UNIVERSITY OF CALIFORNIA  
BERKELEY, CALIFORNIA  

MASTER SUBCONTRACTING PLAN FOR PUBLIC LAW 95-507, 103-355, 105-135 and [106-50]

1. Contract Number

2. Contractor Name  The Regents of the University of California  
C/O Sponsored Projects Office  
2150 Shattuck Ave., Suite 313  
Berkeley, CA 94704-5940  

Department  

Research Title  

Principal Investigator  

3. Subcontracting  
Plan Administrator  Roesia Gerstein  

Address  University of California at Berkeley  
Supplier Diversity Program  
2440 Bancroft Way, Suite 209  
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4. Subcontracting Goals  

It is the intent of the University of California at Berkeley and its organizational entities to seek out and encourage small business concerns, small disadvantaged business enterprises (businesses owned and controlled by socially and economically disadvantaged individuals, and Historically Black Colleges and Universities/Minority Institutions, [HBCU/MI]), service-disabled veterans, (SDVO) and veteran enterprises, (VOSB), women-owned business concerns and historically underutilized business zone (HUBZone), to the maximum extent practicable consistent with sound business practices and with the efficient performance of the University's contract requirements to become suppliers of the University.  

It is also the intent of the University, acting within its stated policy requirements, to give such business concerns a fair and equitable opportunity to compete for business, consistent with the efficient performance of the University's contractual obligations. The University pledges, in addition, to make a concerted effort to locate such business concerns to ensure an equitable opportunity in competing for subcontract requirements.  

See Addendum A (page 5) for principal subcontracting areas and goals  

5. Method Used for Developing Subcontracting Goals
The Plan Administrator met with the Principal Investigator and his Business Officer to determine the contract purchasing requirements and to identify those items or services with reasonable subcontracting possibilities. The Plan Administrator then met with the University's Small and Disadvantaged Business Coordinator to check source directories, SBA/Pro-net database, to identify small, small disadvantaged, service-disabled veteran-owned, veteran-owned, women-owned business, HUBZone and Historically Black Colleges and University concerns that may be able to provide the required items or services.

6. **Indirect Cost**

Indirect and overhead costs are not included in the University’s goals.

7. **Subcontract Plan Administrator**

The Plan Administrator is responsible for administering the subcontracting plan. His/her duties are as follows:

a) To assure that small, small disadvantaged, service-disabled veterans, and veteran enterprises, women-owned business, Hubzone, and Historically Black Colleges and universities/Minority Institution concerns will have maximum practicable opportunity to compete for subcontracts consistent with the efficient performance of this contract.

b) To assure that the University meets the commitments specified in this plan, his/her related duties will include:

   1. In support of the Manager of Small Business Development, establishing and maintaining source lists of potential small, small disadvantaged, service-disabled veterans, and veteran enterprises, women-owned business, Hubzone, and Historically Black Colleges & University concerns which are capable or potentially capable of providing the goods and services required by the University for this contract.

   2. Actively seeking out such business concerns. Participate in trade fairs, meetings, and seminars and maintain records of such participation.

   3. Maintaining records to show the University's performance with regards to the goals established by this plan.

   4. Assuring that subcontracts issued by the University contain the required flow-down clauses dealing with small, small disadvantaged, service-disabled veterans, and veteran enterprises, women-owned business, Hubzone, and Historically Black Colleges & University concerns.

   5. Advising concerned University personnel of the purpose and goals of each individual subcontracting plan and following up with them on a regular basis to assure that the plan is being properly supported and promoted.

   6. Developing and providing reports, as required by the terms of the contract, to appropriate University management and government agencies concerning subcontract awards.

   The University will collect and report data on small disadvantaged, women-owned, small business, service-disabled veterans, and veteran enterprises, Hubzones, and Historically Black Colleges and Universities/Minority Institutions.

8. **Supplier Diversity Program Coordinator**
The University recognizes its responsibility to assure that small, small disadvantaged, service-disabled veterans, veteran enterprises, and women-owned business concerns, Hubzones, Historically Black Colleges and Universities/Minority Institutions have maximum practicable opportunity to compete for subcontracts. To that end, the University provides the services of The Office of Small Business Development to assist the Subcontract Plan Administrator and University management in attaining the goals as set forth.

His/her related duties will include:

a) Establishing and maintaining master source lists of potential small, small disadvantaged, service-disabled veterans, veteran enterprises, women-owned business concerns, Hubzones, Historically Black Colleges and Universities/Minority Institutions which are capable or potentially capable of providing the goods and services required by the University.

b) Counseling representatives of such concerns how they can do business with the University and qualify to participate in the competitive bidding process.

c) Maintaining regular liaison with the representative of the Small Business Administration, other government agencies, and minority business organizations in order to obtain assistance in finding such competent business concerns.

d) Participate in trade fairs, meetings, and seminars and maintain records of such participation.

e) Ensure that buyers have source list and monitor their compliance with the policies.

9. **Opportunities for Small Businesses to Compete**

The University will make a concerted effort in accordance with its stated policy requirements, to ensure that small, small disadvantaged, service-disabled veteran-owned, veteran-owned, women-owned business, Hubzone, and Historically Black Colleges and Universities/Minority Institution concerns will have an equitable opportunity to compete for subcontracts under this plan. This will be accomplished in the following manner:

a) Potential vendor source lists were identified by referring to The University of California, Berkeley’s, on-line Small Business Directory, SBA/PRO-net database and SBA/PRO-net/HUBZone database, Port of Oakland’s Small Business Directory, East Bay Municipal Utility, Private Industry Council of San Francisco, Oakland Black Board of Trade and Commerce, Private Industry Council of Santa Clara The Association for Service Disabled Veterans and other sources.

b) Where an adequate number of such business concerns is not available, the University will, through liaison with the Small Business Administration, minority business organizations, and other trade and professional associations and industry groups, encourage participation of prospective small business contractors.

c) Specific performance responsibilities will be assigned to key University personnel charged with ensuring the University achieves program objectives.

d) Consistent with the University's contract obligations and customer (Principal Investigator) requirements, the University will assist such business concerns by arranging solicitation requirements such as allowing reasonable time for the small business concerns to prepare quotations, reasonable procurement quantities (where feasible),
specifications and delivery schedules (unless such will impact the contract requirements), etc., in order to facilitate the participation of such concerns.

e) A special effort will be made to identify and use such business concerns in this contract, even in a small way, so that they may be in a better position to compete for subcontracts to other divisions of the University whenever such action might result in another subcontracting opportunity.

f) The contractor agrees that Federal Acquisition Regulation clause 52.219-8 entitled “Utilization of Small Business Concerns” will be included in all subcontracts which offer further subcontracting opportunities, and all subcontractors, except SB concerns, who receive subcontracts in excess of $550,000 will be required to adopt and comply with a subcontracting plan similar to the plan required by Federal Acquisition Regulation 52.219-9, entitled “Small Business Subcontracting Plan”.

10. **Reports**

The Plan Administrator will submit periodic progress reports as required by the terms of the contract.

a) The University shall submit the required Subcontracting Reports for Individual Contracts, and the Summary Subcontract Reports through the Electronic Subcontracting Reporting System (eSRS). This system replaces the use of the Standard Form (SF)294, Subcontracting Report for Individual Contracts and/or Standard Form (SF)295. The Administrator shall also ensure that its subcontractors agree to submit their required Subcontracting Reports for Individual Contracts and Summary Subcontracting Reports as required by (Federal Acquisition Regulation) section 52.219-9 and will adhere to section 52.219-8.

b) In addition, the University will cooperate in audits, studies or surveys which may be conducted by the contracting agency or the Small Business Administration in order to determine the extent of compliance with the subcontracting plan.

11. **Records**

In order to demonstrate compliance with this subcontracting plan and the results of the University's efforts, the University will keep appropriate records. These records will include:

a) Supplier lists which are annotated to identify small, small disadvantaged, service-disabled veteran-owned, veteran-owned, women-owned business, Hubzone and Historically Black Colleges and Universities/Minority Institutions concerns.

b) On a contract-by-contract basis, records to indicate the amount of subcontracts awarded to small and small disadvantaged business concerns versus the plan subcontracting goals.

c) On a contract-by-contract basis, records on all subcontract solicitations over $100,000, indicating on each solicitation:
   (1) Whether small business concerns were solicited, and if not, why not;
   (2) Whether veteran-owned small business concerns were solicited and, if not, why not;
   (3) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;
   (4) Whether HUBZone small business concerns were solicited and, if not, why not;
   (5) Whether small disadvantaged business concerns were solicited and, if not, why not;
   (6) Whether women-owned small business concerns were solicited and, if not, why not;
   (7) If applicable, the reason award was not made to a small business concern.
d) Documentation of counseling sessions with business firms referred by the Small Business Administration.

e) Records to support internal activities to guide and encourage Buyers to participate in trade fairs, workshops, seminars, etc.

f) Other actions, not specifically identified here, which are taken to assist small business concerns to become viable subcontractors to the University will be documented and a copy placed in the plan file.

These records will be maintained on a regular basis. Copies of the subcontract status reports will be distributed to relevant University individuals and members of management in order to indicate the University's progress in meeting its subcontracting plan goals.

Signed: ________________________________  Date: __________________
Typed Name: Roesia Gerstein
Material Management
University of California, Berkeley

Attachments

A) ADDENDUM “A”, SUBCONTRACTING PLAN GOALS
B) ADDENDUM “B”, POTENTIAL VENDOR LIST