



Small Business First

*Procurement Services Department Buyer Training Session
Tuesday, April 26, 2022*

UCI Division of Finance and Administration | With U • For U

Procurement Training

Robust **training guides** are available on the Procurement website and can be accessed from the top of our website.

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UCI Procurement
Services



In addition to the PDF training guides, you may find our interactive online courses on UCLC. You can also request personalized individual or group training available via [Zoom](#) or in person.



Capital Asset



PALCard



UCIBuy



Requisition



Purchase Order

Procurement Training

Table of Contents

How to: Enter a KFS Requisition	1
Step 1: Access the Portal	1
Step 2: Document Header displays information to assist in retrieving or tracking a Requisition.	1
Step 3: Document Overview Tab	2
Step 4: Delivery Tab	3
Step 5: Vendor Tab	3
Step 6: Items Tab	5
Step 7: Capital Asset Tab	9
Step 8: Additional Institutional Info Tab	15
Step 9: Notes and Attachments Tab (if applicable)	15
Step 10: Calculate and Submit the Requisition	16
Step 11: Reload	17
Step 12: Route Log Tab Tutorial	17
How to: Perform a Search in KFS	19
Building Lookup	20
Vendor Lookup	20
Commodity Code Lookup*	21
Search Hints	22
Account Lookup	22
How to: Set up a Recurring Payment Requisition	25
Recurring Payment Guidelines	25
Multi-Year Contracts	25
Document Overview Tab	25
Delivery and Vendor Tab	25
Items Tab	25
Payment Info	26
Notes and Attachments Tab	26
Calculate and Submit the Requisition	26
How to: Copy a Requisition	27
Step 1: Copy the Requisition	27

In addition to our guides and micro-learnings, you can request a **one-on-one session** conducted via Zoom for a more personalized learning experience.

Please contact Shauna Niswonger at shauna.n@uci.edu.

Today's Agenda


- Welcome
- Review of Small Business First Policy and website
- Resources
- Fiscal Close Info
- Q & A



Remember

As an employee of a public university, it is your responsibility to comply with all procurement laws, rules, regulations, executive orders, policies and procedures concerning the purchase of goods and services:

- UCOP BUS-43
- UCI 707-10
- UCI 701-23
- California Public Contract Code
- Uniform Guidance
- Small Business First
- Covered Services



You are **not authorized to sign on behalf of the University** or to bind the University in any manner.

It is a **violation of federal and state law and UC policy** to procure a service or commodity without acquiring the necessary approvals and documents in advance.

If you do, you may be held **personally responsible for the cost** of the products or services purchased.

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Small Business First (SBF) Policy Overview

As of March 1, 2021, all purchases on federal funds and non-construction UC contracts and procurements between \$10,000 to \$250,000 that cannot be procured via an existing strategically-sourced agreement must be awarded to a **Small Business (SB) or Disabled Veteran Business Enterprise (DVBE)**, wherever practicable.

California Public Contract Code Section 10508.5 allows the University to award purchase agreements valued up to \$250,000 to a certified SB/DVBE without being competitively bid, so long as the University obtains price quotations from two or more certified SB or DVBE businesses.

This informal solicitation process requires:

Purchase Order >\$10,000 and <\$100,000	One (1) informal quote from certified SB or DVBE
Purchase Order >\$100,000 and <\$250,000	Two (2) informal quotes from certified SB or DVBE

The process and requirements for using the Small Business First program are outlined in BUS-43.

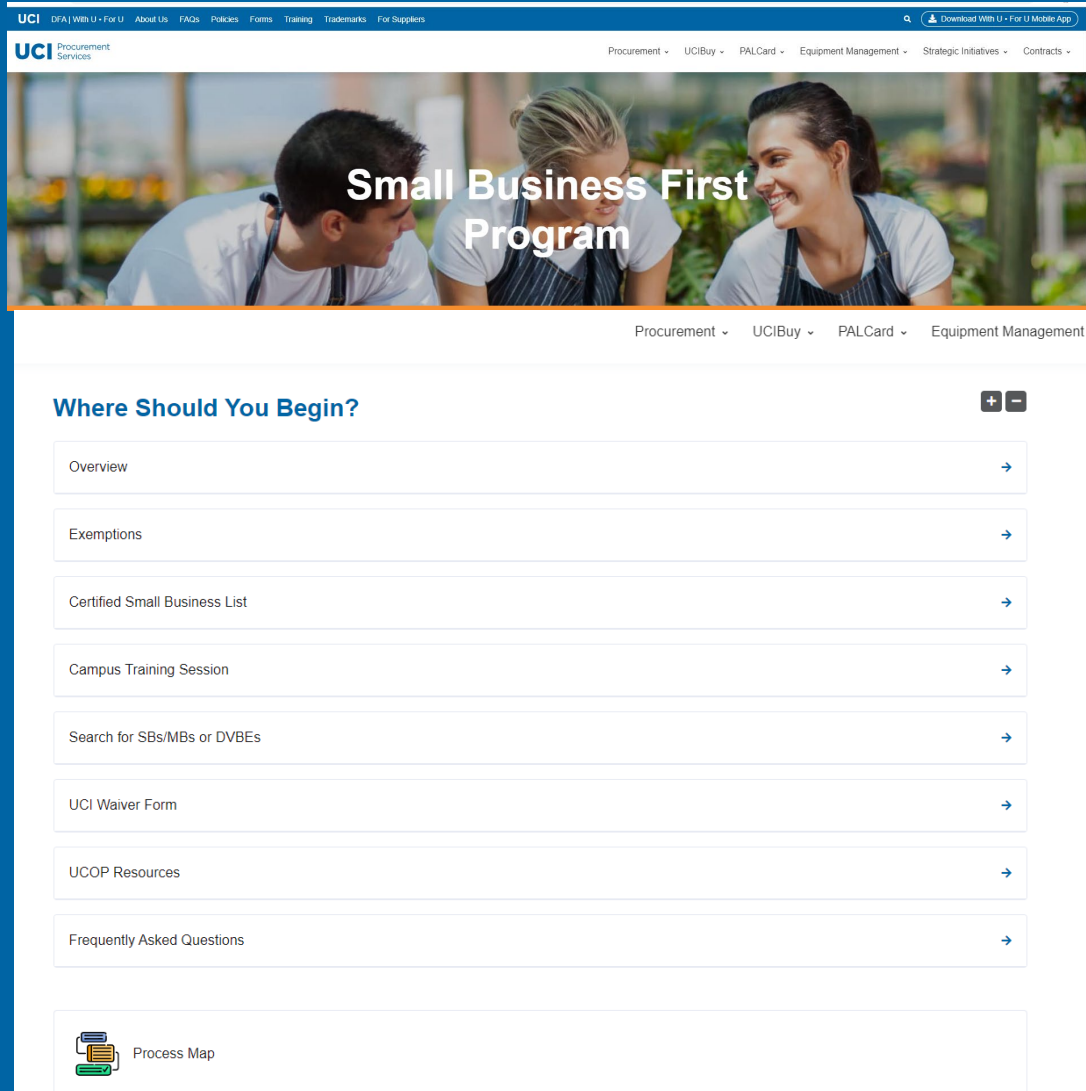
UCOP Economically and Socially Responsible (EaSR) Goals vs. SBF

Procurement

- Achieve full compliance with *required* level green spend criteria per product category; target to be reached within three fiscal years after a category is added to the Sustainable Procurement Guidelines.
- Reach 25% *preferred* level green spend per product category; target to be reached within three fiscal years after a category is added to the Sustainable Procurement Guidelines.
- Reach 25% economically and socially responsible spend; target to be reached within five fiscal years of adoption of this section in the Sustainable Procurement Guidelines.
- Allocate a minimum of 15% of the points utilized in competitive solicitation evaluations to sustainability criteria.

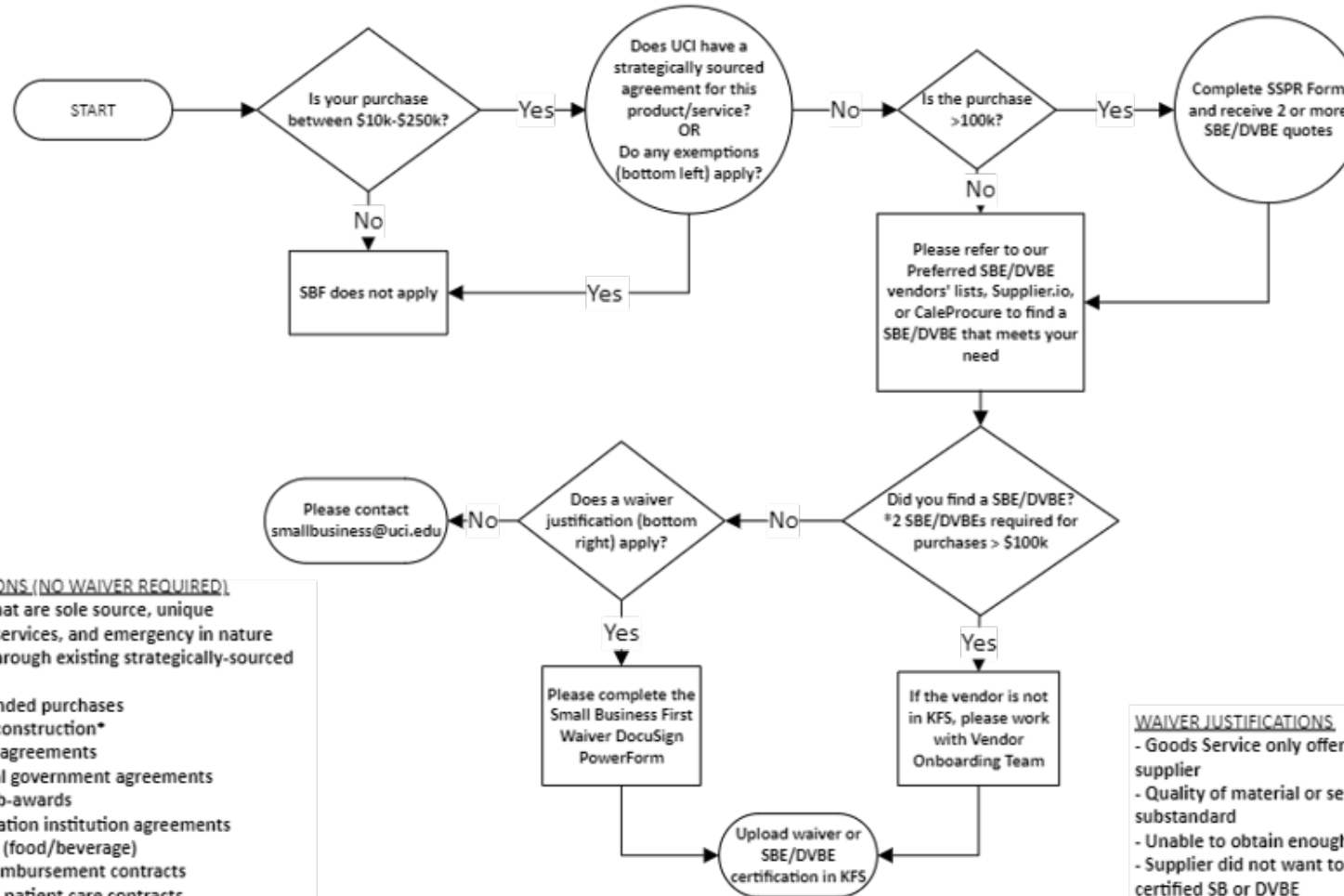
SBF program is an enabler of EaSR goal of 25% by FY2023. This goal applies to UC's total addressable spend. The EaSR goal also tracks spend with a wider range of qualified small and diverse owned businesses than those allowed under the SBF program.

UCI Procurement SBF Website



- Policy Overview
- SBF Exemptions
- List of Certified and Onboarded SBs/DVBEs
- Previous Training Session
- Searching for SBs/DVBEs
- UCI Waiver and Video
- UCOP Resources FAQs
- Process Map

SMALL BUSINESS FIRST (SBF) PROCESS MAP



SBF EXEMPTIONS (NO WAIVER REQUIRED)

- Purchases that are sole source, unique professional services, and emergency in nature
 - Purchases through existing strategically-sourced agreements
 - Federally funded purchases
 - Design and construction*
 - Interagency agreements
 - Federal/local government agreements
 - Research sub-awards
 - Higher education institution agreements
 - Concessions (food/beverage)
 - Revenue/reimbursement contracts
 - Medical and patient care contracts
 - Statutorily-exempt, policy-exempt, emergency, proprietary, and/or local assistance/subvention procurements
- *All contracting for construction is governed by the UC Facilities Manual and its associated policies and templates.

WAIVER JUSTIFICATIONS

- Goods Service only offered by one supplier
- Quality of material or service is substandard
- Unable to obtain enough valid quotes
- Supplier did not want to become a certified SB or DVBE
- No supplier in need service area
- Choosing SB/DVBE would disrupt business operations
- No supplier response
- Insufficient number of SB/DVBEs

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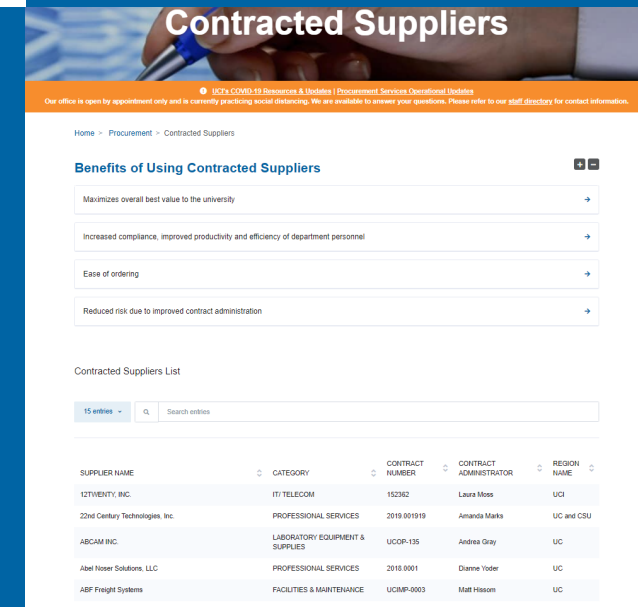
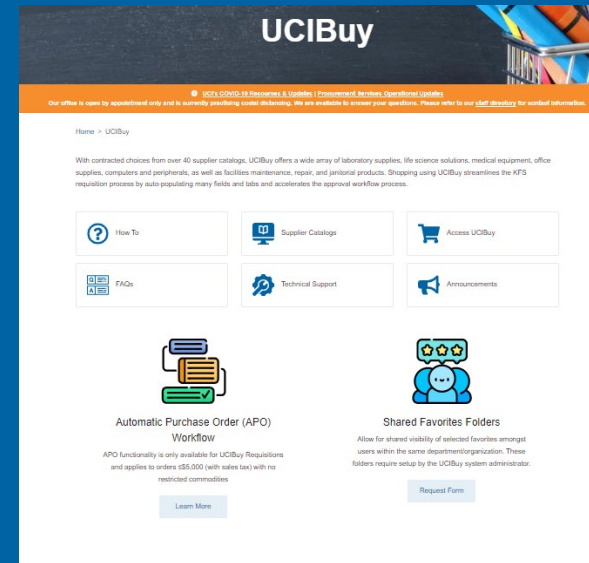
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Search for Contracted Supplier First

- Contracted suppliers are exempt from SBF
- We highly recommend you refer to **UCIBuy** or the list of **contracted suppliers** available on our website to see if any of our strategically sourced suppliers can meet your needs



Finding SBs/DVBEs:

- Certified and onboarded **SB/DVBEs vendors list**
 - * Please provide feedback on vendor quality, and if any vendors should be added or removed
- **Supplier.io** (Explorer Professional)
 - SSO log In
 - How-to-Search video
- **Cal eProcure**
 - How-to-Search video



Waiver

- How to video
- DocuSign PowerForm
- Waiver Tips
 - Completely fill out the waiver
 - SOW/Invoice attached
 - Search results screenshot
 - Bid from another small or disabled veteran business for applicable orders over \$100,000
 - Source Selection and Price Reasonableness Justification (SSPR) Form attached for over \$100,000

SMALL BUSINESS FIRST (SET-ASIDE PROGRAM)

Non-Award Justification Form (Waiver)

—For non-Federally funded purchases $\geq \$10,000$ and $\leq \$250,000$

This document must be completed by the requesting Department for all applicable non-Federally funded purchases valued $\geq \$10,000$ and $\leq \$250,000$ annually (excluding tax, but including shipping), to substantiate the appropriateness of awarding to a non-Small Business (SB) or Disabled Veteran Business Enterprise (DVBE). (Please review the *Small Business First* Non-Award Justification Form Instructions prior to filling out this document.)

Waiver Exemptions. The following purchase and/or agreement types are exempt from the *Small Business First* policy and **do not** require a waiver: inter-agency, federal government, research sub-awards, local government, higher education institutions, concessions, revenue/reimbursement contracts, medical and patient care, statutorily exempt, policy exempt, emergency, local assistance/subvention, and proprietary contracts.

The *Small Business First* program does not apply to circumstances where Federal, grant, court decision, or court order requirements dictate how funds can be expended.

Wherever possible, purchases should be made through existing Strategically Sourced agreements. Purchases made with existing Strategically Sourced agreements are not required to go through the *Small Business First* program.

I. GENERAL INFORMATION

Requisition #: Dollar Amount:

Campus Department:

Brief Scope of Work:

II. WAIVER JUSTIFICATION

- A. Select or fill in below the relevant portals and systems that were searched to locate Small Businesses or Disabled Veteran Business Enterprises to meet the Scope of Work requirements for this opportunity:

☐[Explorer Professional](#)☐[Cal eProcure](#)☐

Other: _____

- B. List below the relevant UNSPSC, NAICS or other code(s), licenses or keyword(s) used to search for Small Businesses or Disabled Veteran Business Enterprises to meet the Scope of Work requirements for this opportunity:

- C. **Reason for Waiver Request (choose one).** Select below the primary reason for this waiver request. You will be asked to provide a narrative below to further detail to the justification for this request based on the primary reason selected.

☐

None, or insufficient number of SB/DVBE suppliers identified

☐

Goods/services offered by only one supplier

☐

Quality of material or service is substandard

☐

Suppliers found, but unable to perform work

☐

Unable to obtain enough valid quotes

☐

Supplier did not want to become certified SB or DVBE

☐

No supplier in needed service area

☐

Choosing SB/DVBE would disrupt business operations

☐

No supplier response

☐

Other, as specified in justification

To support this waiver justification, please attach any relevant documentation. Examples of the type of documentation to include are: failed solicitations; correspondence from the manufacturer, supplier, program; documentation of Small Business Officer assistance; documentation of supplier search/bidders list; past procurement data search or previous contract information; or evidence of SB/DVBE recruitment efforts.

D. **Justification Narrative.** Detail below the unique circumstances and/or specifications that support the Reason for Waiver Request selected above. This narrative must clearly state why awarding to a non-SB or DVBE is the only means of meeting the requirements of the Scope of Work. **NOTE:** Pre-work with the selected supplier to customize the equipment or service, thereby excluding competition, is not an allowable justification. Price and brand names are not allowable justifications.

III. REPRESENTATION

By signing below, I hereby certify the foregoing is true and correct to the best of my knowledge.

Dept. Responsible Party Signature: _____ Date: _____
Dept. Responsible Party Name: _____ Email/Phone: _____
Dept. Responsible Party Title: _____

IV. WAIVER APPROVAL

Policy Exception Authority Signature: _____ Date: _____
Policy Exception Authority Name: _____ Email/Phone: _____
Policy Exception Authority Title: _____

Moving Forward...

- Proactive, if you anticipate a need for a non-contracted vendor, please reach out
 - Our team assists in certifying vendors if they are eligible
- Make use of SBF website and training videos
- Plan ahead for purchasing needs, so we can work with vendors to become certified



Resources

- [UCI SBF Website](#)
- [Process Map](#)
- [Contracted Suppliers](#) and [UCI Buy](#)
- [Commodity Lists](#)
- [Supplier.io](#) and [How-to-video](#)
- [Waiver](#) and [How-to-Video](#)
- [University of California Sustainable Practices Policy](#)

Fiscal Close Information

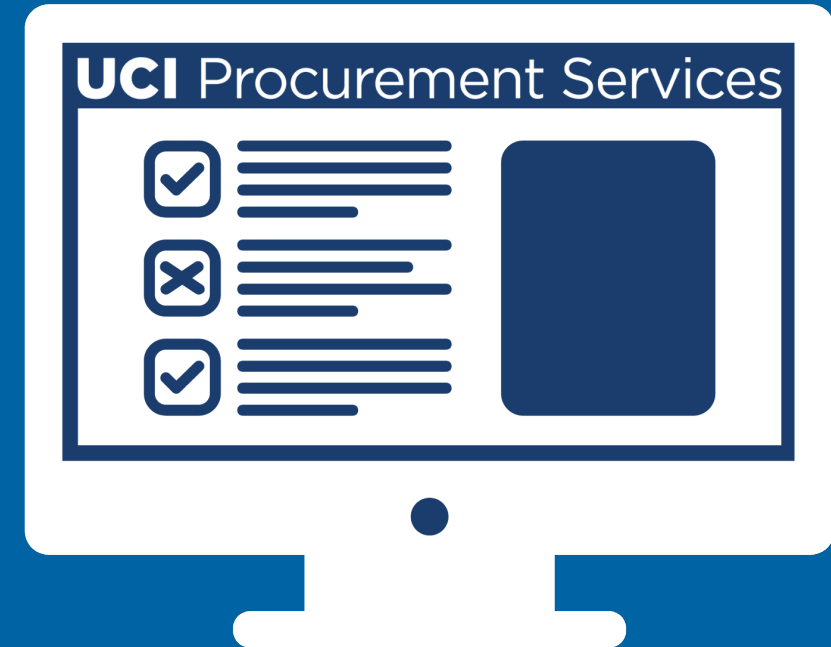
Save the Date: May 17 and May 18 AFS Workshop

- May 16** 2023 fiscal year appears in drop-down box on KFS Requisition and PO for the next fiscal year. (Only to be used for Recurring PO or Contracts that start after July 1.)
- June 1** Last day to submit a High Value/High Risk or Contract Requisition, PO Amendment, Recurring Payment POs, and for generating High Value UCIBuy Catalog Requisitions (**>\$5000 and/or containing any potential restricted commodities**) to ensure Procurement Services has sufficient processing and lead time to post in FY 2021-2022. Efforts will be made to approve submissions after this date but cannot be guaranteed.
- June 18** The last day for PALCard online purchases to ensure the vendor/bank submits the charge by June 30.
- June 25** The last day for *in-store* PALCard purchases to ensure the vendor/bank submits the charge by June 30.

**** Please review the Fiscal Close letter from the Controller for a complete list of dates****

Survey

<https://bit.ly/4-26-survey>



Questions



*Thank
You*