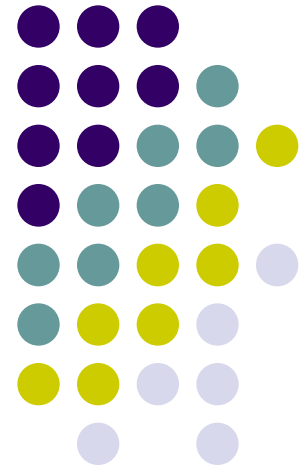
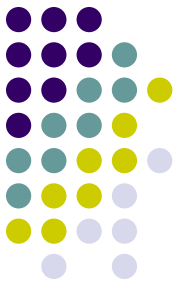


# UC San Francisco Supplier Diversity Basics

Module 3: Federal & State of California  
Reporting

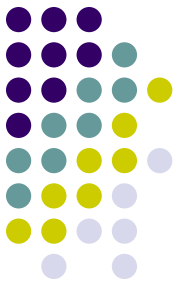




## Module 3: Supplier Diversity Basics Curriculum

For UCSF Employees – What You Need to Know

- Module 1: Policy and Regulatory Requirements
- Module 2: Campus Responsibilities
- **Module 3: Federal and State of California Reporting**

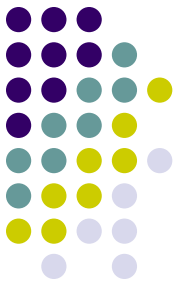


## Module 3: Learning Objectives

***Before taking this module, you need to participate in Modules 1 & 2.***

In this module, you will:

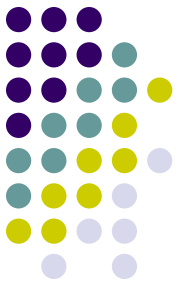
- Learn how queries are run from campus financial systems and how the Individual Subcontracting Report (ISR) & the Summary Subcontracting Report (SSR) are filed
- Learn the documentation that must be maintained whenever spending does not occur with the specific small businesses for which goals were set in the Small Business Subcontracting Plan.
- Be able to provide such an explanation to the Contracting Officer of the agency or institution that awarded the funding to the University
- Bookmark EPA webpages to find information about how to file EPA 5700-2a forms



## Federal Contracts/Subcontracts Reporting

The University's responsibilities include:

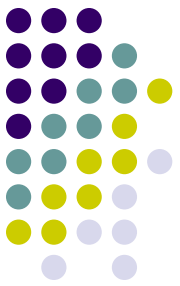
- Search the applicable search engines, including the Explorer tool to find potential small and diverse businesses
- Consult with the Supplier Diversity Program Manager to find potential small business suppliers
- Track project small and diverse business spend against project small business spend goals
- Maintain ongoing documentation in the event the project team has not been able to purchase from small businesses as they planned.
- Report this information to the Contracting Officer within 30 days of the expiration of the agreement.



# Federal Contracts/Subcontracts Reporting

eSRS report types, their due dates, & the type of spend that needs to be reported are shown below.

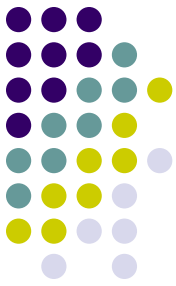
<b>Individual Subcontracting Report (ISR) for Each Agreement</b>	<b>Due no later than</b>	<b>Spend Type</b>
10/1/XX (prior yr) to 3/31/XX (current yr) – regular	By 4/30	Cumulative spend through 3/31 of current year
10/1/XX (prior yr) to 9/30/XX (current yr) annual report which includes spend reported for period above - regular	By 10/31	Cumulative spend through 9/30 of current year
<b>10/1/XX – agreement expiration - final</b>	Within 30 days of expiration date	Cumulative
<b>Summary Subcontracting Report (SSR)</b>	<b>Due no later than</b>	<b>Spend Type</b>
10/1/XX (prior yr) to 9/30/XX (current yr) annual report which includes spend reported for period above	By 10/31	Spend for this period only



## Federal Contracts/Subcontracts Reporting (cont'd)

**Example:** An agreement is signed with NIH for the contract period 1/13/13 to 1/13/15. ISRs & SSRs must be filed for the periods as shown below. If we have more than one NIH agreement, NIH spend for all those contracts/subcontracts can be shown on one SSR submitted to the agency.

ISR/SSR type	Spend type	Report Due By
ISR: 1/13/13 through 3/31/13 – regular	ISR: cumulative	4/30/13
Both: 1/13/13 through 9/30/13 - regular	ISR: cumulative SSR: filed once/yr in Oct, for 10/1 of prior yr to 9/30 of current year .	10/31/13
10/1/13 through 3/1/14 – regular	ISR: cumulative	4/30/14
Both: 10/1/13 through 9/30/14- regular	ISR: cumulative SSR: see above for annual	10/30/14
Both: 10/1/14 through 1/13/15 - FINAL*	ISR: cumulative since last report SSR: report actual spend when next SSR is due	2/13/15



# Electronic Subcontracting Reporting System (eSRS)

**ISR Extract:** The dollars spent are extracted from a campus financial query showing the **cumulative** large business spend, and small business spend based on the Fund Code at UCB or the Project ID at UCSF

The first column "Whole Dollars" must be loaded with the dollar amounts & percentages from the approved Small Business Subcontracting Plan.

## SUBCONTRACT AWARDS

	Current Goal:			Actual Cumulative:		
	Whole Dollars	Percentage of Total Subcontract Awards	Percentage of Total Contract Value	Whole Dollars	Percentage of Total Subcontract Awards	Percentage of Current Contract Value
2a. SMALL BUSINESS CONCERNS	674,067	2.77	2.70	1,798,187	19.2	7.2
2b. LARGE BUSINESS CONCERNS	119,248	NA	NA	7,567,578	80.8	30.3
2c. TOTAL	793,335	100	3.18	9,365,765	100	37.5

	Current Goal:			Actual Cumulative:		
	Whole Dollars	Percentage of Total Subcontract Awards	Percentage of Total Contract Value	Whole Dollars	Percentage of Total Subcontract Awards	Percentage of Current Contract Value
3. SMALL DISADVANTAGED BUSINESS (SDB) CONCERNS	293,827	35.78	1.14	275,741	2.9	1.1
4. WOMEN-OWNED SMALL BUSINESS (WOSB) CONCERNS	370,081	46.65	1.48	97,715	1	0.4
5. HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) AND MINORITY INSTITUTIONS (MI) <i>* This field is required only for contracts with DoD, NASA, and Coast Guard.</i>	0	0.00	0.00	0	0	0
6. HUBZone SMALL BUSINESS (HUBZone SB) CONCERNS	22,067	2.78	.008	0	0	0
7. VETERAN-OWNED SMALL BUSINESS CONCERNS	0	0	0	12,922	0.1	0.1
8. SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS CONCERNS	0	0	0	12	0	0
9. ALASKA NATIVE CORPORATIONS (ANCs) AND INDIAN TRIBES THAT HAVE NOT BEEN CERTIFIED BY THE SMALL BUSINESS ADMINISTRATION AS SMALL DISADVANTAGED BUSINESSES	0	0	0	0	0	0
10. ALASKA NATIVE CORPORATIONS (ANCs) AND INDIAN TRIBES THAT ARE NOT SMALL BUSINESSES	0	0	0	0	0	0

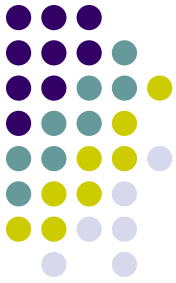
Which method do you use to collect subcontracting data for this report?: payment basis

Certification: Yes

Remarks: The SDA will work with the project team to make progress toward the WOSB and HUBZone goals.

If the project team has spent zero dollars for any category where they had set goals on the Small Business Subcontracting Plan:

**An explanation must be entered to explain why no spend occurred, based on the PI's input. The preparer must also describe the efforts to be made by the project team to spend with the business(es).**



# Electronic Subcontracting Reporting System (eSRS)

**SSR Extract:** The dollars spent for the specific reporting period shown on all ISRs for a specific agency are added up and shown for each classification type on the SSR.

The first column "Whole Dollars" must be loaded with the dollars achieved for just the reporting period.

CUMULATIVE FISCAL YEAR SUBCONTRACT AWARDS

	Whole Dollars	Percent
1a. SMALL BUSINESS CONCERNS	244,258	13.4
1b. LARGE BUSINESS CONCERNS	1,579,710	86.6
1c. TOTAL	1,823,968	100
	Whole Dollars	Percent
2. SMALL DISADVANTAGED BUSINESS (SDB) CONCERNS	1,991	0.1
3. WOMEN-OWNED SMALL BUSINESS (WOSB) CONCERNS	104,067	5.7
4. HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) AND MINORITY INSTITUTIONS (MI)	0	0
5. HUBZone SMALL BUSINESS (HUBZone SB) CONCERNS	0	0
6. VETERAN-OWNED SMALL BUSINESS CONCERNS	62,941	3.5
7. SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS CONCERNS	0	0
8. ALASKA NATIVE CORPORATIONS (ANCs) AND INDIAN TRIBES THAT HAVE NOT BEEN CERTIFIED BY THE SMALL BUSINESS ADMINISTRATION AS SMALL DISADVANTAGED BUSINESSES	0	0
9. ALASKA NATIVE CORPORATIONS (ANCs) AND INDIAN TRIBES THAT ARE NOT SMALL BUSINESSES	0	0

Remarks: Contracts/subcontracts:  
 1)GSFC0199712DNAS598033 KRUCKER  
 2)GSFC0200207NAS502099 ANGELOPOULOS  
 3)NAS503131 LUHMANN  
 4)NNG08FD60C CAL TECH UCB SUB 44A1085101 BOGGS  
 5)NNG12FA45C IMMEL  
 6)NNG12P028C UCB SUB1000144280 SIEGMUND  
 7)NNH10CC04C UCB sub1546525 MITCHELL  
 8)NNH10CC04C UCB SUB 1546525 PETICOLAS  
 9)NNN06AA01C BALE  
 10)NNN06AA01C JOHNS HOPKINS UCB sub SV181001 LARSON  
 11)NNN12AA01C UCB SUB 1356389 BORRILL  
 A number of these projects have exceeded plan goals. Will continue to advise project teams on those which have not.

All of the contracts/subcontracts with that agency are listed in the Remarks section.







## UC San Francisco Oracle PeopleSoft Queries

In order to track & report the amounts that each project has spent with all types of businesses at UC San Francisco, **one Oracle PeopleSoft query must be run**. Each of these queries requires:

- 1) Date From: (DD/MM/YYYY)
- 2) Date To: (DD/MM/YYYY)
- 3) The 5 digit Project ID assigned to this agreement followed by the percentage sign %

SF\_PO\_VNDR\_DIVERSITY4 - SF\_PO\_VNDR\_DIVERSITY

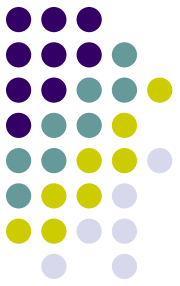
Date From:  

Date To:  

Project:

The ISR & SSR formats are the same in the federal reporting system, eSRS: See slides 11 & 12 for extracts of those types of reports.

# Environmental Protection Agency Cooperative Agreement Reporting



## ***Remember from Modules 1 & 2? MBE & WBE utilization***

EPA funded agreements must report on their accomplishments toward the fair share goals for Minority Business Enterprise (MBE) & Women Business Enterprise (WBE) , only when procurement exceeds the \$150,000 threshold.



An annual or semi-annual EPA Form 5700-52a ([http://www.epa.gov/osbp/pdfs/5700\\_52a.pdf](http://www.epa.gov/osbp/pdfs/5700_52a.pdf) ) must be filed depending on the EPA regulations which apply.

The signed electronic copy must be sent to the designated officer in the U.S. EPA Region 9 Office or national office. Check with EPA on the correct recipient.

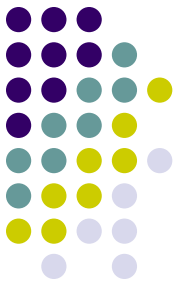
More information on completing the form can be found on the link to the 5700-52A form above.



## Module 3: Learning Objectives

In this module, you have:

- Learned how queries are run from campus financial systems and how the resulting data is entered on an Individual Subcontracting Report (ISR) & on a Summary Subcontracting Report (SSR)
- Gained the information you need to document whenever spend with small businesses for which goals were set in the Small Business Subcontracting Plan cannot be achieved and how to provide an explanation to the Contracting Officer at the close of the agreement.
- Bookmarked EPA webpages to find information about how to file EPA 5700-2a forms



## Summary of Modules

These modules have now provided you with the supplier diversity basics for both UC Berkeley & UC San Francisco.

We invite you to return to them to refresh to your knowledge whenever you are working with a PI receiving federal funding or an EPA Cooperative Agreement recommending spend with Minority & Women Business Enterprises.

**Module 1: Policy and Regulatory Requirements**

**Module 2: Campus Responsibilities**

**Module 3: Federal and State of California Reporting**