Small Business First

Procurement Services Department Buyer Training Session
Tuesday, May 16, 2023

UCI Division of Finance and Administration | With U • For U
Robust training guides are available on the Procurement website and can be accessed from the top of our website.
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 us at procurement@uci.edu.
Today’s Agenda

• Welcome
• Review of Small Business First Policy, new waiver, 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.
UCI Procurement Services
Strategic Initiatives & Communications Team

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Small Business First (SB1st) Policy Overview

**UC Policy BUS-43** requires that all non-construction and non-federally funded purchases between $10,000 and $250,000 annually (excluding tax but including shipping) that cannot be procured via an existing strategically sourced agreement, must be awarded to a certified 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.
New SB1st Website

- Policy Overview
- Process Map
- SB1st Exemptions
- Contracted Supplier List
- List of Certified and Onboarded SBs/DVBEs
- Searching for SBs/DVBEs
- UCI Waiver
- Training Videos
- FAQs
Exemptions

These purchases and/or agreement types are **exempt** from the Small Business First policy and **DO NOT REQUIRE** a waiver:

- **Sole Source/Unique Professional Services/Emergency purchases:**
  - **Sole Source:** Either 'one-of-a-kind' – specific features essential for task or project completion; available from only one source in the world. Or 'match existing' – specific proprietary item(s) compatible with existing equipment/systems and change of brand/manufacturer would compromise continuity and integrity of project.
  - **Unique Professional/Personal Services:** Specific unique qualifications selected supplier will provide.
  - **Emergency:** Failure to act immediately may result in significant bodily harm, loss or damage of property, violation of law, or cause significant liability to University or University community.

- **Purchases through existing strategically sourced agreements:** An existing agreement competitively bid via RFP at systemwide or campus level; these include existing agreements for hotel and event spaces, catering, entertainment and travel partnerships, etc.

- **Federally funded purchases:** These fall under **Federal requirements**.

- **Design & Construction:** All contracts, bids and purchases governed by **UC Facilities Manual** for compliance are exempt. **However, Design & Construction-related purchases governed by procurement compliance must adhere to SB1st program** (Ex: facility maintenance, equipment purchase, etc.).
Exemptions Continued

- **Interagency Agreements**: Agreements with government agencies (Ex: CalFire, Transit Authorities, Utilities, Waste & Recycling agencies, etc.) take precedence.

- **Federal/local Government Agreements**: Agreements with cities, counties, Federal governments fall under existing guidelines for those government agencies.

- **Research Sub-awards**: These are governed by existing underlying agreements.

- **Higher education institution agreements**: Agreements between UC and other higher education institutions to provide specialized services needed by other institutions (Ex: biological testing, data analysis, technical advisors, specialized research services, etc.).

- **Concessions**: Agreements giving suppliers rights/licenses to operate in university locations (usually contracts with food/drink/apparel vendors).

- **Revenue/reimbursement contracts**: Revenue generation agreements – not usually considered a typical procurement contract (Ex: Service Core services; fabrication, design, developing tools for research; stores/cafes/brands revenue sharing; Pepsi Bottling, Peet’s Coffee, etc.).

- **Medical and patient care contracts**: Typically, medication/prescriptions, medical devices, etc.
Search for Contracted Supplier First

- Contracted suppliers are **exempt from SB1st**

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

- Just because a vendor is listed in KFS **DOES NOT** mean they are a contracted supplier. If they are listed as a certified small business, it is your responsibility to check to make sure the certificate is still valid.
Finding Certified UCI SBs/DVBEs:

- Certified and onboarded **UCI SB/DVBEs vendors list**
  
  *Please provide feedback on vendor quality and if any vendors should be added or removed*

**Commodities:**

- Electrical
- IT
- Facilities & Housing
- Consulting Services
- Promotional Services
- Life Science Equipment
- Life Science Materials
- Marketing Agency/Website Dev.
- Transcription/Translation Services
- Video Production/AV Rentals
Finding Certified SBs/DVBEs:

- **Supplier.io/Explorer.io** (Explorer Professional)
  - SSO log In
  - How-to-Search video
- **Cal eProcure**
  - How-to-Search video

*Search key words, not just vendor name*
Waiver

Sometimes, circumstances may justify not complying with SB1st, though it would otherwise apply.

Examples include:

- Where at least two SB/DVBE suppliers are not available
- Business needs cannot be met by a SB/DVBE supplier
- Unique specifications only certain suppliers can meet
Waiver

- Watch "Waiver Guide" video
- Review the Sample Waiver form
- Waiver found on Procurement website through DocuSign PowerForm
- Waiver Tips
  - Completely fill out the waiver: any abbreviations or partially filled out waivers will be voided and returned
  - Attach quote from selected supplier
  - Attach SOW (if available)
  - Search results screenshot (search results from Explorer.io or Cal eProcure). Search for the category, not just the vendor's name: example "video production" and not just "John's Video Production"
  - Competitive quotes (if applicable and available)
    - Over $100,000 (2 quotes)
    - Under $100,000 (1 quote)
  - Source Selection and Price Reasonableness Justification (SSPR) Form attached for over $100,000
Waiver Form

UC PROCUREMENT

For non-Federally funded purchases ≥$10,000 and ≤$250,000

Before using this Waiver: Please review the Small Business First Process Map and additional training resources. Where possible, purchases should be made through existing contracts/procurements and strategically sourced agreements which are not required to go through the Small Business First (SB/F) program. If a contracted supplier is not utilized, the purchasing department should first try to use these SB/F or DVBE search platforms to identify a SB/F or DVBE in the desired commodity or on our list of certified SB/F or DVBEs. UCJ accepts the following certifications. Please contact smallbusiness@uci.edu for help in finding a SB/F or DVBE.

Small Business First Policy: UC Policy 111-43 requires that all non-construction and non-federally funded purchases between ≥$10,000 and ≤$250,000 annually (excluding tax but including shipping) that cannot be procured via an existing strategically sourced agreement, must be awarded to a certified Small Business (SB) or Disabled Veteran Business Enterprise (DVBE), whenever practicable.

Waiver Exemptions: These purchases and/or agreement types are exempt from the Small Business First policy and do not require a waiver:

- Sole Source/Unique Professional Services/Emergency purchases:
  - Sole Source: Either "one-of-a-kind" -- specific features essential for task or project completion, available from only one source in the world. Or "match existing" -- specific proprietary item(s) compatible with existing equipment/systems and change of trend/manufacturer would compromise continuity and integrity of project.
  - Professional/Personal Services: Specific unique qualifications selected supplier will provide.
  - Emergency: Failure to act immediately may result in significant bodily harm, loss or damage of property, violation of law, or cause significant liability to University or University community.
- Purchases through existing strategically sourced agreements: An existing agreement competitively bid by SB/F at systemwide or campus level. These include existing agreements for hotel and event spaces, catering, entertainment and travel partnerships, etc.
- Federally funded purchases: These fall under federal requirements.
- Design & Construction: All contracts, bids and purchases governed by UC Facilities Manual for compliance are exempt. However, Design & Construction-related purchases governed by procurement compliance must adhere to SB/F program (Ex: facility maintenance, equipment purchase, etc.).
- Interagency Agreements: Agreements with government agencies (Ex: Caltrans, Transit Authorities, Utilities, Waste & Recycling agencies, etc.) take precedence.
- Federal/local Agreements: Agreements with other Federal/local government agencies.
- Research Lab-related: These are governed by existing underlying agreements.
- Higher Education Institution Agreements: Agreements between UC and other higher education institutions to provide shared services funded by other institutions (Ex: biological testing, data analysis, technical assistance, specialized research services) etc.
- Consensus Agreements: Agreements governing rights/licenses to operate in university locations (usually contracts with food/restaurant vendors).
- Revenue/reimbursement contracts: Revenue generation agreements – not usually considered a typical procurement contract (Ex: Service Care, facility management, design, developing tools for research, store/sales/trades revenue sharing, Printing, Pools & Offices, etc.)
- Medical and patient care contracts: Typically, medications/prescriptions, medical devices, etc.

Small Business First – UCI Waiver

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Waiver Requirements. This entire Waiver must be completed by the responsible requesting party prior to submission for approval. (Refer to White Waiver Completion Instructions for detailed help.) The 581st Waiver must be approved by Doreen Tannenbaum BEFORE making a purchase or contracting with a company that is not an 8M/8W. (NOTE: non-federally funded awards valued over $100,000 must also be reported and attached to the waiver using the Resource Selection & Price Reallocation form.)

A. Requisition #:_________________________ Dollar Amount:_________________________
   Department: __________________________
   (For PCard purchases, enter PCard for the Requisition #. Enter the full name of your department. Waivers containing abbreviations listed for Department name will be voided and returned.)

   Supplier: ________________________________

   B. Reason for Waiver Request (REQUIRED). (Choose only one and provide more detail in justification narrative below. If no box is selected, the waiver will be voided and returned.)
      □ Insufficient number of bidders/suppliers identified or unable to obtain enough valid quotes
      □ Unable to meet specifications
      □ Supplier declined to become a certified 8M or 8W
      □ Other (Provide additional information in the next section)

   C. Justification Narrative (REQUIRED). Detail in the field below the unique circumstances and/or specifications that support your selection in Section B above. This narrative must clearly state why awarding to a non-8M/8W is the only means of meeting the requirements for 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.)

   D. Attach relevant documentation. Please attach any relevant documentation to support this waiver. (Documentation examples: Sample solicitations, correspondence from the manufacturer, supplier, program, documentation of Small Business Owner assistance, documentation of supplier ownership, legal or other documents in support of the waiver request.)

   E. REPRESENTATION
   By signing below, I hereby certify that the foregoing is true and correct to the best of my knowledge.
   Dept. Responsible Party Signature: _______________ Date: _______________
   Dept. Responsible Party Name: ____________________ Email: _______________
   Dept. Responsible Party Title: _____________________

   F. WAIVER APPROVAL
   Policy Exception Authority Signature: ____________________ Date: _______________
   Policy Exception Authority Name: Doreen Tannenbaum Email: doreen.tannenbaum@uci.edu
   Policy Exception Authority Title: Strategic Initiators and Communications Manager, UC Procurement Services

Small Business First – UCI Waiver 2
Moving Forward…

- Be proactive and plan ahead! Our team assists in certifying vendors if they are eligible.
- Make use of UCI SB1st website and training resources
- Email us if you have any questions: smallbusiness@uci.edu
Resources

- UCI SBF Website
- Process Map
- Contracted Suppliers and UCI Buy
- UCI SB/DVBE List
- Supplier.io and How-to-Search video
- Cal eProcure and How-to-Search video
- Waiver and Waiver Guide video
- University of California – Policy BFB-BUS-43
- CA PCC Section 10508.5
- UC Facilities Manual
Fiscal Close Information - Procurement Deadlines

Register Now for Fiscal Close Workshops: (register in UCLC)

• Fiscal Closing Workshop - 20230519
  Friday, May 19 at 10 a.m. – noon

• Fiscal Closing Workshop - 20230524
  Wednesday, May 24 at 2:30 p.m. – 4:30 p.m.

• Sales & Service/Auxiliary Enterprises Fiscal Close Workshop - 20230531
  Wednesday, May 31 at 10 a.m. – noon

Special Procurement Deadlines:

• Last Recommended Day to submit FY 2022-23 High Value/Risk PO & PO Amends to Central Procurement: June 1

• Last Day to submit a PO Close request to Central Procurement: June 26

• Last Day to close fulfilled Low Value POs: June 30

• All PO & PO Amends must be final on June 30 to post to the 2022-23 Fiscal Year

**Submit Early! Department & central approvals take time**
Fiscal Close Information - Procurement Deadlines

Special PALCard Deadlines:

• Last PALCard Feed from US Bank for FY 2022-23: **July 5**
• Last Day to review/finalize ALL pending PCDOs: **July 7**
  • All PCDOs enroute in the system will auto-approve after 8 p.m. on night of July 7, no matter the create date
  • Any corrections (use-tax or FAU) after auto-approval must be done via GEC before **July 14**
    • Submit early to allow adequate time for department and central approvals, including Accounting Reviewer(s)

• PCDOs for FY 2023-24 will not be created until after Period 12 closes (July 15 or later)

**Please see the 2022-23 Fiscal Year-End Close Information & Dates email from AFS, for full deadlines & details**
Survey

Thank You