

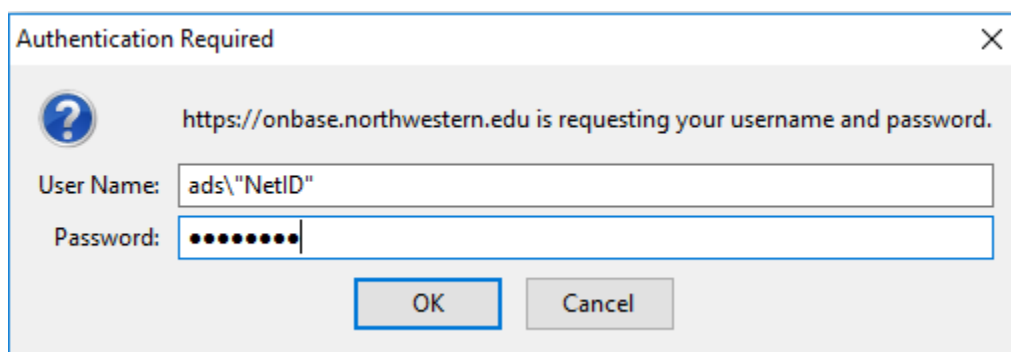
Purchasing Decision Documentation

The Purchasing Decision Documentation must be completed for purchases \$25,000 or more and attached to your Requisition. *If sponsored funds are used, it must be completed for purchases of \$10,000 or more.* You will be asked a series of questions that must be answered regarding the type of purchase and process used for making your supplier selection. Once you have completed answering the questions, a Bid Summary or Sole Source Justification Form will be created based on your answers.

- **Bid Summary Form** – The product or service needed can be provided by multiple suppliers resulting in the need to acquire multiple bids/quotes.
- **Sole Source Justification Form** – The product or service needed can only be provided by a single supplier and the purchase should be exempt from the competitive bid process.

How to Access the Form

1. The Purchasing Decision Documentation can be accessed from the [PPS website](#) under Policies and Forms. You will be prompted to sign in with your NetID and password, once you select the Purchasing Justification Form link. Note: After you've logged in and if the form format or color looks unusual (i.e., an all white background), clear your web browsers cache, or try using a different browser.



Completing the Purchasing Decision Documentation

1. Once logged in, you will be required to fill in fields with a red asterisk. All grayed out fields are auto filled and cannot be edited. Please note, if you would like the completed form to be emailed to an additional person besides yourself, you can enter their email address in the field titled '(Optional) Additional Recipient Email'. Only one additional email address can be entered.
2. You will need to answer the required questions under the Uniform Guidance and Procurement Standards section in order to move to the next section on the form. **If you are using sponsored funds and your purchase is \$250,000 or more, Procurement and Payment Services should have been engaged to assist with your purchase. Note: If your purchase falls into this scenario and you did not engage Procurement and Payment Services, you will receive an error

message and not be able to complete the form. To learn more, visit the [Uniform Guidance Page](#).

Purchasing Decision Documentation Northwestern | FINANCIAL OPERATIONS
Procurement and Payment Services

Purchasing Policy and Procedure at Northwestern University requires a competitive bid process for purchases of \$25,000 or more and for purchases of \$10,000 or more if sponsored dollars are used. Procurement and Payment Services may be contacted for assistance with soliciting additional bids or for further clarification of process if necessary.

- Quotes should be requested from multiple suppliers (maximum participation from the vendor community is encouraged).
- Northwestern University is committed to developing relationships with small, minority-owned, women-owned, and local business enterprises. We encourage the identification and use of these businesses throughout the bid process.
- Bids should be awarded based on best value to the University.
- Bid Summary or Sole Source Justification Forms are not required when using Preferred Vendors.

NetID* [KRP929] Name [Keith R Paddy] Dept ID* [1510000] Date [03/22/2021]
Position [EPROCUREMENT MANAGER] School/Department Name [Purchasing & Strategic Sourcing] Name of Supplier Awarded Bid* [Supplier A]
Work Phone [+1 847 467 6963] ☐ Select this box for Facilities Management Awarded Amount* [25000]
Email [k-paddy@northwestern.edu] Is this purchase a subcontract or funded by a grant?
(Optional) Additional Recipient Email ☐ Yes
☒ No

Uniform Guidance and Procurement Standards

If the product or service being purchased is over \$250,000 and sponsored dollars will be used, Procurement and Payment Services will need to be engaged to issue a formal competitive bid. This is to comply with Uniform Guidance.

Is this purchase over \$250,000 and using sponsored funds?*

☐ Yes
☒ No

Did Procurement and Payment Services assist with bid process?

☐ Yes
☒ No

Process Question

Did you solicit bids from more than one vendor?*

☒ Yes
☐ No

In order to comply with Uniform Guidance, please contact Procurement and Payment Services for assistance with soliciting bids.

COMPETITIVE BID SCENARIO – MORE THAN ONE BID OBTAINED - BID SUMMARY

1. If you have obtained more than one bid, select 'Yes' for the question asking if you received more than one bid.

Purchasing Decision Documentation Northwestern | FINANCIAL OPERATIONS
Procurement and Payment Services

Bid Summary Form

Purchasing Policy and Procedure at Northwestern University requires a competitive bid process for purchases of \$25,000 or more and for purchases of \$10,000 or more if sponsored dollars are used. Procurement and Payment Services may be contacted for assistance with soliciting additional bids or for further clarification of process if necessary.

- Quotes should be requested from multiple suppliers (maximum participation from the vendor community is encouraged).
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Position [EPROCUREMENT MANAGER] School/Department Name [Purchasing & Strategic Sourcing] Name of Supplier Awarded Bid* [Supplier A]
Work Phone [+1 847 467 6963] ☐ Select this box for Facilities Management Awarded Amount* [25000]
Email [k-paddy@northwestern.edu] Is this purchase a subcontract or funded by a grant?
(Optional) Additional Recipient Email ☐ Yes
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Uniform Guidance and Procurement Standards

If the product or service being purchased is over \$250,000 and sponsored dollars will be used, Procurement and Payment Services will need to be engaged to issue a formal competitive bid. This is to comply with Uniform Guidance.

Is this purchase over \$250,000 and using sponsored funds?*

☐ Yes
☒ No

Did Procurement and Payment Services assist with bid process?

☐ Yes
☒ No

Process Question

Did you solicit bids from more than one vendor?*

☒ Yes
☐ No

2. Service/Product Details Section – Enter a detailed description of the service or product select all applicable primary factors in selecting the supplier awarded the bid.

Service/Product Details

Service/Product Description *
Service will be used to finish project.

Primary factors in selecting supplier- Select all that are applicable.

☒ Delivery
☐ Services

☐ Industry Expertise
☐ Small/Diverse/Local Supplier

☒ Installation
☐ University Knowledge

☒ Met Specifications
☐ Warranty

☐ Price
☐ Other

3. Competitive Bids Entry Section – Enter the supplier name and total price for all bid responses received.

- Two (2) quotes are required but Procurement and Payment Services recommends to obtain a minimum of three (3). You will be prompted to enter two quotes; if you have more than three quotes, click the Add button to add additional fields.
- After all quotes have been entered, make a selection under Supplier Criteria/Evaluation. If 'Award to a supplier other than the low bidder' is selected, you will be prompted to provide a detailed explanation of your award decision. Continue by selecting the 'Next' button.

Service/Product Details

Service/Product Description *

Primary factors in selecting supplier- Select all that are applicable.

☐ Delivery
☐ Services

☐ Industry Expertise
☐ Small/Diverse/Local Supplier

☐ Installation
☐ University Knowledge

☐ Met Specifications
☐ Warranty

☐ Price
☐ Other

Competitive Bids – Record all written quotations below for audit purposes. If more than two bids have been received, click on 'Add'. Copies of all bids/quotation shall be maintained by the department/school. However, if your purchase is \$10,000 or more and sponsored dollars are being used, you must attach ALL bids/quotation to your requisition as well as the Bid Documentation Form. If you only received response from one supplier, it is still required that you note one of the other suppliers with \$0 in the price field.

Supplier *	Total Price \$*	
Supplier A	\$25,000.00	Remove
Supplier B	\$6,000	Remove
Supplier C	\$3,000	Remove

Supplier Criteria/Evaluation - Select the appropriate choice.*
☐ Award to low bidder
☒ Award to a supplier other than the low bidder
Provide a detailed explanation of award decision as to why the supplier offers the best value to the department/school.*
Enter explanation here.

Next

4. Conflict of Interest Section – When completing the Conflict of Interest section, responses should be made according to the individual who selected the supplier. Note that any 'Yes' responses will require an explanation to be entered in the comment field.

Conflict of Interest – It is the policy of Northwestern University that its employees conduct the affairs of the University in accordance with the highest ethical, legal and moral standards. An employee must not be in a position to make a decision for the University if his or her personal, professional, or economic interests may be directly influenced or affected by the outcome.

Please complete the following questionnaire as it relates to your relationship or activities with the proposed vendor. A "Yes" answer does not necessarily constitute a conflict of interest. However, without complete disclosure, a fair and reasonable assessment of whether this vendor is an appropriate business partner of the University cannot be made. If you answer "Yes" to a question, you will be prompted to enter a comment to describe the potential conflict of interest.

Individual who selected the vendor:
John Smith

Are you or an immediate family member or extended family member (e.g. spouse, child, sibling, parent, niece, nephew, or in-law) employed by, acting as a consultant, or have a financial interest in the selected vendor? *
☒ Yes ☐ No

Have you or an immediate family member or extended family member received any gifts (other than promotional items or an occasional meal) or more than incidental hospitality from the selected vendor within the last 12 months? *
☐ Yes ☒ No

Have you or an immediate family member or extended family member given a gift or provided more than incidental hospitality to the selected vendor within the last 12 months? *
☐ Yes ☒ No

Comments:
Daughter works for company

NON-COMPETITIVE BID SCENARIO–SINGLE BID OBTAINED – SOLE SOURCE JUSTIFICATION

1. If you received one (1) bid and only one supplier can provide the product or service, select 'No' for the question asking if you have more than one bid and select 'Yes' confirming the product or service can only be provided by a single supplier.

Purchasing Decision Documentation		Northwestern FINANCIAL OPERATIONS	
Sole Source Justification Form		Procurement and Payment Services	
<p>Purchasing Policy and Procedure at Northwestern University requires a competitive bid process for purchases of \$25,000 or more and for purchases of \$10,000 or more if sponsored dollars are used. Procurement and Payment Services may be contacted for assistance with soliciting additional bids or for further clarification of process if necessary.</p> <p>- Quotes must be requested from multiple suppliers (maximum participation from the vendor community is encouraged).</p> <p>- Northwestern University is committed to developing relationships with small, minority-owned, women-owned, and local business enterprises. We encourage the identification and use of these businesses throughout the bid process.</p> <p>- Bids should be awarded based on best value to the University.</p> <p>- Bid Summary or Sole Source Justification Forms are not required when using Preferred Vendors.</p>			
<p>NetID* KRP929</p>	<p>Name Keith R Paddy</p> <p>Position EPROCUREMENT MANAGER</p> <p>Work Phone +1 847 467 6963</p> <p>Email k-paddy@northwestern.edu</p> <p>(Optional) Additional Recipient Email</p>	<p>Dept ID* 1510000</p> <p>School/Department Name Purchasing & Strategic Sourcing</p> <p><input type="checkbox"/> Select this box for Facilities Management</p>	<p>Date 03/22/2021</p> <p>Name of Supplier Awarded Bid* Supplier A</p> <p>Awarded Amount* \$5000</p> <p>Is this purchase a subcontract or funded by a grant? <input type="radio"/> Yes <input checked="" type="radio"/> No </p>
<p>Uniform Guidance and Procurement Standards</p> <p>If the product or service being purchased is over \$250,000 and sponsored dollars will be used, Procurement and Payment Services will need to be engaged to issue a formal competitive bid. This is to comply with Uniform Guidance.</p> <p>Is this purchase over \$250,000 and using sponsored funds?*</p> <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Did Procurement and Payment Services assist with bid process?</p> <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p>		<p>Process Question</p> <p>Did you solicit bids from more than one vendor?*</p> <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Sole source means that the product or service needed can <u>ONLY</u> be provided by a single supplier, and therefore the purchase should be exempt from the competitive bid process. Competition can be generated at the manufacturer and/or distribution level. Sole source requests should be extremely rare.</p> <p>Note: If the grant is used to purchase equipment, the buyer must attach the grant documentation to the requisition as well.</p> <p>Are you sure that this service/product can <u>ONLY</u> be provided by a single supplier?</p> <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p>	

2. Service/Product Details Section – Enter a detailed description of the product or service and select all applicable primary factors that assisted you in your supplier selection.

Service/Product Details

Service/Product Description *

Service will be used to finish project.

3. Noncompetitive Purchase Justification – Select all conditions that are relevant as to the reason a competitive bid process was not appropriate for the product or service. For every condition selected, you will be required to provide an explanation. After selecting all relevant conditions and providing an explanation, continue by clicking the ‘Next’ button.

Noncompetitive Purchase Justification - To be considered a sole source, and therefore exempt from the competitive bid process, one of the following conditions must be met. Select all that are applicable.

- ☐ Only 1 firm has the product that will meet the project's needs or only 1 firm can do the work.
- ☒ Supplier is uniquely qualified to provide this product or service.

Explanation: *

Group specializes in project responsibilities.

- ☐ The product or service must match or be compatible with current equipment or services.
- ☐ Product needed is specifically required for use in conjunction with grant or contract.
- ☐ Service needed is controlled or mandated by the local utility or government.
- ☐ Contract is for unique artistic services (i.e. music performers, art awards).
- ☐ Order is being placed against an existing contract or agreement.
- ☐ Re-order based on previous bids or analysis within one year.
- ☐ An unusual or compelling sense of urgency exists.

Next

4. **Conflict of Interest Section** – When completing the Conflict of Interest section, responses should be made according to the individual who selected the supplier. Note that any ‘Yes’ responses will require an explanation to be entered in the comment field.

Conflict of Interest - It is Northwestern's policy that its employees conduct the affairs of the University in accordance with the highest ethical, legal and moral standards. An employee must not be in a position to make a decision for the University if their personal, professional, or economic interests may be directly influenced or affected by the outcome. Refer to Northwestern's Policy on Conflict of Interest and Conflict of Commitment and the Standards for Business Conduct for more information.

For the questions below, "family member" includes immediate and extended family members (e.g., spouses or domestic partners, children, siblings, parents, aunts, uncles, nieces, nephews, grandparents, and grandchildren whether related by blood, marriage, civil union, or adoption). If the individual filing out this form has no knowledge of the questions below, it is best to ask the individual who selected the supplier directly. A "Yes" answer does not necessarily constitute a conflict of interest. However, without complete disclosure, a fair and reasonable assessment of whether this vendor is an appropriate business partner of the University cannot be made. If you answer "Yes" to a question, you will be prompted to enter a comment to describe the potential conflict of interest.

Individual who selected the supplier:

Does the individual who selected the supplier or any of their family members have a personal (e.g., familial) or financial interest in the vendor (e.g., employment, consulting relationship, investment/ownership, other)? *

☒ Yes ☐ No

Has the individual who selected the supplier or any of their family members received any gifts or hospitality (other than promotional items, an occasional meal, or other incidental hospitality) from the supplier within the last 12 months? *

☐ Yes ☒ No

Has the individual who selected the supplier or any of their family members given a gift or provided more than incidental hospitality to the supplier within the last 12 months? *

☐ Yes ☒ No

Comments: *

SUBMITTING THE FORM

1. Before submitting the form, be sure to review all information and make sure responses are accurate.
2. When you are ready to process your form, click the Submit button.
3. As the submitter of the form, you will receive an automated email with a PDF copy of the Purchasing Decision Documentation as a Bid Summary or Sole Source Justification Form. If an additional recipient was added, they will also receive the email with a PDF copy of the completed form.

Note:

- Your Purchasing Decision Documentation will not be saved. You will not be able to retrieve the original document to make modifications.
- If you have a PDF editor (e.g. Adobe Acrobat) installed on your computer, you can make edits to the text on your PDF copy. If any other modifications are needed, a new Purchasing Decision Documentation will need to be submitted.