

Single or Sole Source, & Emergency Procurement Certification

Return completed form and backup to Strategic Procurement Services, Rideau Building, 3rd Floor

Queen's University Procurement Policy applies to the purchase of all products & services and reflects all federal and provincial laws that govern public sector procurement, including competitive market practices. The Procurement Policy and related procedures apply to expenditures from all funds: operating, research, ancillary, capital and special purpose. Compliance with the Policy is mandatory. In addition, the Queen's University Procurement Code of Ethics applies to all staff and students engaged in the supply chain.

Goal: To ensure an ethical, professional and accountable procurement program at Queen's University.

I. Personal Integrity and Professionalism

All individuals involved in purchasing or other supply chain-related activities must act, and be seen to act, with integrity and professionalism. Honesty, care and due diligence must be integral to all supply chain activities within and between BPS organizations, suppliers and other stakeholders. Respect must be demonstrated for each other and for the environment. Confidential information must be safeguarded. Participants must not engage in any activity that may create, or appear to create a conflict of interest, such as accepting gifts or favours, providing preferential treatment, or publicly endorsing suppliers or products.

II. Accountability & Transparency

Supply chain activities must be open and accountable. In particular, tendering, contracting and purchasing activities must be fair, transparent and conducted with a view to obtaining the best value for public money. All participants must ensure that public sector resources are used in a responsible, efficient and effective manner.

III. Compliance & Continuous Improvement

All BPS supply chain participants must comply with this Code of Ethics and the laws of Canada and Ontario. Participants should continuously work to improve supply chain policies and procedures, to improve supply chain knowledge and skill levels, and to share leading practices.

Definitions:

Sole Source: Only one supplier is capable of meeting end user requirements and specifications; no other supplier or distributor in the market.

Single Source: More than one supplier or distributor for a product exists in the market, however only one of those suppliers or distributors is able to meet specific requirements.

Emergencies: A circumstance in which an immediate purchase or procurement decision is necessary to prevent a serious delay which could result in a danger to life, damage to property, or suspension of the provision of an essential service. (Queen's Procurement Policy section 3.13)

If quotations or competitive proposals are not solicited, this signed certification along with the back-up documentation must be forwarded to Strategic Procurement Services, along with the purchase order, prior to making any commitment to the supplier. Proof of FMV is demonstrated via written confirmation from the supplier of the manufacturer's list price, any educational discounts and the net price and is attached. All attempts should be made to obtain maximum value for money.

Please Note:

The University will not recognize the procurement of products & services unless this certificate has been signed and approved by the Director of Strategic Procurement Services.

A COMPETITIVE PROCESS CANNOT BE COMPLETED FOR THIS ACQUISITION FOR THE REASON(S) NOTED ON THE FOLLOWING PAGE AND IS SUPPORTED BY THE RATIONALE PROVIDED IN THE SPACE BELOW.

THIS PURCHASE IS AUTHORISED ONE LEVEL ABOVE THAT REQUIRED FOR A COMPETITIVE PROCUREMENT OF THE SAME DOLLAR VALUE ACCORDING TO THE QUEEN'S UNIVERSITY CONTRACT SIGNING AUTHORITY MATRIX AND BPS PROCUREMENT DIRECTIVE.

NOT FOR RESEARCH USE! NOT FOR RESEARCH USE! NOT FOR RESEARCH USE! NOT FOR RESEARCH USE! NOT FOR RESEARCH USE!



Reason for Request

This request for exemption applies to (check all boxes that apply)

- Canada Foundation for Innovation (CFI) grant purchase
 Sole Source (see below)
 Single Source/Emergency (see below)

Check ONE box below that best describes the reason for a Single/Sole Source or Emergency Exemption:

<u>Sole Source</u>	<u>Single Source</u>
<p>Where only one supplier is able to meet the requirements of a procurement, Organizations may conduct non-competitive procurement in the circumstances listed below (also known as sole source situations) provided that they do not do so for the purposes of avoiding competition between suppliers or in order to discriminate against suppliers:</p> <ul style="list-style-type: none"> <input type="checkbox"/> To ensure compatibility with existing products, to recognize exclusive rights, such as exclusive licences, copyright and patent rights, or to maintain specialized products that must be maintained by the manufacturer or its representative; <input type="checkbox"/> Where there is an absence of competition for technical reasons and the goods or services can be supplied only by a particular supplier and no alternative or substitute exists; <input type="checkbox"/> For the procurement of goods or services the supply of which is controlled by a supplier that is a statutory monopoly; <input type="checkbox"/> For the purchase of goods on a commodity market; <input type="checkbox"/> For work to be performed on or about a leased building or portions thereof that may be performed only by the lessor; <input type="checkbox"/> For work 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 work; <input type="checkbox"/> For a contract to be awarded to the winner of a design contest; <input type="checkbox"/> For the procurement of a prototype of a first good or service to be developed in the course of and for a particular contract for research, experiment, study or original development, but not for any subsequent purchases; <input type="checkbox"/> For the purchase of goods under exceptionally advantageous circumstances such as bankruptcy or receivership, but not for routine purchases; <input type="checkbox"/> For the procurement of original works of art; <input type="checkbox"/> For the procurement of subscriptions to newspapers, magazines or other periodicals; and <input type="checkbox"/> For the procurement of real property. 	<p>Organizations may conduct non-competitive procurement in the circumstances listed below (also known as single source situations); provided that they do not do so for the purposes of avoiding competition between suppliers or in order to discriminate against suppliers.</p> <p style="color: red; margin-left: 20px;">EMERGENCY</p> <ul style="list-style-type: none"> <input type="checkbox"/> Where an unforeseeable situation of urgency exists and the goods or services cannot be obtained in time by means of open procurement procedures; <p style="color: red; margin-left: 20px;">Failure to plan and allow sufficient time for a competitive procurement process does not constitute an unforeseeable situation of urgency.</p> <p style="margin-left: 20px;">SINGLE SOURCE</p> <ul style="list-style-type: none"> <input type="checkbox"/> Where goods or 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, cause economic disruption or otherwise be contrary to the public interest; <input type="checkbox"/> Where a contract is to be awarded under a cooperation agreement that is financed, in whole or in part, by an international cooperation organization, only to the extent that the agreement between the entity and the organization includes rules for awarding contracts that differ from the obligations set out in the Directive; <input type="checkbox"/> Where construction materials are to be purchased and it can be demonstrated that transportation costs or technical considerations impose geographic limits on the available supply base, specifically in the case of sand, stone, gravel, asphalt, compound and pre-mixed concrete for use in the construction or repair of roads; <input type="checkbox"/> Where compliance with the open tendering provisions set out in the Directive would interfere with the entities' ability to maintain security or order or to protect human, animal or plant life or health; and <input type="checkbox"/> In the absence of a receipt of any bids in response to a call for proposals or tenders made in accordance with the Directive.



This acquisition is intended for the following:

Product or Service description:

Recommended Supplier Name:

Rationale: Explain why the Supplier requested is the only one that can satisfy the requirements, as well as why alternatives are unacceptable. Attach additional pages if necessary.

Purchase Order #: (to be provided by Strategic Procurement Services)

I understand and accept the Queen's University Procurement Code of Ethics and that the Queen's University Procurement Policy requires competitive quotations for products or services valued between \$10,000 and \$99,999 and formal competitive proposal calls, for products or services valued over \$100,000. I, the requestor, also acknowledge that the order has NOT been placed with the supplier and will not be placed until authorized to do so by the Director, Strategic Procurement Services.

(*Requester and second signing authority cannot be the same person.)

Signing Authority (See Contract Signing Policy and BPS Directive)	Requester* (regardless of value)	\$10,000 - \$49,999 Dean of Faculty <i>or</i> Assoc VP for area	\$50,000 - \$99,999 VP (Finance & Admin) <i>and</i> VP for area	\$100,000+ VP (Finance & Admin) <i>and</i> Principal
Printed Name(s)			VP: VP (F&A):	VP (F&A): Principal:
Signature(s)			VP: VP (F&A):	VP (F&A): Principal:

The signature of the Director, Procurement Services indicates that this purchase falls within the reasons as noted above. Once this request has been approved, the PO will be issued in accordance with the details specified on the Purchasing Requisition.

Director, Strategic Procurement Services

Printed Name

Signature

Date

Strategic Procurement Services Use Only

Sole or Single Source Certification Number: _____