Module 3: Federal & State of California Reporting
Module 2: 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

Before taking this module, you need to participate in Modules 1 & 2.

In this module, you will:

- Learn how queries are run from campus financial systems and how the Individual Subcontracting Report (ISR) & the Summary Subcontracting Report (SSR) are filed.

- Learn the documentation that must be maintained whenever spending does not occur with the specific small businesses for which goals were set in the Small Business Subcontracting Plan. This information can be stored using the Small Business Utilization Form.

- Be able to provide such an explanation to the Contracting Officer of the agency or institution that awarded the funding to the University.

- Bookmark EPA webpages to find information about how to file EPA 5700-2a forms.
Federal Contracts/Subcontracts Reporting

The University’s responsibilities include:

- Search the applicable search engines, including the Explorer tool to find potential small and diverse businesses
- Consult with the Supplier Diversity Program Manager to find potential small business suppliers
- Track project small and diverse business spend against project small business spend goals
- Maintain ongoing documentation in the event the project team has not been able to purchase from small businesses as they planned.
- Report this information to the Contracting Officer within 30 days of the expiration of the agreement.
Federal Contracts/Subcontracts Reporting

eSRS report types, their due dates, & the type of spend that needs to be reported are shown below.

<table>
<thead>
<tr>
<th>Individual Subcontracting Report (ISR) for Each Agreement</th>
<th>Due no later than</th>
<th>Spend Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/1/XX (prior yr) to 3/31/XX (current yr) – regular</td>
<td>By 4/30</td>
<td>Cumulative spend through 3/31 of current year</td>
</tr>
<tr>
<td>10/1/XX (prior yr) to 9/30/XX (current yr) annual report which includes spend reported for period above - regular</td>
<td>By 10/30</td>
<td>Cumulative spend through 9/30 of current year</td>
</tr>
<tr>
<td>10/1/XX – agreement expiration - final</td>
<td>Within 30 days of expiration date</td>
<td>Cumulative</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Summary Subcontracting Report (SSR)</th>
<th>Due no later than</th>
<th>Spend Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/1/XX (prior yr) to 3/31/XX (current yr) if this requirement is stated in the lasted signed agreement - regular</td>
<td>By 4/30</td>
<td>Spend for this period only</td>
</tr>
<tr>
<td>10/1/XX (prior yr) to 9/30/XX (current yr) annual report which includes spend reported for period above</td>
<td>By 10/30</td>
<td>Spend for this period only</td>
</tr>
</tbody>
</table>
**Federal Contracts/Subcontracts Reporting (cont’d)**

**Example:** An agreement is signed with NASA for the contract period 1/13/13 to 1/13/15. ISRs & SSRs must be filed for the periods as shown below. If we have more than one NASA agreement, NASA spend for all those contracts/subcontracts can be shown on one SSR submitted to NASA.

<table>
<thead>
<tr>
<th>ISR/SSR type</th>
<th>Spend type</th>
<th>Report Due By</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISR: 1/13/13 through 3/31/13 – regular</td>
<td>ISR: cumulative, SSR: if required, only for this period.</td>
<td>4/30/13</td>
</tr>
<tr>
<td>SSR: 1/13/13 through 3/31/13 – regular</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Both: 1/13/13 through 9/30/13 - regular</td>
<td>ISR: cumulative, SSR: only for this period.</td>
<td>10/31/13</td>
</tr>
<tr>
<td>10/1/13 through 3/1/14 – regular</td>
<td>ISR: cumulative, SSR: if required, only for this period.</td>
<td>4/30/14</td>
</tr>
<tr>
<td>SSR *only if written in most recent agreement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Both: 10/1/13 through 9/30/14- regular</td>
<td>ISR: cumulative, SSR: only for this period.</td>
<td>10/30/14</td>
</tr>
<tr>
<td>Both: 10/1/14 through 1/13/15 - FINAL*</td>
<td>ISR: cumulative since last report, SSR: report actual spend when next SSR is due</td>
<td>2/13/15</td>
</tr>
</tbody>
</table>
UC Berkeley BFS Queries

UC BERKELEY

In order to track the amounts that each project has spent with all types of small businesses at **UC Berkeley** (we will address UC San Francisco in later slides), two Berkeley Financial System (BFS) queries must be run in BFS 9.2:

1. **SS_FED_REPORTING Fed Reporting 1 of 3”**
2. “**The UC_PO_VNDR_DIVERSITY_RG Vendor Diversity”**

*Run the queries to Excel, so that the resulting worksheets can be sorted & filtered to calculate the correct data needed for the eSRS report*
UC Berkeley BFS Queries

Each of these queries requires:
1) From Paid Date (DD/MM/YYYY)
2) To Paid Date (DD/MM/YYYY)
3) The 5 digit Fund code assigned to this agreement
UC Berkeley BFS Queries

Running the queries and calculating the totals is assigned to the Supplier Diversity Program Manager at UCB, so we will not go into more detail in this session.

You should be aware that:

1) The funding entity whether the federal government agency, a higher education institution or a for profit business will review the spend in the ISR and SSR that UCB submits in eSRS.

2) If no spend occurs for any subcategories with dollar/percentage goals, UCB PI and Project Team must provide an explanation: including why no spend occurred and the efforts to be made to make progress toward the goals before the next reporting cycle.
Electronic Subcontracting Reporting System (eSRS)

**ISR Extract:** The dollars spent are extracted from a campus financial query showing the **cumulative** large business spend, and small business spend based on the Fund Code at UCB or the Project ID at UCSF.

The first column “Whole Dollars” must be loaded with the dollar amounts & percentages from the approved Small Business Subcontracting Plan.

If the project team has spent zero dollars for any category where they had set goals on the Small Business Subcontracting Plan:

An explanation must be entered to explain why no spend occurred, based on the PI’s input. The preparer must also describe the efforts to be made by the project team to spend with the business(es).
Electronic Subcontracting Reporting System (eSRS)

SSR Extract: The dollars spent for the specific reporting period shown on all ISRs for a specific agency are added up and shown for each classification type on the SSR.

The first column “Whole Dollars” must be loaded with the dollars achieved for just the reporting period.

All of the contracts/subcontracts with that agency are listed in the Remarks section.
UC San Francisco Oracle PeopleSoft Queries

In order to track & report the amounts that each project has spent with all types of businesses at UC San Francisco, one Oracle PeopleSoft query must be run. Each of these queries requires:

1) Date From: (DD/MM/YYYY)
2) Date To: (DD/MM/YYYY)
3) The 5 digit Project ID assigned to this agreement followed by the percentage sign %

The ISR & SSR formats are the same in the federal reporting system, eSRS: See slides 10 & 11 for extracts of those types of reports.
Environmental Protection Agency Cooperative Agreement Reporting

*Remember from Modules 1 & 2? The Supplier Diversity Program Manager must report MBE & WBE utilization*

EPA funded agreements must report on their accomplishments toward the fair share goals for Minority Business Enterprise (MBE) & Women Business Enterprise (WBE)

An annual or semi-annual EPA Form 5700-52a ([http://www.epa.gov/osbp/pdfs/5700_52a.pdf](http://www.epa.gov/osbp/pdfs/5700_52a.pdf)) must be filed depending on the EPA regulations which apply.

The signed electronic copy must be sent to Parker.Veronica@epa.gov in the U.S. EPA Region 9 Office.

More information on completing the form can be found on the link to the 5700-52A form above.
Module 3: Learning Objectives

In this module, you have:

- Learned how queries are run from campus financial systems and how the resulting data is entered on an Individual Subcontracting Report (ISR) & on a Summary Subcontracting Report (SSR)

- Gained the information you need to document whenever spend with small businesses for which goals were set in the Small Business Subcontracting Plan cannot be achieved and how to provide an explanation to the Contracting Officer at the close of the agreement.

- Bookmarked EPA webpages to find information about how to file EPA 5700-2a forms
Summary of Modules

Module 1: Policy and Regulatory Requirements
Module 2: Campus Responsibilities
Module 3: Federal and State of California Reporting

These modules have now provided you with the supplier diversity basics for both UC Berkeley & UC San Francisco.

We invite you to return to them to refresh to your knowledge whenever you are working with a PI receiving federal funding or an EPA Cooperative Agreement which sets goals for spend with Minority & Women Business Enterprises.