UNIVERSITY OF CALIFORNIA, SANTA BARBARA  
SMALL BUSINESS MASTER SUBCONTRACTING PLAN  

SMALL BUSINESS  
MASTER SUBCONTRACTING PLAN  

(SUBMITTED IN Accordance with Public Law 95-507)  

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA  

UCSB PROCUREMENT SERVICES, SAASB 3203  
SANTA BARBARA, CA 93106-1150  

THIS MASTER PLAN IS APPROVED FOR THE PERIOD  
10/9/16 - 10/8/19  

Submitted by:  
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Approved by:  
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<table>
<thead>
<tr>
<th></th>
<th>TABLE OF CONTENTS</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Background</td>
<td>3</td>
</tr>
<tr>
<td>2.</td>
<td>Subcontracting Goals</td>
<td>3</td>
</tr>
<tr>
<td>3.</td>
<td>Method Used to Develop Subcontracting Goals</td>
<td>4</td>
</tr>
<tr>
<td>4.</td>
<td>Supplier Onboarding, Training &amp; Outreach</td>
<td>5</td>
</tr>
<tr>
<td>5.</td>
<td>Plan/Program Contacts &amp; Responsibilities</td>
<td>5</td>
</tr>
<tr>
<td>6.</td>
<td>Equitable Opportunity</td>
<td>7</td>
</tr>
<tr>
<td>7.</td>
<td>Reports and Records</td>
<td>7</td>
</tr>
<tr>
<td>8.</td>
<td>Master Plan Updates</td>
<td>8</td>
</tr>
<tr>
<td>9.</td>
<td>Subcontracting Plan Goals</td>
<td>Attachment A</td>
</tr>
</tbody>
</table>
1.0 BACKGROUND

The University of California system (hereinafter referred to as "University") is comprised of 10 campuses, 5 medical centers, 2 Observatories, 3 National Laboratories, and 39 Natural Reserves. The Santa Barbara campus (hereinafter referred to as "UCSB") was the recipient of $185 million in federal contracts and grants in Fiscal Year 2015 as shown in the Awards by Sponsor Type pie graph below, and currently maintains 7 Small Business Subcontracts. Awards to UCSB have been steadily growing over the last 20 years as detailed in the table below. UCSB’s Procurement Services office offers a training and utilization program to support researchers and staff with small business subcontracts.

2.0 SUBCONTRACTING GOALS

It is the intent of UCSB to assist small businesses, inclusive but not limited to, HUB Zones small businesses, small disadvantaged businesses, women-owned small businesses, veteran-owned small businesses, service-disabled veteran-owned small businesses, and historically black colleges and universities/minority institutions to the maximum extent practicable consistent with sound business practices and with the efficient performance of the University's contract requirements and obligations. An individual subcontracting plan and goals will be established for each federal contract exceeding the prime contractor subcontracting plan threshold of $700,000, as detailed in Attachment A.

UCSB is committed to setting and achieving growing levels of use each year for small disadvantaged businesses, women-owned small businesses, veteran-owned small businesses, and service-disabled veteran-owned small businesses, HUB Zone and historically black colleges and university/minority institutions.

UCSB views the use of Small Businesses (and all the categories mentioned below) under the requirements of FAR 19.7, FAR 52.219-8, FAR 52.219-9 and FAR 52.219-16, as an extension of the University published Mission Statements to the General Public and Policies:
http://www.ucop.edu/procurement-services/for-suppliers/small-business-development.html

Subcontracting plans are prepared utilizing small business concerns to the maximum extent practicable consistent with sound business practices, and with the efficient performance of the University's contract requirements and obligations. Small Business Concerns are provided a fair
and equitable opportunity to compete for subcontract requirements. Individual small business program goals are established for each solicitation/contract. The goals include percentages, dollars, small business categories, and a description of products and/or services to be obtained from small business concerns.

Current data provides that use of small business concerns at UCSB is at least 10% of all our campus procurement expenditure. Spend data for the existing, executed Small Business Subcontracts at UCSB shows that overall we have exceeded our category goals by a weighted average of +13.49% since Fiscal Year 2013.

**3.0 METHOD USED TO DEVELOP SUBCONTRACTING GOALS**

UCSB’ Office of Research identifies subcontracting requirements based on the value of the proposed award, and notifies the campus department and our Small Business Officer (“Officer”). The Officer (see Section 5) works with the department to identify the small business opportunities based on the Statement of Work and stated equipment and supply needs. UCSB’s Procurement Services actively maintains small business source lists for the Small Business Officer to use for the individual plans. The Officer also utilizes various agencies, such as the System for Award Management (SAM), veterans service organizations, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, and small, HUB Zone, small disadvantaged,
and women-owned small business trade associations to locate small businesses that will be able to meet contracting and University requirements.

Indirect costs are not included in our Subcontracting goals.

4.0 SUPPLIER ONBOARDING, TRAINING AND OUTREACH

UCSB’s Procurement Services office maintains an integrated electronic procure to pay system that assists with our small business utilization goals, and we have both broad and individualized training and utilization programs for researchers and staff with small business subcontracts. Procurement Services and the Officer have responsibility for the below bullet points to identify and increase opportunities for small business concerns:

- Establishes and publishes consistent information on University requirements to be made available to all small business concerns, and ensures the information includes University Programs available to help small business concerns meet those requirements.
- Establishes consistent procedures to evaluate and intake small business concerns.
- Establishes and maintains source lists of potential small business, HUB Zone small business, small disadvantaged business, women-owned small business, veteran-owned small business, service disabled veteran-owned small business concerns, and historically black colleges and universities/minority institutions which are capable or potentially capable of providing the goods & services required by UCSB. These lists are available to all UCSB employees, including graduate students who participate in contracts with subcontracting plans.
- Communicates with small business concerns to have a complete understanding of the goods and services they supply.
- Maintains regular liaisons with the representatives of Small Business Administration and other government agencies, and minority business organizations in order to obtain assistance in finding competent small business, HUB Zone small business, small disadvantaged business, women-owned business, veteran-owned small business, service disabled veteran-owned small business concerns, and historically black colleges and universities/minority institutions.
- Establishes and conducts consistent training for University personnel on the purpose and goals of subcontracting plans and requirements.
- Follow-up with the department contract liaisons to ensure the plan and goals are being supported on a quarterly basis, and provide utilization percentages to date

5.0 PLAN/PROGRAM CONTACTS & RESPONSIBILITIES

Program Administrator
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Santa Barbara, CA 93106-1150
Small Business Officer/Subcontract Plan Coordinator ("Officer")
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The Program Administrator has general overall responsibility for the UCSB's subcontracting program; development, preparation, and execution. The Office has direct responsibility for administering the program, monitoring performance of the subcontracting plans, and communicating with department liaisons. Other duties include, but are not limited to the following:

- Develop and promote a company-wide policy initiative that demonstrate the company's support for awarding contracts and subcontracts to small, small disadvantaged (including Alaska Native Corporations and Indian Tribes), woman-owned, veteran-owned, service-disabled veteran-owned and HUB Zone small business concerns; and for assuring that these concerns are included on the source lists for solicitation for products and services they are capable of providing.
- Develop and maintain source lists of small, small disadvantaged (including Alaska Native Corporations and Indian Tribes), woman-owned, veteran-owned, service-disabled veteran-owned and HUB Zone small businesses from multiple sources.
- Ensure that requests for contract (RFC) are designed to permit the maximum practicable participation of small, small disadvantaged (including Alaska Native Corporations and Indian Tribes), woman-owned, veteran-owned, service-disabled veteran-owned and HUB Zone Small Business.
- Access various sources for the identification of small, small disadvantaged (including Alaska Native Corporations and Indian tribes), woman-owned, veteran-owned, service-disabled veteran-owned and HUB Zone small business concerns to include the SBA's Dynamic Small Business Search, Association of Procurement Technical Assistance Centers, VetBiz.gov, the Oakland African American chamber of Commerce, The Minority Business Development Agency, Los Angeles Works.org, HUB Zone Contractors National council, local small business and minority associations, and establish contact with the local chamber of commerce and Federal Agencies Small Business Offices.
- Establish and maintain contract and subcontract award records.
- Participate in Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc. to educate and solicit small businesses about contracting with UCSB.
- Conduct or arrange training for purchasing personnel regarding the intent and impact of Public Law 95-507 on purchasing.
- Monitor UCSB's subcontracting program performance and making any adjustments necessary to achieve the subcontract plan goals.
UNIVERSITY OF CALIFORNIA, SANTA BARBARA
SMALL BUSINESS MASTER SUBCONTRACTING PLAN

- Prepare and submit required subcontract reports timely.
- Coordinate UCSB’s activities during compliance reviews by Federal and State agencies.

6.0 EQUITABLE OPPORTUNITY

UCSB will make a concerted effort to ensure that small business, HUB Zone small business, small disadvantaged business, women-owned small business, veteran-owned small business, service-disabled veteran-owned small business concerns, and historically black colleges and universities/minority institutions will have an equitable opportunity to compete for subcontracts under this plan. UCSB currently accomplishes this in the following manner:

- Source lists are annotated to indicate the category of each prospective supplier and made available to the UCSB community.
- Consistent training on how to do business with UCSB (UC Supplier Diversity UC Requirements) is published (http://www.bfs.ucsb.edu/procurement/small-business-program) and available to all small business concerns. This training includes all UCSB programs available to aid vendors to be able to compete competitively.
- Special effort is made to identify and use small business, and all classifications mentioned above, on UCSB purchase orders, so that they may be in a better position to compete for future subcontracting opportunities.
- Monitor activities to evaluate compliance with the subcontracting plan.
- Attend and host small business procurement conferences and trade fairs.
- UCSB will expand equitable opportunities in the near future in the following manner:
  - Implement California Public Contract Code 10508.5, which allows direct transaction contracting with certified Small Businesses up to $250,000
  - Promote FAR, Subpart 19.5 set-asides for Small Businesses up to $150,000 on federally funded transactions
- UCSB’s e-Procurement System allows the Officer to be part of the approval process on all purchase order requests were federal money is being used. This allows the Small Business Officer the ability to monitor and aid the departments in choosing small business concerns.

7.0 REPORTS AND RECORDS

UCSB will participate and cooperate in any studies or surveys that are required, as well as maintain any lists and procedures; including but not limited to the following:

- Prepare the Individual Subcontract Report (ISR) and the Summary Subcontract Report (SSR), via eSRS as required by Federal law. UCSB will ensure that all subcontractors with subcontracting plans agree and will submit ISRs and SSRs reports using eSRS as required by Federal law.
- Documentation of its effort to assist small business and all mentioned classification types. This documentation will include organizations contacted for small business and all previously mentioned classifications, conferences and trade fairs attended and hosted, and records of internal training to Campus Buyers, Principal investigators and support staff.
UNIVERSITY OF CALIFORNIA, SANTA BARBARA
SMALL BUSINESS MASTER SUBCONTRACTING PLAN

- Source Lists
- Subcontract award data to include the name, address, and business types and size of each Subcontractor.
- Self-certification documents for all small business concerns listed in subcontracting plans
- Small Business and Subcontracting procedures
- Bidding solicitations, requirements, outreach to ensure small business concerns are aware of bid and bid is well advertised, results, and all other relevant bidding documentation
- Records on each subcontract solicitation resulting in an award in excess of $150,000 indicating if small business concerns, HUB Zones small business concerns, small disadvantaged business concerns, women-owned business concerns, veteran-owned small business concerns, service disabled veteran-owned small business concerns, and historically black colleges and universities/minority institutions were solicited, and, if applicable, the reason the award was not made to a small business concern
- Records of all outreach efforts to contact minority and small business trade associations, business development organizations, HUB Zone small business, small disadvantaged business, women-owned small business, veteran-owned small business, service-disabled veteran-owned small business, and historically black colleges and universities/minority institutions

8.0 MASTER PLAN UPDATES

This Master Plan will be updated periodically to reflect programmatic changes and updates.