Module 2: Campus Responsibilities
Supplier Diversity Basics Curriculum

For UC Berkeley and UC San Francisco Employees

What you need to know:
Module 1: Policy and Regulatory Requirements
Module 2: Campus Responsibilities
Module 3: Federal and State of California Reporting
Module 2: Learning Objectives

At the end of this session, you will be able to:

- Bookmark resources for finding small businesses
- Access supplier diversity information in BearBuy and know how to filter for diverse suppliers
- Describe your role (and possible responsibilities) for supporting campus supplier diversity
- Know where to find guidelines on how to develop & provide the documentation for a Small Business Subcontracting Plan
Engagement is key

Collaborate & coordinate to achieve the best results

- Principal Investigator/Research Administrator
- Purchasing Staff
- Purchasing Supervisor
- Supplier Diversity Program Manager
- UCB Sponsored Projects Office
- UCSF Govt & Business Contracts
Finding Small & Diverse Businesses

Federal Certification
PIs, RAs, Lab Managers, or Project Managers can search for specific small businesses, which have registered on the System for Award Management database where the federal government requires all small businesses doing business with federally funded projects to self-certify their businesses.

Click on the far right “Search Records” button
Finding Small & Diverse Businesses

Other useful search engines:

- SBA database of certified HUBZone small businesses

- Veteran and Service Disabled Veteran businesses at VetBiz

- Department of Education for current listings of HBCU/MI institutions

- Dept of Defense, Western Regional Council at
  [http://www.dodwrc.org](http://www.dodwrc.org)

- U.S. Dept of Energy, Pacific Northwest National Laboratory at
Find diverse businesses using the Explorer tool

In late 2014, supplier.io, a Minority Business Enterprise (MBE), was awarded a multi-year agreement, as a result of a UCOP Request for Proposal to refresh diversity data in the systemwide spend analysis system and to provide and maintain the Explorer tool which is a supplier diversity search tool.

Each UC campus supplier diversity coordinator can provide access for anyone on their campuses. Explorer provides an easy-to-use search engine with user friendly style – which will be illustrated on several of the following slides.
Explorer Tool

**What can you do with the tool?**

- Find information from over 150 databases which include the two we use: SAM.gov and State of California certification information

- Search for businesses with keywords, classification types, company names, geographic location, NAICs and more

- Check out the [training session](#) on our UCB Supplier Diversity website.
Did You Know?  
Diverse Businesses Are Identified in BearBuy

- They are flagged with icons that identify their certifications.

- You can hover over the flag to find out:
  - The source of this certification, in this case, for Neta Scientific Inc. The certification source is the Small Business Administration (SBA)
  - The type of certification which is associated with the icon. Here: WOSB – Woman Owned Small Business
Did You Know?
Diverse Businesses Identified in BearBuy

- You can also filter your search **By Supplier** (name) or **By Supplier Class** (diversity classification). Whenever the supplier’s record in a campus vendor database is updated, the diversity information is communicated to BearBuy and a flag is created.
Roles & Responsibilities: Procurement & Reporting

At UCB:

- For purchasing from small businesses, especially when a Small Business Subcontracting Plan in place: Department BearBuy Requisition Creators & Campus Shared Services (CSS) Requisition Creators.
- Research Administrators review and approve transactions—should be checking if plan applies and small businesses are designated for purchases.
- For reporting small business utilization twice per yr: Supplier Diversity Program Manager.

At UCSF:

- For purchasing from small businesses, especially when a Small Business Subcontracting Plan in place: Department BearBuy Requisition Creators.
- Research Administrators review and approve transactions—should be checking if plan applies and small businesses are designated for purchases.
- For reporting small business utilization twice per yr: Supplier Diversity Program Manager.
Roles & Responsibilities
Creating Small Business Subcontracting Plans

The following staff have roles for federal contracts exceeding $700,000:

- Principal Investigator (PI) and Co-Investigators
- Research Administrators, Lab Managers, or Project Managers assigned to the PI
- Supplier Diversity Program Manager – same person responsible for both campuses
- Sponsored Projects Office staff at UC Berkeley
- Government and Business Contracts staff at UC San Francisco
The Principal Investigator / Research Administrator

Responsible for assembling the following documentation:

- Scope of Work – should be included in proposal documentation
- Detailed high level budget – see next slide
- PI/Co-PI name(s) and contact information
- Sub award detail (if applicable)
- Begin and end dates for the project
- **A Small Business Subcontracting Plan worksheet** for each option yr of the agreement. See the next slide for the types of goods and services that should be purchased from small businesses & must be detailed on this worksheet.
The Principal Investigator & Research Administrator

1) Materials and supplies
2) Equipment over $5,000
3) Services like product development, fabrication, transcription, etc.
4) Airfare travel – currently there are no small business travel agencies in Connexxus on either campus

PIs and their project teams must identify the small business names from which they are planning to purchase, the dollar amount to be spent with each of them, and their federal classification codes
To complete the Small Business Subcontracting Plan

<table>
<thead>
<tr>
<th>Supplier Diversity Program Manager</th>
<th>Principal Investigator</th>
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<tbody>
<tr>
<td>1. Uses the documentation provided by the PI, RA, and project team to enter information into a Small Business Subcontracting Plan template, which details how small business spend will occur.</td>
<td>1. Reviews and signs the UC confirmation letter stating that the PI agrees with the plan’s small business utilization goals</td>
</tr>
<tr>
<td>2. Submits the finished plan to the PI, RA, and project team for review and has the PI sign a confirmation letter – see next column.</td>
<td>2. Is responsible for “making reasonable good faith efforts to achieve the plan goals”</td>
</tr>
<tr>
<td>3. Emails the final plan to SPO or GBC for submission to the agency, Contracting Officer or the funding institution’s contact.</td>
<td>3. Understands that, once approved by the federal agency or another institution, the plan becomes part of the project’s contractual obligations</td>
</tr>
</tbody>
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See the plan templates which UCB uses
Sponsored Projects Office (SPO) UCB
Government & Business Contracts UCSF

1. Contacts PI & RA when a federal contract or subcontract proposal exceeding $650,000 is to be submitted by project team and a Small Business Subcontracting Plan (SBSP) must be included in proposal submission

2. Acts as point of contact with Federal Contracting Officer or contractor institution

3. Works with the PI, RA, Lab Manager, or Project Manager to provide documentation to create the SBSP to the Supplier Diversity Program Manager.
4. Submits the completed proposal package, including the Small Business Subcontracting Plan, to the federal agency or prime contractor or subcontractor.

5. Notifies the PI, RA, and Supplier Diversity Program Manager when the agreement is signed by UC Berkeley and the funding organization. The funding organization also notifies SPO/GBC that the SBSP is accepted and therefore, becomes a contractual obligation.
Purchasing Supervisor

- Checks the Supplier Diversity website for updated information
- For staff who purchase materials and supplies, equipment over $5,000, and travel *for federal contracts or subcontracts exceeding $700,000* - Shows them the small business utilization goals defined in the contract’s Small Business Subcontracting Plan
- Assists the project team in monitoring purchases from small businesses to make progress toward the small business utilization goals
- Tracks the use of small, minority and woman-owned businesses during the course of federal contracts and EPA Grants
- Contacts the Supplier Diversity Program Manager **rgerst@berkeley.edu** at UCB or **roesia.gerstein@ucsf.edu** for additional assistance to find small, minority or disadvantaged businesses
Supplier Diversity Program Manager

Inreach to Campus

1. Provides access to the Explorer tool to search for small businesses
2. Consults with PI, RA, SPO or GBC to find small businesses and create the SBSP
3. Creates Project Lists in the Explorer tool to be referred to project teams & departments looking for small and diverse businesses
4. Works with Supply Chain Campus Buyers and Strategic Sourcing Specialists on competitive bidding opportunities to ensure equitable opportunity for small and diverse businesses
Supplementary Diversity Program Manager

Outreach

Works with small and diverse businesses wishing to do business with the University and Campus departments wishing to purchase from these businesses.

Check out these webpages to learn more:

- The [Supplier Diversity homepage](#)
- The “[To Suppliers Page](#)” which provides numerous resources for suppliers wishing to do business with UCB or UCSF.
Roles & Responsibilities: EPA Grants

The Principal Investigator / Research Administrator

*when the PI signs an EPA Cooperative Agreement, the PI:*

- Agrees to “comply with the requirements of EPA’s Program for utilization of Small, Minority, and Women’s Business Enterprises.”

- Accepts the applicable Fiscal Year “fair share goals” (or objectives) for construction, supplies, services, and equipment purchases which are stated as percentages in the agreement. These goals are included under the Administrative Conditions section of the agreement.

See a sample Administrative Conditions item 9. UTILIZATION OF SMALL, MINORITY AND WOMEN’S BUSINESS ENTERPRISES section which addresses the fair share goals on the UCB Supplier Diversity EPA Grants: Use of Small & Minority Businesses webpage.
Roles & Responsibilities: EPA Grants

The Principal Investigator / Research Administrator (cont’d)

- Has the Supplier Diversity Program Manager set up access for them to use the Explorer tool to find MBEs & WBEs

- Consults with the Supplier Diversity Program Manager to find MBEs and WBEs

- Monitors progress and advises purchasing staff which goods and services can be purchased from MBEs & WBEs
Module 2: Learning Objectives

We hope that you now have:

- Bookmark resources for finding small businesses
- Access supplier diversity information in BearBuy and know how to filter for diverse suppliers
- Describe your role (and possible responsibilities) for supporting campus supplier diversity
- Know where to find guidelines on how to develop & provide the documentation for a Small Business Subcontracting Plan

***Next is Module 3 Federal & State of CA Reporting***