UC SANTA BARBARA

Small Business Master Subcontracting Plan

SUBMITTED BY

CONTRACTOR:
The Regents of the University of California, Santa Barbara
C/O Procurement Services
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Santa Barbara, CA 93106

Signature: Jacob Godfrey
Date: 9/30/2019
Title: Assistant Director/Chief Procurement Officer

APPROVED BY

CONTRACTING OFFICER:
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Date: 09/27/2019
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APPROVED FOR THE PERIOD
9/25/2019 - 9/24/2022
University of California, Santa Barbara Master Subcontracting Plan


**Contractor**
The Regents of the University of California, Santa Barbara

**Name/Address:**
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The University will, to the maximum extent possible, consistent with sound business practices and with the efficient performance of the University’s contract obligations and requirements, make a concerted effort to seek out and encourage the following types of business concerns to ensure equitable opportunity:

- Small business concerns (SB)
- Small disadvantaged businesses (SDB) - businesses owned and controlled by socially and economically disadvantaged individuals
- Women-owned small businesses (WOSB)
- Historically underutilized business zone small businesses, (HUBZone SB)
- Historically Black Colleges and Universities/Minority Institutions (HBCU/MI)
- Veteran-owned small businesses (VOSB)
- Service-disabled veteran-owned small businesses (SDVOSB) and
- Alaska Native Corporations (ANC) and Indian Tribes

The University’s intent, within its stated policy requirements, is also to:

- Give these business concerns fair and equitable opportunity to compete for businesses and
- Support these businesses in becoming suppliers to the University.

1. **Goals – FAR 19.704, 52.219-9 (d)(1), (2), and (3) – Percentage and Dollar Goals**

   The accompanying Attachment A shows the goals in terms of a percentage of total subcontracting dollars and the actual dollar amount as apply to the plan.

   The “Vendors” tab of Attachment A shows the principal types of supplies and services to be subcontracted, and an identification of the types planned for subcontracting to small business concerns (including ANCs and Indian tribes that are not small businesses), VOSBs, SDVOSBs, HUBZone SB, SDBs (including ANCs and Indian tribes that have not been certified by the Small Business Administration as SDB), WOSB, and for NASA only, HBCU/MI. Good faith efforts were made to find small businesses which could meet the project’s needs and demonstrate the project’s good faith effort to spend with small and diverse businesses.

2. **Description of the Method Used to Develop the Subcontracting Goals – FAR 52.219-9 (d)(4)**

   Small business subcontracting goals are developed based on the award’s budget, Statement of Work, and stated supply and service needs by the University's Small Business Officer (SBO) in consultation with the Principal Investigator (PI), department staff researchers, and Contracts and Grants Liaisons (C&GL). As needed to facilitate establishment of the goals, the SBO and PI utilize the expertise of the C&G Liaisons and consider past experience regarding the availability of small businesses to fulfill specific requirements in the area of research or supporting requirements.

   Capabilities and past performance are considered when determining whether or not to include the small business concerns in the goals. Qualified small business concerns, VOSBs, SDVOSBs, HUBZone SBs, SDBs, and WOSBs are sourced to meet program goals whenever possible. Reasonable goals are established based on the determination of the type and value of the subcontract and the availability of qualified firms.

3. **Description of the Method Used to Identify Potential Sources for Solicitation Purposes – FAR 52.219-9 (d)(5)**

   The University understands that it may rely on the information contained in SAM as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a Small, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB source list. The University also understands that use of SAM as its source list does not relieve itself from other responsibilities contained in FAR 52.219-9 (d)(5) (e.g., outreach, assistance, counseling, or publicizing subcontracting opportunities).

Other methods used by the University to identify potential sources for solicitation purposes may include:
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- System for Award Management (SAM) https://www.sam.gov/SAM/
- SBA Dynamic Small Business Search (DSBS) http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm
- SBA HUBZone-Certified Search http://dsbs.sba.gov/dsbs/search/dsp_searchhubzone.cfm
- CA DoT Disadvantaged Business Enterprise Firm Search https://ucp.dot.ca.gov/licenseForm.htm

The University currently has an eProcurement system which allows flagging of small and diverse businesses, so that project teams can easily identify small and diverse businesses. We also utilize a third party to screen small business certifications. We have been using Supplier IO. It is anticipated that the University will contract with another similar third-party search tool in 2019.

4. Statement about Whether Indirect Costs are Included – FAR 52.219-9 (d)(6)
Indirect and overhead costs are not included in the goals specified in item 1 above.

5. Name of the Individuals Employed by the University to Administer the Subcontracting Program – FAR 52.219 (d)(7)
The following employees administer the subcontracting program:

<table>
<thead>
<tr>
<th>Name:</th>
<th>Jacob Godfrey</th>
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</thead>
<tbody>
<tr>
<td>Title:</td>
<td>Associate Director/Chief Procurement Officer, Business &amp; Financial Services</td>
</tr>
<tr>
<td>Address:</td>
<td>SAASB 3203 Santa Barbara, CA 93106-1150</td>
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<td>Phone:</td>
<td>(805) 893-3001</td>
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<tr>
<td>Email:</td>
<td><a href="mailto:jacob.godfrey@ucsb.edu">jacob.godfrey@ucsb.edu</a></td>
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<thead>
<tr>
<th>Name:</th>
<th>Heather Perry</th>
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<tbody>
<tr>
<td>Title:</td>
<td>Sustainable Procurement Analyst/Small Business Officer, Business &amp; Financial Services</td>
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<tr>
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<td>Phone:</td>
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<tr>
<td>Email:</td>
<td><a href="mailto:heather.perry@ucsb.edu">heather.perry@ucsb.edu</a>, <a href="mailto:gatewayhelp@bfs.ucsb.edu">gatewayhelp@bfs.ucsb.edu</a></td>
</tr>
</tbody>
</table>

The individuals’ specific duties, as they relate to the University’s subcontracting program, are as follows:
- The Chief Procurement Officer has general overall responsibility for the University’s Small and Diverse Business and Subcontracting Program. The Small Business Officer is responsible for the development, preparation, and execution of individual subcontracting plans, and for monitoring performance relative to contractual subcontracting requirements contained in this plan, including, but not limited to:
  - Developing and promoting University wide policy initiatives that demonstrate the University’s support for awarding contracts and subcontracts to SB, SDB, WOSB, HUBZone SB, VOSB and SDVOSB concerns; and for assuring that these concerns are included on the source lists for solicitations for products and services they are capable of providing.
  - Developing and maintaining bidders’ lists of SB, SDVOSB, VOSB, HUBZone SB, SDB, and WOSB concerns from all possible sources.
  - Assuring inclusion of SB, SDVOSB, VOSB, HUBZone, SB, SDB and WOSB concerns in all solicitations for products or services which they are capable of providing.
  - Ensuring that procurement packages are structured to permit SB, SDVOSB, VOSB, HUBZone SB, SDB, and WOSB concerns to participate to the maximum extent possible.
  - Reviewing subcontract solicitations to remove statements, clauses, etc., which might tend to restrict or prohibit small, 8(a), SDB, WOSB, HUBZone, VOSB and SDVOSB small business participation.
  - Accessing various sources for the identification of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns, as described in Part 3 above.
  - Ensuring the establishment and maintenance of records of solicitations and subcontract award activity.
  - Participating in Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc.
  - Ensuring that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns are made aware of subcontracting opportunities and assisting concerns in preparing responsive bids to the company.
  - Conducting or arranging for the conduct of training for purchasing personnel pursuant to the intent of P.L. 95-507.
  - Monitoring the company’s subcontracting program performance and making any adjustments necessary to achieve the subcontract plan goals.
  - Preparing and submitting required periodic subcontracting reports.
8. **Description of the Efforts to be Made to Assure Equitable Opportunity – FAR 52.219-9 (d)(8)**

The University will make the efforts included in section 2 and 3 above to ensure that small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns have an equitable opportunity to compete for subcontracts. It will also reach out to other UC campuses to learn about the suppliers from which they are procuring. Also note efforts to be made in item 11 below.

The following internal efforts are made to guide and encourage utilization of small businesses:
- Campus Buyers have a checklist to ensure that they abide by all of the Federal Acquisition Regulation requirements.
- University Legal Counsel has updated the University Terms and Conditions to include current applicable FARS requirements and trains Buyers and Strategic Sourcing staff on the revisions.
- The University will expand equitable opportunities in the near future in the following manner:
  1. Implement California Public Contract Code 10508.5, which allows direct transaction contracting with certified Small Businesses up to $250,000.
  2. Promote FAR, Subpart 19.5 set-asides for Small Businesses up to $250,000 on federally funded transactions.
- Training on how to do business with the University is published online and available to all small business concerns to aid vendors in being able to compete competitively.
- Effort is made to identify and use small business, and all classifications mentioned above, on University purchase orders, so that they may be in a better position to compete for future subcontracting opportunities.
- The Small Business Officer will attend and host small business procurement conferences or workshops.

9. **Inclusion of the Clause “Utilization of Small Business Concerns” – FAR 52.219-9 (d)(9)**

The University agrees that Federal Acquisition Regulation clause 52.219-8 entitled “Utilization of Small Business Concerns” will be included in all subcontracts that offer further subcontracting opportunities, and that the University will require all subcontractors (except small business concerns) that receive subcontracts in excess of $700,000 ($1.5 million for construction of any public facility) with further subcontracting possibilities to adopt a subcontracting plan that complies with the requirements of this clause.

10. **Assurances – FAR 52.219-9 (d)(10):**

The University will:
- Cooperate in any studies or surveys as may be required;
- Submit periodic reports so that the Government can determine the extent of compliance by the University with the subcontracting plan;
- Include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite-quantity contracts with individual subcontracting plans where the contract is intended for use by multiple agencies;
- Submit the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with paragraph (1) of this clause using the Electronic Subcontracting Reporting System (eSRS) at [http://www.esrs.gov](http://www.esrs.gov). The reports shall provide information on subcontract awards to small business concerns (including ANCs and Indian tribes that are not small businesses), small disadvantaged business concerns (including ANCs and Indian tribes that have not been certified by the Small Business Administration as small disadvantaged businesses), women-owned small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, and for NASA only, Historically Black Colleges and Universities and Minority Institutions. Reporting shall be in accordance with this clause, or as provided in agency regulations;
- Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS;
- Provide its prime contract number, its unique entity identifier or DUNS number, and the e-mail address of the University official responsible for acknowledging receipt of or rejecting the ISRs, to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their ISRs; and
- Require that each subcontractor with a subcontracting plan provide the prime contract number, its own unique entity identifier or DUNS number, and the e-mail address of the subcontractor’s official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans.

11. **Description of the Types of Records to be Maintained in Regard to Procedures Adopted – FAR 52.219-9 (d)(11)**

The procedures (to be adopted to comply with the plan requirements and goals to locate small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and award subcontracts to them) will include:

(i) Source lists (e.g., SAM), guides, and other data that identify small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.
concerns. Small, SDVOSB, VOSB, HUBZone SB, SDB, and WOSB concern source lists, guides and other data identifying SB, SDVOSB, VOSB, HUBZone SB, SDB, and WOSB concerns will also be maintained and utilized by buyers in soliciting subcontracts.

(ii) Records on each subcontract solicitation resulting in an award of more than $250,000, indicating—
(A) Whether small business concerns were solicited and, if not, why not;
(B) Whether veteran-owned small business concerns were solicited and, if not, why not;
(C) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;
(D) Whether HUBZone small business concerns were solicited and, if not, why not;
(E) Whether small disadvantaged business concerns were solicited and, if not, why not;
(F) Whether women-owned small business concerns were solicited and, if not, why not; and
(G) If applicable, the reason award was not made to a small business concern.

(iii) Records of any outreach efforts to contact:
(A) Trade associations;
(B) Business development organizations;
(C) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, and women-owned small business sources; and
(D) Veterans service organizations.

(iv) Records of internal guidance provided to buyers, faculty, and staff through:
(A) Workshops, seminars, training, etc.; and
(B) Monitoring performance and engaging with project teams to ensure they make progress toward goals.

(v) On a contract-by-contract basis, records to support award data submitted by the University to the Government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

12. Good Faith Effort to Acquire Articles, Equipment, Supplies, Services in Same or Greater Scope – FAR 52.219-9 (d)(12)
The University will make a good faith effort to acquire articles, equipment, supplies, services, or materials from the small business concerns that it used in preparing the bid or proposal, in the same or greater scope, amount, and quality used in preparing and submitting the bid or proposal.

13. Assurance to Provide Written Explanation if Contractor Fails to Achieve above - FAR 52.219-9 (d)(13)
The University will provide the Contracting Officer with a written explanation if the Contractor fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in (d)(12) of this clause. This written explanation will be submitted to the Contracting Officer within 30 days of contract completion.

14. Payments to Small Business Subcontractors – FAR 52.219-9 (d)(14) and FAR 52.219-9 (d)(15)
The University will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor. Furthermore, the University will pay its small business subcontractors on time and in accordance with the terms and conditions of the underlying subcontract, and notify the contracting officer in writing when the prime contractor makes either a reduced or an untimely payment to a small business subcontractor (FAR 52.242-5).

15. Effective Implementation of this Plan - FAR 52.219-9 (e)
In order to effectively implement this plan to the extent consistent with efficient contract performance, the University shall perform the following functions:

(1) Assist small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns.

(2) Provide adequate and timely consideration of the potentialities of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns in all “make-or-buy” decisions.

(3) Counsel and discuss subcontracting opportunities with representatives of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business firms.
(4) Confirm that a subcontractor representing itself as a HUBZone small business concern is identified as a certified HUBZone small business concern by accessing the SAM database or by contacting SBA.

(5) Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as small, veteran-owned small business, HUBZone small, small disadvantaged, or women-owned small businesses for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the Contractor’s subcontracting plan.

(6) For all competitive subcontracts over the simplified acquisition threshold in which a small business concern received a small business preference, upon determination of the successful subcontract offeror, the Contractor must inform each unsuccessful small business subcontract offeror prior to award of the contract.

(7) Assign each subcontract the NAICS code and corresponding size standard that best describes the principal purpose of the subcontract.