Supplier Diversity Basics Curriculum

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:

- 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
- Access the Explorer tool to find diverse businesses for specific projects
- Find supplier diversity certification flags & information in BearBuy
Engagement is key

Collaborate & coordinate to achieve the best results

- Principal Investigator/Research Administrator
- Purchasing Staff
- Business Officer
- Sponsored Projects Office
- 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 Administrator, Lab Managers, or Project Managers assigned to the PI
- Supplier Diversity Program Manager
- Sponsored Projects Office staff

For procurement on the plan: PI and RA
For federal small business utilization on the plan: Supplier Diversity Program Manager
The Principal Investigator / Research Administrator

1. Assemble the following documentation:
   - Scope of Work – should be included in proposal documentation
   - Detailed high level budget – see slide 9 for more information
   - PI/Co-PI name(s) and contact information
   - Sub award detail (if applicable)
   - Begin and end dates for the project

2. Determine the dollars that can be spent with small businesses/the business names/their federal classification codes.
The Principal Investigator & Research Administrator

The following types of goods and services and their dollar amounts described in the Federal Acquisition Regulations can be purchased from small businesses, given the nature of the project:

- Materials and supplies
- Equipment over $5,000
- Airfare Travel – currently there are no small business travel agencies in Connexxus on either campus

To document these specific small business goods and services:
Access and complete the Small Business Subcontracting Plan Worksheet.
The Principal Investigator

- Reviews and signs the letter stating that the PI:
  - Agrees with the plan’s small business utilization goals
  - Is responsible for “making reasonable good faith efforts to achieve the plan goals”
  - Understands that, once approved by the federal agency or another institution, the plan becomes part of the project’s contractual obligations

- Notifies or has the Research Administrator notify SPO, when the funding is approved and the contract signed.

- For more information and an example of the letter, see the Small Business Subcontracting Forms webpage on the Supplier Diversity website
The Principal Investigator / Research Administrator

*For EPA Grants – when the PI signs an EPA Cooperative Agreement:*

- Agrees to “comply with the requirements of EPA’s Program for utilization of Small, Minority, and Women’s Business Enterprises.” When materials and supplies, equipment, construction, and travel budget line items total > $150,000, goals will apply.

- 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.

You can find a sample Administrative Conditions item 9. UTILIZATION OF SMALL, MINORITY AND WOMEN’S BUSINESS ENTERPRISES section which addresses the fair share goals on the [EPA Grants: Use of Small & Minority Businesses webpage.](https://www.epa.gov/grants-use-small-minority-businesses)
The Principal Investigator / Research Administrator

For EPA Grants

- Sends email to subcontract-plan-admin@berkeley.edu to 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 MBE & WBE and the Supplier Diversity Program Coordinator to find small and disadvantaged businesses.
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. Visit the Searching for Diverse Businesses? webpage for a quick guide on how to search in sam.gov.

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
  at [http://www1.va.gov/nac/](http://www1.va.gov/nac/)

- 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
Several years ago, UCOP awarded an agreement to supplier.io, a minority business enterprise, to provide and maintain the Explorer tool which is a supplier diversity database.

Each UC campus supplier diversity staff person can provide access for anyone on their campuses. It provides an easy-to-use search engine with user friendly style – which will be illustrated on several of the following slides. To request access on the Berkeley campus, email subcontract-plan-admin@berkeley.edu.
Explorer Tool

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

- Find information from over 150 databases which include SAM.gov and State of California
- Search for businesses with keywords, classification types, company names, geographic location, NAICs and more
- Check out the [training session](#) on our 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 for Neta Scientific Inc, is the Small Business Administration (SBA) and
  - The type of certification which is associated with the icon. Here: WOSB – Woman Owned Small Business
Did You Know?
Diverse Businesses Are 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.
1. Contacts PI & RA when a federal contract or subcontract proposal exceeding $700,000 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.
Supplier Diversity Program Manager

For Federal Contracts/Subcontracts and EPA Agreements

1. Reaches out to and counsels small and diverse businesses wishing to do business with the University

2. Creates Project Lists in supplier.io to be referred to project teams & departments looking for small and diverse businesses

3. Advises Supply Chain Management leadership and staff to ensure compliance with the Federal Acquisition Regulations (FARS)

4. Consults with PI, RA, SPO to find small businesses and create the SBSP
Supplier 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 the Supplier Diversity website to learn more.
Department Business Officer

- Continuously checks the Supplier Diversity website for updated information
- For staff who purchase materials and supplies, equipment over $5,000, and travel for federal contracts over $700,000 when awarded:
  - Shows them the small business utilization goals defined in the contract’s Small Business Subcontracting Plan
  - Assists them in using the supplier.io search application
- Assists the PI 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
- Emails subcontract-plan-admin@berkeley.edu for additional assistance to find small, minority or disadvantaged businesses
Quick Assessment: Module 2

- What have you learned about roles and responsibilities?
  - Answer the questions on the following slides to assess the knowledge you have acquired
Module 2 Question 1

1. Which of the roles listed below are critical for developing Small Business Subcontracting Plans?
   a. Research Administrator
   b. Principle Investigator
   c. Supplier Diversity Program Manager
   d. All of the above
Module 2 Question 1 - Correct Answer

The correct answer is d: all of the above

a. Principle Investigator
b. Research Administrator
c. Supplier Diversity Program Manager
Module 2  Question 2

2. ISRs and SSRs are filed by:
   a. Sponsored Projects Office/Government and Business Contracts (Supplier Diversity Program Manager as Consultant)
   b. The PI
   c. The Supplier Diversity Program Manager
   d. Contracts and Grants
Module 2 Question 2 - Correct Answer

The correct answer is **c. The Supplier Diversity Program Manager**

Note that this person runs BFS queries and then enters the data into the Electronic Subcontracting Reporting System (eSRS).
Module 2 Question 3

3. What data must be provided in order to complete the Small Business Subcontracting Plan?
   a. Scope of Work
   b. Detailed budget
   c. PI/Co-PI Name(s) and contact information
   d. Subaward detail (if applicable)
   e. All of the above
Module 3  Question 3 – Correct Answer

The correct answer is **e. All of the above**

In order to complete the required information all of these documents must be provided. Refer to the slides in this module which describe them.
Module 2 Question 4

3. Which campus entity is required to monitor minority (MBE) and woman-owned business enterprise (WBE) progress toward fair share objectives on an EPA Cooperative Agreement?

a. Supplier Diversity Program Manager
b. Purchasing staff
c. Principal Investigator
d. UCB Sponsored Projects Office or UCSF Government and Business Contracts
Module 2 Question 4 - Correct Answer

The correct answer is **c. Principal Investigator**

Review the slide in this module that explains that the PI agrees to the terms by signing the EPA agreement and must monitor the progress made toward the fair share goals as part of that agreement.
Module 2 Question 5

5. How can a department Business Officer promote the use of small businesses?
   
a. Monitor purchases for small business utilization
b. Assist staff in using the Supplier Diversity Database
c. Communicate the small business utilization goals (set in Small Business Subcontracting Plans or the Fair Share Objectives in EPA Grants) to staff
d. Stay current on Supplier Diversity website information
e. All of the above
Module 2  Question 5 - Correct Answer

The correct answer is e. All of the above.

Review the slides in this module that describes Business Officer responsibilities
Module 2: Learning Objectives

We hope that you now:

- Can describe your role and responsibilities for supporting campus supplier diversity
- Know where to find guidelines on how to develop & provide the documentation for a Small Business Subcontracting Plan
- Have accessed or requested access to the Explorer tool to find diverse businesses for specific projects or procurement needs
- Know how to find supplier diversity certification flags and information in BearBuy