

ORA # 10 – Purchasing Supplemental Materials

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List of websites used in this presentation:

- Department of Procurement and Strategic Sourcing Home Page
www.purchase.umd.edu
- Federal Government Surplus Property Acquisition Information
<http://www.gsa.gov/portal/content/104591>
- Kuali Financial System (KFS)
<https://kualifinancial.umd.edu/KFS/>
- ProWEB Financial System (legacy data from FRS)
www.ares.umd.edu/pro/home.html
- State of Maryland surplus auctions
www.govdeals.com/mdgs
- UMD Policies
<http://www.president.umd.edu/policies/>

6 Step Guide to Making University Purchases

Step 1 - Are the goods or services available in-house?

- Department of Business Services:
 - Copy Services- provides copying and finishing services
 - Design Services- a resource for design and production needs
 - Mail Services- delivers, collects, and processes all incoming and outgoing U.S. Postal Service and interdepartmental mail
 - Motor Transportation Services (MTS)- offers a wide variety of rental vehicles and transportation-related services
 - Photo Services- provides a wide range of photographic services.
 - Printing Services- service and assistance throughout all phases of the printing process including: design, composition, typesetting, offset printing, binding and bulk mailing
 - Records Management- provides information to University departments regarding the proper procedures for retaining and discarding University records.
 - Travel Services- provides travel policy clarification, information about service providers and discounts, expense reconciliation processing, and facilitation of travel procurement.
 - University Copy Program- offers University departments an alternative to purchasing a copy machine using departmental funds.
- ChemStores- maintains an inventory which includes a wide variety of chemicals, scientific apparatus, equipment and supplies.
- Center for Leadership and Organizational Change (CLOC) - provides customized consulting and leadership coaching to help you achieve your organizational goals.
- Dining Services- offers a wide variety of dining and catering options.
- Environmental Safety- DES includes Research Safety, Occupational Safety, Risk Management (insurance), Fire Marshal's Office and Sustainability.
- Facilities Management- offers a wide variety of in-house services for the College Park campus.
- Division of Information Technology- includes the Terp Technology Store, TERPWare software downloads, and a variety of other technology services.
- Institute for Bioscience & Biotechnology Research (IBBR) - DNA Sequencing.
- Physical Distribution Center- provides services for receiving and distribution, shipping, importing and exporting, and house hold and lab moves to campus.
- Terrapin Trader- the University's surplus property operation.

Step 2 - Can you borrow from another department or purchase used/remanufactured items?

Step 3 - Does the State require that we purchase the goods or services from "Preference Providers"?

- Maryland Correctional Enterprise (MCE)
- Blind Industries and Services of Maryland (BISM)
- Maryland Works

Step 4 - Is the transaction within Delegated Procurement Authority?

- Purchasing Card (all unrestricted small dollar transactions) <\$5,000
- Automatic Purchase Order in KFS (small dollar transactions excluded from purchasing card and travel card) <\$5,000
- Travel Card (limited to travel related transactions within Delegated Procurement Authority) <\$5,000 unless from a contract vendor
- Use of a Campus Wide Vendor Contract in KFS (only applies to vendors/purchases with whom UMD has an established Campus Wide Vendor Contract) >\$5,000.

6 Step Guide to Making University Purchases

Step 5 - Submit a Requisition for Purchase to the Department of Procurement and Strategic Sourcing. Your requisition will be assigned to a Contract Manager (Purchasing staff).

For competitive purchases include:

- Requisition in KFS
- Specifications/Scope of Work/Technical Requirements
- Performance requirements
- Special requirements such as delivery or installation
- Estimated dollar amount
- Funding source
- List of suggested vendors*

* Please consider making such purchases with State Certified Minority Businesses (MBE) and Small Businesses (SBR).

The assigned Contract Manager will contact you to review your requirements and make recommendations that allow for maximum competition and result in the acquiring the best value for the University.

For sole source purchases include:

- Requisition in KFS
- Specifications/Scope of Work/Technical Requirements
- Performance requirements
- Special requirements such as delivery or installation
- Estimated dollar amount
- Funding source
- Sole Source Justification Form

The Contract Manager will determine if a sole/single source exists and research the requirement to ensure the cost is fair and reasonable.

For competitive and sole source purchases when the funding source is sponsored funds, additional approval of the expenditure is required from appropriate ORA/ORAA department for your campus as follows:

- UMD – A2 form
- UMCES – A3 form
- USM – A4 form

Step 6

Contact the Department of Procurement and Strategic Sourcing with any questions/concerns.

Department of Procurement and Strategic Sourcing
2113-R Chesapeake Building
Main Phone 301-405-5813
Main Fax 301-314-9565
Website www.purchase.umd.edu

6 Step Guide to Making University Purchases

If the Dollar Amount of the Transaction is between \$5,000.00 and \$100,000.00 (the estimated cumulative value including any option years):

Please be aware that \$5,000.01 is the dollar threshold at which competition of University purchases is required. This means that the Department of Procurement and Strategic Sourcing must seek competition for any requirement that exceeds this amount. In very special circumstances, sole/single source procurements may be justified.

If the requirement is competitive (i.e. there is more than one source that can fulfill the requirement), then the requesting department should provide information such as one or more suggested vendors for the item(s) and/or service(s). If the requirement is a service the department should include a Statement of Work/Scope of Services. Procurement will issue a Request for Quotation (RFQ) package to multiple vendors. Please note that the Procurement may designate the procurement as “small businesses reserve”, allowing only certified small business to participate in the competition. Once quotes are received and analyzed, award will be made to the lowest responsive, responsible offeror.

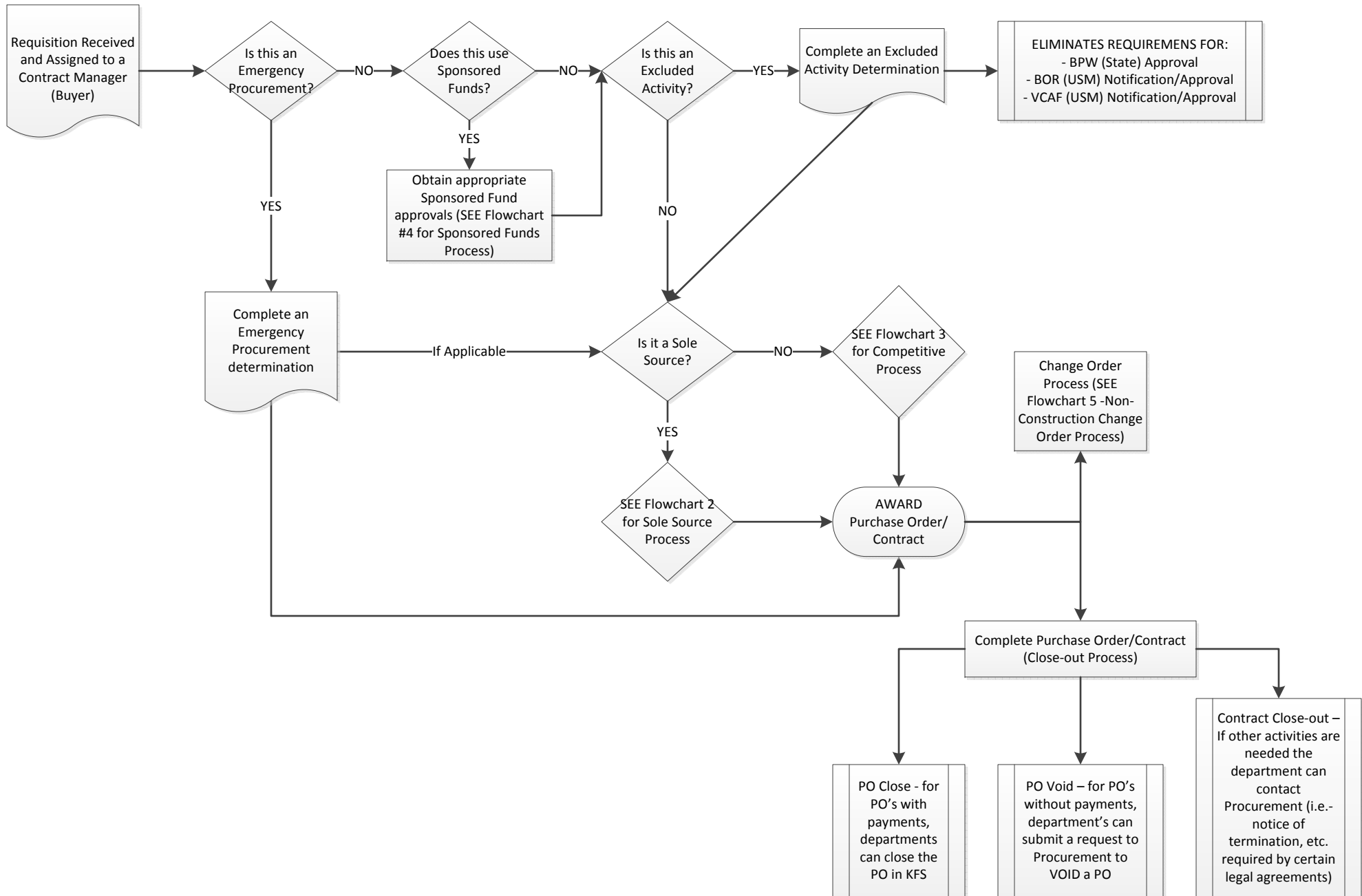
A sole/single source purchase (i.e. procurement without competition) is authorized under limited conditions and subject to written justification documenting the conditions that preclude the use of a competitive process. If Procurement determines that there is only one source that will satisfy the requirements and/or circumstances present, Procurement may negotiate and award a contract without competition to the company identified as a sole source. If you have a sole source transaction, complete and sign the Sole Source Justification form found on the web at <http://www.purchase.umd.edu/forms.html>, click on the link for “Purchasing”. Procurement has established a turn-around goal of 10 business days for sole source transactions between \$5,000.01 and \$100,000.00. This 10-day period begins upon Procurement’s receipt of a complete package (requisition plus all documentation, and a completed and signed sole source justification form with persuasive justification in sufficient detail to clearly establish the transaction as sole source). If Procurement does not approve the transaction as sole source, then it will be handled as a competitive transaction.

If the Dollar Amount of the Transaction exceeds \$100,000.00 (the estimated cumulative value including all option years):

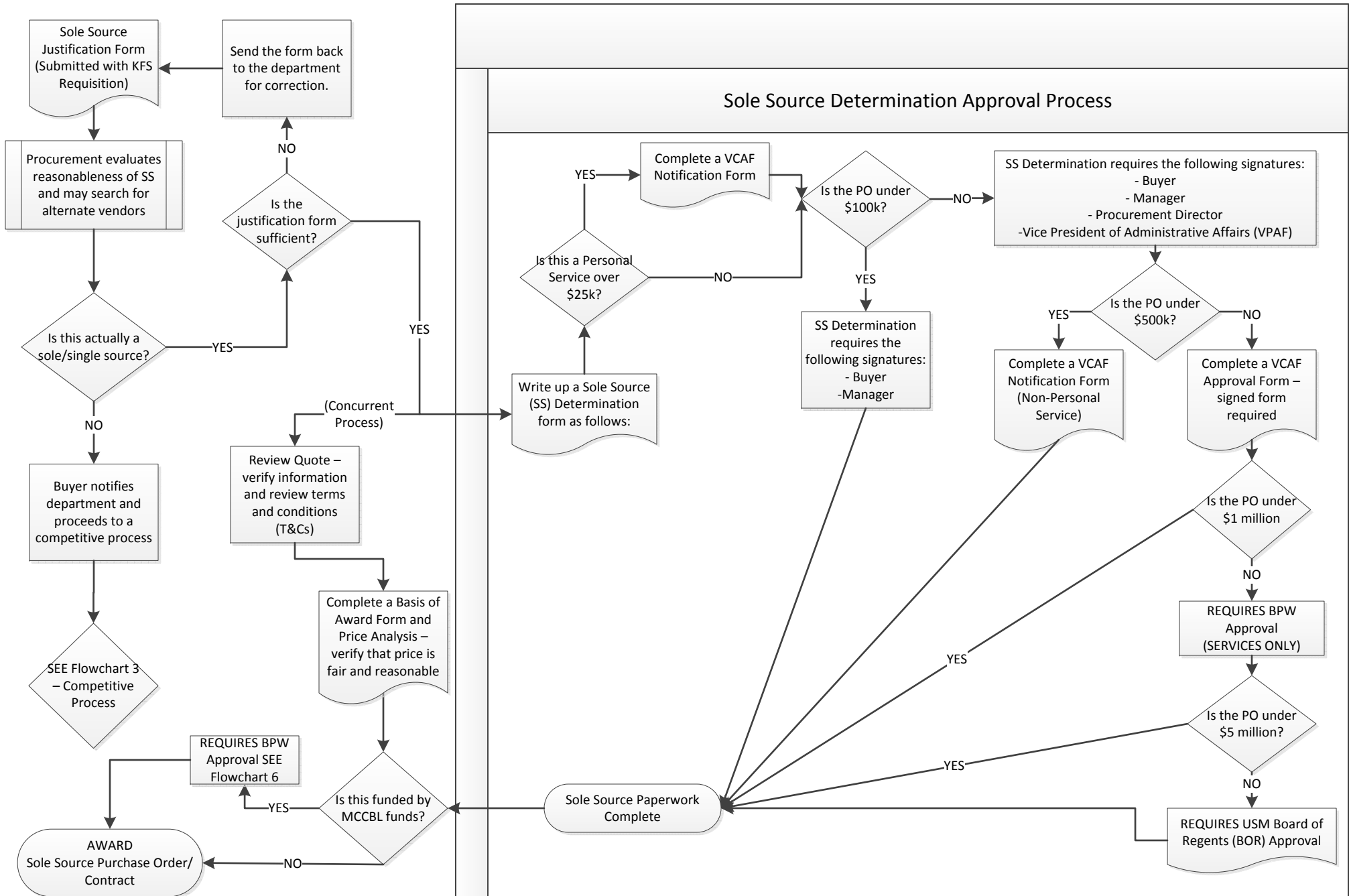
Procurement utilizes a different process for competitive requirements exceeding \$100,000.00. Typically, Procurement issues a formal Request for Proposal (RFP) or Invitation for Bid (IFB) package, containing a complete and detailed Specifications and Scope of Work. RFP/IFB’s are issued to multiple vendors and posted on eMarylandMarketplace. Procurement makes an award(s) as a result of the department’s evaluation of proposals and Procurements approval. Under an RFP the typical basis of award is the proposal that represents the “best value” to the University. Technical and Financial proposals are formally evaluated by separate committees. Use of the RFP process also involves Procurement creating a Source Selection Plan and a Milestone Plan. The end user representative agrees to both of these plans prior to issuance of an RFP. The RFP process typically takes between 2 and 4 months and includes significant involvement from the requesting department, so it is very important to involve Procurement as soon as possible for any requirement expected to exceed \$100,000.00.

The process for handling sole source transactions in excess of \$100,000 does not differ significantly from lower-dollar sole source transactions, except that the sole source justification acquires the additional approval of the Vice President of Administration and Finance. The USM Vice Chancellor of Administration and Finance must also be notified when a sole source exceeds \$100,000. If the sole source exceeds \$500,000, prior approval from the USM Vice Chancellor is required. As a general rule, the higher the dollar amount of the transaction, the more compelling the sole source justification must be.

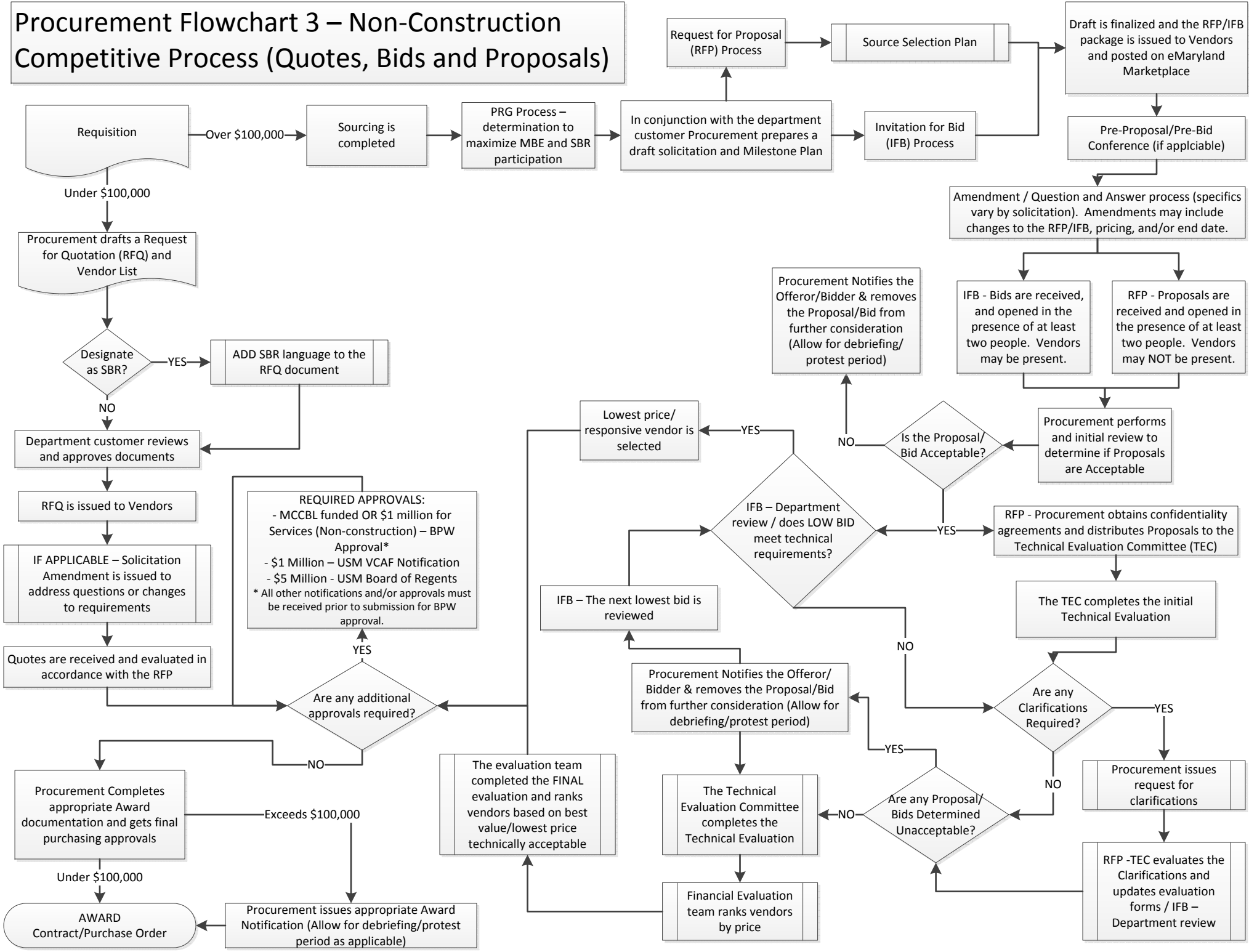
Procurement Flowchart 1 - Basic Non-Construction



Procurement Flowchart 2 - Non-Construction Sole Source Process



Procurement Flowchart 3 – Non-Construction Competitive Process (Quotes, Bids and Proposals)





AG Gansler: Pittsville Woman Pleads Guilty to Theft from UMES

*Former university employee used state purchasing cards to
buy personal items*

Baltimore, MD (May 29, 2014) - Attorney General Douglas F. Gansler today announced that former University of Maryland Eastern Shore (UMES) employee April Marie Sivak, 41, of Pittsville, pleaded guilty to one count of Felony Theft Scheme. Somerset County Circuit Court Judge Daniel M. Long sentenced Sivak to 18 months incarceration, all of which was suspended. Sivak was placed on three years of supervised probation and ordered to pay \$3,200 in restitution.

"This was a foolish and selfish act that is not representative of most honest and hardworking state employees," said Attorney General Gansler. "When taxpayer money is stolen, our office works to recoup what was taken and ensure it doesn't happen again."

While employed as an administrative assistant in UMES's School of Pharmacy and Health Professions in 2012 and 2013, Sivak used two state corporate purchasing cards to buy an Xbox, cell phones, jewelry and other items for personal use. The purchases cost the university approximately \$3,800; prior to this week's hearing, she made an initial restitution payment of \$600.

The investigation was conducted by the Attorney General's Criminal Division and the Maryland State Police with assistance from the University System of Maryland's internal auditors. In making the announcement, Attorney General Gansler thanked Investigative Auditor Harry Schulz, Maryland State Police Corporal Sha Brown and Assistant Attorney General Megan Davey Limarzi for their work on the case.



For Immediate Release

Media Contacts:

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dpaulson@oag.state.md.usAlan Brody, 410-576-6956
abrody@oag.state.md.us

AG Gansler Secures Conviction in Case of Misused Credit Card at UMBC

Baltimore woman bought personal items with state-issued card

Baltimore, MD (Jan. 24, 2013) - Attorney General Douglas F. Gansler announced today that former University of Maryland, Baltimore County employee Charlotte Alexis Robinson, 50, of Baltimore pleaded guilty in Baltimore County Circuit Court to one count of felony theft. Judge Mickey J. Norman imposed a five-year suspended sentence and ordered Robinson to make restitution in the amount of \$6,693 and complete 100 hours of community service.

"When public employees abuse taxpayer money, it erodes the public trust in government," said Attorney General Gansler. "This conviction and sentence will ensure the reimbursement of all public funds and hopefully serve as an example that defrauding taxpayers will not go unpunished."

Between April 2008 and December 2011, while working in UMBC's Department of Modern Languages & Linguistics, Robinson made numerous unauthorized personal purchases using her state-issued corporate purchasing card. An investigation revealed that Robinson routinely created fraudulent invoices and receipts to cover up her scheme. Many of the items bought were recovered from her home during the execution of a search warrant. The investigation revealed that Robinson purchased electronics, video games, books and American Express and Nordstrom gift cards worth several thousand dollars.

The scheme was originally uncovered by the Office of Legislative Audits, which referred the matter to the UMBC Police Department. The investigation was conducted by the Attorney General's Criminal Division and the Maryland State Police. In making the announcement today, Attorney General Gansler thanked Assistant Attorney General Megan Davey Limarzi, Maryland State Police Cpl. Sha Brown and Investigative Auditor Steve Lesniewski for their work on the case.



For Immediate Release

Media Contact:
David Paulson, 410-576-6357
dpaulson@oag.state.md.us

Former DNR Employee Sentenced for Illegal Purchases Scheme

Prince George's Co. woman will reimburse agency more than \$46,000

Baltimore, MD (March 26, 2012) - Attorney General Douglas F. Gansler announced today that former Maryland Department of Natural Resources (DNR) employee Tabitha Y. Contee, 39, of Upper Marlboro, was sentenced in Anne Arundel County Circuit Court to five years incarceration with all but six months suspended. Judge Paul A. Hackner also ordered Contee to complete five years of supervised probation upon her release and make restitution in the amount of \$46,510.70 to DNR. Contee pled guilty last month to felony theft over \$10,000.

"State-issued credit cards are not a perk to be used for employees' own benefit," said Attorney General Gansler. "Misuse of taxpayer dollars is a serious breach of the public trust that casts a negative light on tens of thousands of law-abiding state employees who are stewards of Marylanders' hard-earned money."

Between May 2, 2007 and Dec. 17, 2009, while employed at DNR, Contee made more than \$46,000 in unauthorized, personal purchases using her state-issued corporate purchasing card. Contee routinely fabricated fraudulent invoices and receipts in an attempt to cover up her scheme and had several large-scale items delivered directly to her home. An investigation revealed that Contee bought high-end electronics, designer handbags, furniture and thousands of dollars worth of Visa gift cards.

The questionable purchases were originally uncovered by the Office of Legislative Audits and, upon referral, an investigation was conducted by the Attorney General's Criminal Division and the Maryland State Police. Attorney General Gansler thanked Assistant Attorney General Megan Davey Limarzi and Investigative Auditor Jim Williams for their work on the case.

SINGLE/SOLE SOURCE JUSTIFICATION

Purpose

This form must accompany purchase requisitions for the sole source procurement of equipment, construction, supplies or services when the purchase will exceed \$5000. (However, this justification is not needed when buying from University contracts.) The purpose of this sole source justification is to show that a competitive procurement is impractical because only one product or service can meet the specific need. It is not to be utilized to circumvent normal purchasing procedure, nor for a price-based justification. Acceptance of this request will be at the discretion of the Department of Procurement and Strategic Sourcing.

NOTE: Procurement of single/sole source items/services exceeding \$100,000 typically takes a minimum of 2-3 months to process, starting from the time a complete package including an approved purchase requisition and single/sole source justification documentation is received by Procurement. Please keep this in mind when planning timeframes for significant purchases.

Statement

I am aware that State of Maryland and Federal procurement regulations require procurements to be done competitively whenever practicable. I am requesting a sole source procurement based on the following criteria. The following statements are complete and accurate, based on my professional judgement and investigations. I also certify that no personal advantage, gain or privilege has (or will) accrue to my immediate family or myself through the purchase from this vendor, nor is a family member employed by or an officer of this vendor.

Customer's printed name: _____

Customer's signature: _____

Date: _____ Phone: _____

Reference Req#: _____ Account #: _____

Vendor: _____

Please select the category (or categories) below that best describe your single/sole source requirement. Answer all of the questions pertaining to that category, attaching additional pages as needed. Complete only those categories that are applicable.

AT A MINIMUM, SECTIONS "A", "C" AND "E" MUST BE COMPLETED TO DEFEND A SOLE/SINGLE SOURCE REQUIREMENT.

A. Requirement Description/Use *(Required)*

1. Describe the product/contractor/service provider/consultant requested:
2. Describe the function and use of the product/contractor/service provider/consultant Requested:

B. Compatibility with existing equipment, services, research protocols, methodology, training, etc: *(As Applicable)*

Note: Compatibility alone does not justify a sole/Single-source procurement. We also must to document “how-we-know” no other entity is able to provide compatible equipment/services. Sections “C” and “D” must also be completed to define “how we know”.

1. What is the approximate dollar value of the existing facets (equipment/services etc)?
2. What are the unique properties that make this the only product/contractor/service provider/consultant compatible with existing services, material or research?
3. Provide any other supporting information, if applicable.

C. Only known Contractor for this product/service provider/consultant: *(Required)*
This is where we define “how we know” that no other contractor can provide the product/service required. This must be completed in conjunction with sections “A” and “C” and relate to the requirement in Section “A”.

1. What investigation has been done to support this claim (i.e., trade shows, Internet searches, professional journals, discussion with colleagues, etc.)? Please list sources.
2. What other contractors were solicited for information? Please list their names and summarize your findings.
3. Does this contractor /manufacturer sell directly to the University of Maryland or through distributors? ***(Note - Probably N/A for consultants/services. For components/Maintenance providers: If the manufacturer has more than one distributor, Procurement and Strategic Sourcing will seek competition only from those distributors.)***

D. Only contractor that will meet the requirements of the intended use although other like items/services exist: *(As Applicable)*

This is where we demonstrate the findings of Section “C” above, demonstrating why the other contractors offering will not meet the need of the University and relate to the requirement in Section “A”.

1. What are the results of the evaluation of other Contractors/ manufacturers/ service providers/consultants? Please identify the deficiencies that lead to their disqualification and attach any/all vendor quotations to this form.
 2. If this Contractor/product/service provider/consultant is superior to all others, state the reasons why. (Give specific characteristics, capabilities and properties.)
 3. State why the specific superior characteristics, capabilities and properties identified above are necessary for your particular requirement.
 4. Provide other supporting research to document the need for only this specific contractor/manufacturer/service provider/consultant, if applicable.
- E. What are the consequences of not securing this specific item or service from the requested source? *(Required)*
- F. Provide any additional information not furnished above that supports your specific requirements necessitating single/sole source purchase: *(As Applicable)*

Here among other reasons supporting the single/source contractor request, we would note if the particular product/service, etc, is specifically named in the Research Proposal and ensuing Grant or Contract and relate to the requirement in Section “A”. In the event it is so named, the Requestor must provide a copy of (1) the first page of the Grant/Contract, (2) copies of the specific pages of the Grant/Contract and the Proposal specifically naming the exact contractor/equipment required. (This documentation should also define the service/ equipment as “key” to the success of the Grant/Contract).

SAMPLE ONLY – FOR TRAINING PURPOSES**SINGLE/SOLE SOURCE JUSTIFICATION****Purpose**

This form must accompany purchase requisitions for the sole source procurement of equipment, construction, supplies or services when the purchase will exceed \$5000. (However, this justification is not needed when buying from University contracts.) The purpose of this sole source justification is to show that a competitive procurement is impractical because only one product or service can meet the specific need. It is not to be utilized to circumvent normal purchasing procedure, nor for a price-based justification. Acceptance of this request will be at the discretion of the Department of Procurement and Strategic Sourcing.

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Statement

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Customer's printed name: _____

Customer's signature: _____

Date: _____ Phone: _____

Reference Req#: _____ Account #: _____

Vendor: **DNA Lab X1 Ltd**

Please select the category (or categories) below that best describe your single/sole source requirement. Answer all of the questions pertaining to that category, attaching additional pages as needed. Complete only those categories that are applicable.

AT A MINIMUM, SECTIONS "A", "C" AND "E" MUST BE COMPLETED TO DEFEND A SOLE/SINGLE SOURCE REQUIREMENT.

A. Requirement Description/Use (*Required*)

1. Describe the product/contractor/service provider/consultant requested:

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Illumina HiSeq DNA Sequencing

2. Describe the function and use of the product/contractor/service provider/consultant Requested:

Next generation DNA Sequencing is required in order to construct a high level DNA map for the wolf spider, this DNA information will be an important step in my research and analysis of the genetics of speciation. I have attached a copy of the letter I sent to each vendor I contacted.

- B. Compatibility with existing equipment, services, research protocols, methodology, training, etc: *(As Applicable)*

Note: Compatibility alone does not justify a sole/Single-source procurement. We also must to document “how-we-know” no other entity is able to provide compatible equipment/services. Sections “C” and “D” must also be completed to define “how we know”.

1. What is the approximate dollar value of the existing facets (equipment/services etc)?
2. What are the unique properties that make this the only product/contractor/service provider/consultant compatible with existing services, material or research?
3. Provide any other supporting information, if applicable.

- C. Only known Contractor for this product/service provider/consultant: *(Required)*
This is where we define “how we know” that no other contractor can provide the product/service required. This must be completed in conjunction with sections “A” and “C” and relate to the requirement in Section “A”.

1. What investigation has been done to support this claim (i.e., trade shows, Internet searches, professional journals, discussion with colleagues, etc.)? Please list sources.

I researched possible companies and University DNA research facilities through discussions with colleagues and by contacting approved vendors on Illumina’s website. I contacted three companies directly and quotes from all of them are attached.

2. What other contractors were solicited for information? Please list their names and summarize your findings.

I have requested quotes from several sequencing labs from around the country. DNA Lab X1 is much less expensive and much more responsive to the needs of a non-medical academic researcher than other labs. This company is exceptionally well equipped and experienced in the type of genetic work that I require, and they can do the work in an acceptable timeframe. In contrast, I received varying opinions from the other companies I contacted about the output and library prep that would be needed for my research, which varied from my own research on this topic. Also, the other two companies had 2-3 month lead times to begin this work.

SAMPLE ONLY – FOR TRAINING PURPOSES

3. Does this contractor /manufacturer sell directly to the University of Maryland or through distributors? (***Note - Probably N/A for consultants/services. For components/Maintenance providers: If the manufacturer has more than one distributor, Procurement and Strategic Sourcing will seek competition only from those distributors.)***)

D. Only contractor that will meet the requirements of the intended use although other like items/services exist: (***As Applicable***)

This is where we demonstrate the findings of Section “C” above, demonstrating why the other contractors offering will not meet the need of the University and relate to the requirement in Section “A”.

1. What are the results of the evaluation of other Contractors/ manufacturers/ service providers/consultants? Please identify the deficiencies that lead to their disqualification and attach any/all vendor quotations to this form.

Three companies were contacted about the DNA sequencing services.

2. If this Contractor/product/service provider/consultant is superior to all others, state the reasons why. (Give specific characteristics, capabilities and properties.)

I researched several Universities and other companies that can complete this service. I contacted CGF DNA Labs, Express DNA Labs, and DNA Lab X1. DNA Lab X1 is the cheapest company and they are the only company that can start the sequencing immediately.

3. State why the specific superior characteristics, capabilities and properties identified above are necessary for your particular requirement.
4. Provide other supporting research to document the need for only this specific contractor/manufacturer/service provider/consultant, if applicable.

Quotes are attached from all three companies I contacted.

- E. What are the consequences of not securing this specific item or service from the requested source? (***Required***)
- F. Provide any additional information not furnished above that supports your specific requirements necessitating single/sole source purchase: (***As Applicable***)

Here among other reasons supporting the single/source contractor request, we would note if the particular product/service, etc, is specifically named in the Research Proposal and ensuing Grant or Contract and relate to the requirement in Section “A”. In the event it is so named, the Requestor must provide a copy of (1) the first page of the Grant/Contract, (2) copies of the specific pages of the Grant/Contract and the Proposal specifically naming the exact contractor/equipment required. (This documentation should also define the service/ equipment as “key” to the success of the Grant/Contract).

SAMPLE ONLY – FOR TRAINING PURPOSES**SINGLE/SOLE SOURCE JUSTIFICATION****Purpose**

This form must accompany purchase requisitions for the sole source procurement of equipment, construction, supplies or services when the purchase will exceed \$5000. (However, this justification is not needed when buying from University contracts.) The purpose of this sole source justification is to show that a competitive procurement is impractical because only one product or service can meet the specific need. It is not to be utilized to circumvent normal purchasing procedure, nor for a price-based justification. Acceptance of this request will be at the discretion of the Department of Procurement and Strategic Sourcing.

NOTE: Procurement of single/sole source items/services exceeding \$100,000 typically takes a minimum of 2-3 months to process, starting from the time a complete package including an approved purchase requisition and single/sole source justification documentation is received by Procurement. Please keep this in mind when planning timeframes for significant purchases.

Statement

I am aware that State of Maryland and Federal procurement regulations require procurements to be done competitively whenever practicable. I am requesting a sole source procurement based on the following criteria. The following statements are complete and accurate, based on my professional judgement and investigations. I also certify that no personal advantage, gain or privilege has (or will) accrue to my immediate family or myself through the purchase from this vendor, nor is a family member employed by or an officer of this vendor.

Customer's printed name: _____

Customer's signature: _____

Date: _____ Phone: _____

Reference Req#: _____ Account #: _____

Vendor: **Dr. John Smith-Jones**

Please select the category (or categories) below that best describe your single/sole source requirement. Answer all of the questions pertaining to that category, attaching additional pages as needed. Complete only those categories that are applicable.

AT A MINIMUM, SECTIONS "A", "C" AND "E" MUST BE COMPLETED TO DEFEND A SOLE/SINGLE SOURCE REQUIREMENT.

A. Requirement Description/Use (*Required*)

1. Describe the product/contractor/service provider/consultant requested:

To obtain an expert to provide consulting services for the "Chesapeake Bay Invertebrate Marine Species Identification" project as described in Grant award GS04-56781. Dr. Smith-Jones has 25 year of experience in the field of biology specializing in marine species identification, his

SAMPLE ONLY – FOR TRAINING PURPOSES

experience includes identification of species along the North American East Coast and in the Chesapeake Bay and surrounding watershed. He specializes in invertebrate identification and has developed new analytical and computational methodology for identifying invertebrate species without disturbing habitat.

2. Describe the function and use of the product/contractor/service provider/consultant Requested:

Dr. Smith-Jones will work in collaboration with a team of research from the University of Maryland and the sponsor to develop the methodology and approach for cataloging the invertebrate marine species in the Chesapeake Bay. Methods will focus on the process developed by Dr. Smith-Jones.

- B. Compatibility with existing equipment, services, research protocols, methodology, training, etc: *(As Applicable)*

Note: Compatibility alone does not justify a sole/Single-source procurement. We also must to document “how-we-know” no other entity is able to provide compatible equipment/services. Sections “C” and “D” must also be completed to define “how we know”.

1. What is the approximate dollar value of the existing facets (equipment/services etc)?
2. What are the unique properties that make this the only product/contractor/service provider/consultant compatible with existing services, material or research?

Dr. Smith-Jones has the required expertise and in his previous post at the Maryland Department of Natural Resources (MD-DNR) he began work on this project. He is named as a specialist in the proposal submitted for this grant and is named as one of the leads in this project. He is an expert in this field of research and has already completed the first part of this project for year 1. In order to continue his work we should contract with Dr. Smith-Jones as an independent consultant to complete this project.

3. Provide any other supporting information, if applicable.

- C. Only known Contractor for this product/service provider/consultant: *(Required)*
This is where we define “how we know” that no other contractor can provide the product/service required. This must be completed in conjunction with sections “A” and “C” and relate to the requirement in Section “A”.

1. What investigation has been done to support this claim (i.e., trade shows, Internet searches, professional journals, discussion with colleagues, etc.)? Please list sources.

N/A

2. What other contractors were solicited for information? Please list their names and summarize your findings.

N/A

SAMPLE ONLY – FOR TRAINING PURPOSES

3. Does this contractor /manufacturer sell directly to the University of Maryland or through distributors? (***Note - Probably N/A for consultants/services. For components/Maintenance providers: If the manufacturer has more than one distributor, Procurement and Strategic Sourcing will seek competition only from those distributors.***)

Yes

D. Only contractor that will meet the requirements of the intended use although other like items/services exist: (*As Applicable*)

This is where we demonstrate the findings of Section “C” above, demonstrating why the other contractors offering will not meet the need of the University and relate to the requirement in Section “A”.

1. What are the results of the evaluation of other Contractors/ manufacturers/ service providers/consultants? Please identify the deficiencies that lead to their disqualification and attach any/all vendor quotations to this form.
2. If this Contractor/product/service provider/consultant is superior to all others, state the reasons why. (Give specific characteristics, capabilities and properties.)
3. State why the specific superior characteristics, capabilities and properties identified above are necessary for your particular requirement.
4. Provide other supporting research to document the need for only this specific contractor/manufacturer/service provider/consultant, if applicable.

E. What are the consequences of not securing this specific item or service from the requested source? (*Required*)

This project is funded by the Department of the Interior through a Grant to support this research. If we are unable to continue working with Dr. Smith-Jones to continue the work he started at his prior post with MD-DNR then the University will be unable to fulfill the terms of our award as defined in the proposal documents which could result in a loss of funding. Dr. Smith-Jones is named as an expert and as a collaborator in the grant and has been working on this project. In order to continue his services he must be paid as an outside consultant as he is no longer with MD-DNR.

F. Provide any additional information not furnished above that supports your specific requirements necessitating single/sole source purchase: (*As Applicable*)

Here among other reasons supporting the single/source contractor request, we would note if the particular product/service, etc, is specifically named in the Research Proposal and ensuing Grant or Contract and relate to the requirement in Section “A”. In the event it is so named, the Requestor must provide a copy of (1) the first page of the Grant/Contract, (2) copies of the specific pages of the Grant/Contract and the Proposal specifically naming the exact contractor/equipment required. (This documentation should also define the service/ equipment as “key” to the success of the Grant/Contract).

Attached to the Requisition in Kuali are the budget justification from the grant award.



UNIVERSITY OF MARYLAND

Department of Procurement and Strategic Sourcing

Room 2113-R Chesapeake Building
College Park, Maryland 20742-3111
301.405.5813 TEL 301.314.9565 FAX
www.purchase.umd.edu

FEDERAL SMALL BUSINESS SELF-CERTIFICATION FORM

Company Name _____

Address _____

City, State, Zip _____

Contact Person _____

Email Address _____

Phone & Fax Number _____

Federal Tax I.D. Number _____

DUNs Number _____

SIZE

_____ Large Business (including non-profit)

_____ Small Business (Check all that apply.)

_____ Small Disadvantaged Business

_____ Certified by SBA as a HUBZone Small Business

_____ Women Owned Small Business

_____ Veteran Owned Small Business

_____ Service Disabled Veteran Owned Small Business

_____ Historically Black College/University or Minority Institution

_____ Alaskan Native Corporation

_____ Indian Tribe

_____ Other Specify _____

(Continued on Page 2)

FEDERAL SMALL BUSINESS SELF-CERTIFICATION FORM

If you are self-certifying as a Small Business, fill out the information below for the work you have been contracted to perform at the University:

NAICS Code(s) for work being contracted _____

If you are self-certifying as a Small Disadvantaged Business fill out the information below:

Primary NAICS Code _____

NAICS search is available at <http://www.census.gov/cgi-bin/sssd/naics/naicsrch>

You may wish to review the definitions for the Size categories on page 1 in the Federal Acquisition Regulation 19.7 or 52.219-8. If you have difficulty ascertaining your size status, please refer to SBA's website at www.sba.gov/size or contact your local SBA office.

Under 15 U.S.C. 645(d), any person who misrepresents its size status shall (1) be punished by a fine, imprisonment, or both; (2) be subject to administrative remedies; and (3) be ineligible for participation in programs conducted under the authority of the Small Business Act.

By signing below, the contractor certifies and represents that the information provided is current, accurate and complete. The contractor will notify the University of Maryland College Park, Department of Procurement and Supply, of any changes to the information provided.

Company Name

Signature and Title

Date

*****INTERNAL USE ONLY*****

____HUBZone Status has been verified in the SAM or Dynamic Small Business Search Databases as of __/__/__.

DATE OF PURCHASE: _____ **(P.O, PCARD, ETC...)** **KFS Account #** _____