Planning \(ualberta.ca\)](http://ualberta.ca)

The procurement of goods, services, construction and renovation work at the University of Alberta (whether by purchase, lease or rental) is governed by the Supply of Goods and Services Policy. The Policy applies to all funding sources including operating, research, capital, ancillary and funds held in trust.

Procurement activities must reflect the University's commitment to open, transparent, and non-discriminatory access to all suppliers as required by the Canadian Free Trade Agreement (CFTA), the Canada-European Union Comprehensive Economic and Trade Agreement (CETA) and New West Partnership Trade Agreement (NWPTA).

To meet these obligations, the University has established dollar thresholds which require invitational competitive procurement (2 written quotations from selected suppliers where the total purchase price is estimated at \$20,000, but not exceeding \$75,000).

Procurement Policy Exemption

There may be circumstances where invitational procurement cannot be used as the procurement method. A Procurement Policy Exemption may be permitted provided it meets the criteria in a Limited Tendering (including Sole or Single Source) Exception. These provisions are defined and listed on the Limited Tendering Exception (Table 1) below, and the applicability of the selected Exception(s) must be justified with sufficient level of detail in Sections 2.

This Justification Form must be completed with the necessary budget owner acknowledgement (Section 3) before an award is made to any Supplier. Once authorized, and for purchases at or exceeding \$20,000 and below \$75,000, this Justification Form must be submitted to Procurement Services through SupplyNet for compliance review, tracking and reporting purposes. It is recommended that purchases below \$20,000 also include multiple quotes to ensure best value is obtained however not mandatory. These purchases are completed directly in SupplyNet.

Instructions:

Note: Preferred Supplier Agreements and Contract Extensions do not require multiple quotes.

Complete:

- A. section 1, department details
- B. section 2, purchase details
- C. section 3, category and estimated value of purchase
- D. section 4, choose an applicable Limited Tendering Exception Code from table 1 that applies to your purchase
- E. section 5, Acknowledgement, budget owner and requestor
- F. attached the completed form in [SupplyNet](http://ualberta.coupahost.com/) when submitting your requisition (<https://ualberta.coupahost.com/>)

Section 1) Requesting Department Details

Employee Name	Job Title	Department
Email	Phone	

Section 2) Purchase Details

Description of purchase

Recommended Supplier

Section 3) Category and Estimated Cost

Goods	Services	Construction	Total Estimated Value (CAD)*
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*Pre-tax, include full contract terms & extension options, warranties, maintenance, training etc.

Section 4) Procurement Policy Exemption Codes

Section 5) Acknowledgement

I'm aware of the requirements of the University's Procurement Policy. I agree that the required due diligence was conducted and I authorize this Procurement Policy Exemption request. The approval will route electronically when the requisition is completed in SupplyNet.

Budget Owner Name	Job Title	Date
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Requestor Name	Job Title	Date
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Procurement Policy Exemptions: Limited Tendering (Definitions)

Limited Tendering Exceptions:

Limited Tendering means a procurement method whereby the procuring entity contacts a supplier or suppliers of its choice, provided it does not use this provision for the purpose of avoiding competition among suppliers or in a manner that discriminates against suppliers of any other Party or protects its own suppliers. A procuring entity may use limited tendering under any of the circumstances described in **TABLE 1**. Limited Tendering includes Sole or Single Source as defined below.

Sole Source:

Non-competitive process used to acquire goods or services from a specific supplier because there are no other suppliers available or capable of providing the required goods or services.

Single Source:

Non-competitive process used to acquire goods or services from a specific supplier, even though there may be more than one supplier capable of delivering the same goods or services.

Open Tender(ing):

Submission from a supplier in a response to a tender notice (Request for Proposal – RFP) for a procurement valued at or greater than \$75,000.

Quotation:

Submission from a supplier in response to an "Invitation to Quote" for a procurement valued at or greater than \$20,000 and less than \$75,000.

Table 1: Limited Tendering Exception Codes (Single Source and Sole Source)

A – Limited Response to Quotation Request

1. If no tenders or quotations were submitted or no suppliers requested participation
2. If no tenders or quotations that conform to the essential requirements of the tender or quotation documentation were submitted
3. If no suppliers satisfied the conditions for participation

B – Unique Supplier

If the goods or services can be supplied only by a particular supplier and no reasonable alternative or substitute goods or services exist for any of the following reasons:

1. the requirement is for a work of art
2. the protection of patents, copyrights, or other exclusive rights
3. due to an absence of competition for technical reasons
4. the supply of goods or services is controlled by a supplier that is a statutory monopoly
5. to ensure compatibility with existing goods or to maintain specialized goods that must be maintained by the manufacturer of those goods or its representative
6. work is to be performed on property by a contractor according to provisions of a warranty or guarantee held in respect of the property or the original
7. work is to be performed on a leased building or related property, or portions thereof, that may be performed only by the lessor
8. the procurement is for subscriptions to newspapers, magazines, or other periodicals
9. the procurement is for Preceptor and/or Physicians
10. specialized teaching and/or instruction

C – Additional Purchases from Original Supplier

For additional deliveries by the original supplier of goods or services that were not included in the initial procurement, if a change of supplier for such additional goods or services:

1. cannot be made for economic or technical reasons such as requirements of interchangeability or interoperability with existing equipment, software, services, or installations procured under the initial procurement
2. would cause significant inconvenience or substantial duplication of costs for the procuring entity

D – Emergency Situation

If strictly necessary, and for reasons of urgency brought about by events unforeseeable by the procuring entity, the goods or services could not be obtained in time using open tendering.

E – Prototype

If a procuring entity procures a prototype or a first good or service that is developed in the course of, and for, a particular contract for research, experiment, study, or original development. Original development of a first good or service may include limited production or supply in order to incorporate the results of field testing and to demonstrate that the good or service is suitable for production or supply in quantity to acceptable quality standards, but does not include quantity production or supply to establish commercial viability or to recover research and development costs.

F – Unusual Disposal or Sell Off

For purchases made under exceptionally advantageous conditions that only arise in the very short term in the case of unusual disposals such as those arising from liquidation, receivership, or bankruptcy, but not for routine purchases from regular suppliers.

G - Confidentiality

If goods or consulting services regarding matters of a confidential or privileged nature are to be purchased and the disclosure of those matters through an open tendering process could reasonably be expected to compromise government confidentiality, result in the waiver of privilege, cause economic disruption, or otherwise be contrary to the public interest.