

SUU EXCEPTION REQUEST FORM

ALL EXCEPTION REQUESTS OVER \$5,000, MUST BE PRE-APPROVED BY THE PURCHASING DEPARTMENT.

- An exception to the standard procurement process is appropriate if the SUU Purchasing Department agrees in that: (a) there is only one source for the procurement item; (b) compatibility/transitional costs (c) the procurement item is needed for trial use or testing to determine whether the item/service will benefit the department; (d) An Emergency Procurement was necessary, as defined in the SUU Purchasing Policy.
- An exception request for a purchase valued at \$50,000 or more is publicly posted on the SUU Purchasing Department’s website for 7 consecutive days. This is required by the Utah Procurement Code and SUU Purchasing Policy to allow for public/supplier input.
- The following does not meet the requirements of an exception to the standard procurement process:
 - An urgent or unexpected circumstance or requirement for a procurement item.
 - The only supplier in Utah.
 - Personal preference with a single supplier.
 - Business needs alone do not meet the legal criteria for an exception without also meeting one of the Exception Request criteria.
 - Price, promo discounts, quote expiration, etc. (Final price is negotiated after the exception request approval but is not considered as a valid exception criteria).

Part 1: Complete each section and provide the information requested.

Department Name:
Department Contact Person:
Department Contact Phone Number:
Department Contact Email Address:
Description of Product / Service:
Total Cost for the Purchase or Total Cost for Entire Term of the Contract:
Vendor/Contractor Name:
Vendor/Contractor Contact name:
Vendor/Contractor Contact email and phone number:
Vendor/Contractor Quote/Scope of Work/Specifications must be attached:

Part 2: Please fill out the section that best describes your Exception Request

There is only one source for the product/service/equipment	Complete section A
This type of transaction includes compatibility/transitional costs from existing equipment, technology, software, accessories, replacement parts, or service	Complete section B
A procurement item is needed for trial use or testing to determine whether the procurement item will benefit the business unit.	Complete section C
Emergency Procurement	Complete section D

Section A: ONLY ONE SUPPLIER – SOLE SOURCE

1.	Explain in detail why the service/product/equipment is <u>only</u> available from a single supplier.
2.	Explain the market research performed to determine this purchase was a sole source?
3.	Explain why variations or modifications cannot be made to the product/service in order to allow for competition.
4.	List the names of other similar vendors/contractors contacted, contact person(s), and a summary of their response.

Section B: COMPATIBILITY / TRANSITIONAL COSTS

1.	Describe the existing service/product/equipment with which this purchase must be compatible. Include original purchase price and date.
2.	What is the estimated remaining life expectancy of the existing service/product/equipment?
3.	What are the estimated transitional costs for moving to new equipment.

Section C: A PROCUREMENT ITEM IS NEEDED FOR TRIAL USE OR TESTING TO DETERMINE WHETHER THE PROCUREMENT ITEM WILL BENEFIT THE BUSINESS UNIT

1.	Describe how this trial use contract for the new or novel procurement item will benefit your department.
2.	Describe why a trial use contract exception is necessary for this procurement item at this time as opposed to conducting a standard procurement process to procure the procurement item.
3.	What is the scope, size, timeframe desired, and location of the test or trial?

4.	Does the contract for trial and testing follow the criteria listed in Utah State Law 63G-6a-802.3.

Section D: EMERGENCY PROCUREMENT

1.	What caused the request or an Emergency Procurement
2.	Location of the incident?
3.	Date of Incident

Part 3: Required signatures for approval

Please Note: Department and Finance approvals should be gathered by the department before sending to the Purchasing Department for the final approval. Seeking advice from the Purchasing Department before completing this document is recommended.

Department Approval (Dean or AVP or VP or President)

Name: _____ Title: _____

Signature: _____

Finance Approval (Chief Financial Officer or AVP of Business Services or AVP of Finance)

Name: _____ Title: _____

Signature: _____

Purchasing Department (Director of Purchasing or Chief Procurement Officer)

Name: _____ Title: _____

Signature: _____

- Reference State of Utah Procurement Code, 63G-6a-802
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- Reference State of Utah Procurement Code, R33-8-401
- Reference Southern Utah University Policy #5.24