

**Department Request for Exception to Board of Regents Policy:
 Purchasing Goods and Services and Professional Services (non-construction) \$50,000+
 and Construction Professional Services \$100,000+; and Construction Services \$250,000+**

NOTE: This form is used as a request to bypass bidding. Purchasing should be contacted prior to receiving any quotes or demonstrations from suppliers. Exceptions to Board of Regents Policy must be approved by Purchasing Services prior to placing order or starting work. Requests of \$1,000,000 and over require Board of Regents approval before placing order or starting work. Click [here](#) for Regents Docket information.

Department Name: _____

Describe the item or service required to meet the minimum need:

Supplier Name: _____

NEW REQUEST

Instructions: Attach completed form, with signatures, to ePro requisition before submitting requisition. Please attach any other required forms to ePro requisition, such as supplier quote or proposal or CPS Professional Services Information Sheet.

Requisition #: _____

One-Time Order Blanket Order/Time Period Contract Price per attached firm quote: \$

AMENDING EXISTING PO or CPS

Instructions: Complete this section each time you are amending an existing sole source PO or CPS \$50,000 and over or bringing the total over \$50,000. Send completed form, with signatures, to Purchasing Services at purchase@umn.edu or fax to 612-626-0366.

PO/CPS #: _____ Change Order/Amendment #: _____

Current Amount of PO/CPS: \$ Amount Added: \$ Total Amount: \$

NOTE: Complete Section I, II, III, and have document signed before attaching to the requisition.

Section I. BASIS OF REQUEST FOR EXCEPTION TO REGENTS PURCHASING POLICY. Please indicate below the justification basis for this request for Exception to Policy by completing Part A, B, or C. Then go to Section II.

Part A. Justifiable Exceptions to Bidding

1	Purchasing of research products (animal feed, serum, test equip/supplies) for clinical trials. Also purchasing from a previous supplier to ensure consistency of research results.	
2	Equipment that requires brand compatibility with existing equipment or supplies and is available only from manufacturer or sole authorized distributor.	
3	Funding source or federal granting agency specified a single supplier.	
4	Other: (Please complete Section II.)	

Part B. Emergency Justifiable Exceptions to Bidding

1	A threat to health, welfare, safety.	
2	A significant loss to the University.	
3	A failure to provide core services to University students/faculty/staff.	
4	Emergency equipment repairs and parts or emergency facility repairs and parts under \$100,000.	
Note: The urgency cannot be caused by department's own lack of planning.		

Part C. Pre-Approved Exceptions to Bidding for GOODS, STANDARD SERVICES, AND PROFESSIONAL SERVICES

1	Lodging, travel (does not include group airfares or charter air).	
2	Media advertising, purchase of or access to uniquely compiled database of information.	
3	Farm commodities such as grain or livestock. Note to Buyer: Livestock bought at auction appears on Direct Pay List.	
4	Closeout or used items which requestor or Purchasing has verified to be at least 30% below comparable new equipment (does not include refurbished or remanufactured furniture).	
5	Subcontractors previously arranged by Sponsored Projects Administration (SPA).	
6	Service (1) available only from another governmental agency or public entity or (2) required by law to be provided by another governmental entity.	
7	Service/maintenance agreements with the original manufacturer/developer for equipment and software.	
8	Unique specification research animals purchased under guidelines of the Institutional Animal Care and Use Committee (IACUC).	
9	Software license renewals and software upgrades available only from developer. This includes adding licenses to an existing license agreement.	
10	Development, design and/or creation of original artwork.	
11	Fairview purchases related to research projects. (See letter on file.)	
12	Entertainers, lecturers, speakers and honoraria.	
13	Purchases from University Physicians that are not part of sponsored research activities.	
14	Study Abroad Program Administrators (Does not include group airfares.)	
15	Legal Services for the Office of the General Counsel	
16	Search Firms that have met pre-defined criteria. (See Search Firm Criteria.)	

NOTE: If you complete Part C, Pre-Approved Exceptions, proceed to Section III.

Section II. NOTE: ALL QUESTIONS MUST BE ANSWERED COMPLETELY.

Complete this section if Part A or B are selected above.

All the documentation in Section II must fully support each statement made in Section I, Part A and B. Answers which require additional space should be attached to this justification with reference to the specific question number. Additional documents that pertain to these questions may also be attached with reference to the question number.

1. Why must this item or service be purchased only from the proposed supplier? Note: (a) Checking with other possible suppliers yourself is not justification for avoiding an open, competitive process. (b) Lack of awareness of other suppliers is not acceptable justification. (c) Patents alone are not sufficient justification for waiving the bid process.

2. Basis for supplier selection: Why is the manufacturer or source cited above uniquely qualified to provide the required item or service?

Section III. PRICE REASONABLENESS

IN THE ABSENCE OF COMPETITIVE BID/PROPOSAL PRICES, HOW CAN YOU BE ASSURED THAT THE PRICE QUOTED BY THIS SINGLE SUPPLIER IS REASONABLE? Please address this below:

I judge that the prices (or discounts), terms and conditions accepted on the above referenced order are reasonable and represent a good value to the University of Minnesota. My judgment is based on:

- 1. Cost/price analysis – attached and include review and approval by an individual qualified to make judgment of reasonableness.
 - (a) What qualifies individual to make judgment of reasonableness

 - (b) What is the individual's basis for judging this purchase reasonable

- 2. Negotiation with supplier. Explain supplier's concession.

- 3. Published catalog price (Indicate amount and type of discount).
 - (a) How is the price reasonable?

- 4. Comparison to similar purchase from **different** supplier.

PO/CPS #	Req #	Date:	Cost: \$
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- 5. Other:

CERTIFICATION from REQUESTER

The undersigned states that he/she has prepared the above documentation and that the facts and data set forth are complete and accurate to the best of the undersigned's knowledge and belief.

CONFLICT OF INTEREST: The Requestor certifies that to Requestor's knowledge, no elected or appointed official or employees of the University of Minnesota has benefited or will benefit financially or materially from this award. The awarded contract may be terminated by the University of Minnesota if it is determined that gratuities of any kind from the Supplier, its agents, or its employees were either offered to or received by any of the aforementioned individuals at the University of Minnesota.

 NAME AND TITLE (Please print or type)

DEPARTMENT	PHONE	DATE
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 REQUESTOR'S SIGNATURE

 DEPARTMENT HEAD'S SIGNATURE

 OVER \$250,000 – DEAN OR ADMINISTRATIVE VICE PRESIDENT'S SIGNATURE
 (Required for approved Exceptions only)

FOR PURCHASING USE ONLY

Approval Instruction:

Approved Exceptions require all necessary signatures as stated below. Pre-Approved Exceptions up to \$250,000 require only a Category Manager signature. For Pre-Approved Exceptions \$250,000 and over Category Manager and Director signatures are required. Once the form is routed and signed by Purchasing/Regents File Copier this form will be given back to the Category Manager to finish processing requisition.

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| a. Category Manager | X | Required for all Approved and Pre-Approved Exceptions. | Date | |
| b. Director/Associate Director | X | Final approver for Approved Exceptions up to \$250,000. Required for all Pre-Approved Exceptions \$250,000 and over. | Date | |
| c. Controller | X | Required for Approved Exceptions \$250,000 and over. | Date | |
| <input type="checkbox"/> Approved by Board of Regents | | (For Purchases \$1,000,000 and over) | Date | |
| <input type="checkbox"/> Logged by Purchasing Admin | | | Date | |
| <input type="checkbox"/> EFS Updates Done, If Needed | X | | Date | |