

UNIVERSITY OF ALASKA
MASTER SMALL BUSINESS SUBCONTRACTING PLAN
(JUNE 2021)

(Submitted in accordance with Public Law 95-907)



UNIVERSITY
of ALASKA
Many Traditions One Alaska

University of Alaska
2025 Yukon Drive, Suite 001
Fairbanks, AK 99775

THIS MASTER PLAN IS APPROVED
FOR THE PERIOD OF JUNE 1, 2021 TO MAY 31, 2024

SUBMITTED BY:
UNIVERSITY OF ALASKA

DocuSigned by:
John A. Hebard
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Signature

John A. Hebard
UA Chief Procurement Officer

June 15, 2021
Date

APPROVED BY:
OFFICE OF NAVAL RESEARCH

DocuSigned by:
Evan M. Wood
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Signature

Evan M. Wood
Administrative Contracting Officer

June 15, 2021
Date



UNIVERSITY
of ALASKA

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MASTER SMALL BUSINESS SUBCONTRACTING PLAN

As a public institution supported by both state and federal funds, the University of Alaska (University) is committed to fair and open business practices, and encourages the participation of any and all interested and qualified parties in its procurements. University procurement regulations, policies, and procedures, which implement the Alaska State Procurement Code (AS 36.30), support and encourage such participation.

The University of Alaska's Small Business Subcontracting Program is developed under the authority of the Chief Procurement Officer, a position established and appointed under the authority of the Alaska State Procurement Code, AS 36.30, to implement and carry out the University's procurement program. The duties of the Chief Procurement Officer are prescribed by law, and include procurement, or supervision of acquisition, of all supplies, services, and professional services needed by the University, adoption of procurement regulations, and responsibility for other matters that may be necessary to carry out the procurement program. The Chief Procurement Officer shall act as the Small Business Subcontracting Program Administrator (Administrator), or shall so designate another individual to act in this capacity, and shall be responsible for the University's compliance with this Master Plan as outlined herein.

The following, together with the Attachment, represents the Master Small Business Subcontracting Plan for the University and is intended to satisfy the applicable requirements of Public Laws 95-507, 103-355, 105-135, and 106-50 as implemented by the Federal Acquisition Regulation, the Defense Supplement thereto, Public Law 100-180, and 103-337. It establishes procedures to ensure that contracting opportunities are afforded, to the maximum extent practicable, to any and all Small Business Concerns (SBC's), and SBC's controlled by socially and economically disadvantaged individuals, desiring to avail themselves of such opportunities.

This Master Plan is applicable to all University departments and campuses, including the University's Statewide System components.

This Master Plan is approved and shall be effective for a 3-year period after approval by the Contracting Officer/Administrative Contracting Officer; however, it is incumbent upon contractors to maintain and update master plans. Changes required to update master plans are not effective until approved by the Contracting Officer/Administrative Contracting Officer. A master plan shall apply to that contract throughout the life of the contract.

1. Goals:

Individual Small Business Program goals will be established for each solicitation/contract using Attachment A herein. These goals will include percentages, dollar values, and descriptions of the products and/or services to be obtained from the following SBCs:

- Small business, including Alaska Native Corporations (ANC's) and Indian Tribes
- Veteran-owned small business (VOSB)

- Service-disabled veteran-owned small business (SDVO)
- Historically underutilized business zone small business (HUBZone)
- Small disadvantaged business (SDB)
- Women-owned small business (WOSB)
- Historically Black Colleges and Universities and Minority Institutions (HCBU/MI)

2. Statement of Total Dollars:

A statement of the total dollars planned to be subcontracted and a statement of the total dollars planned to be subcontracted to SB as a percentage of total subcontract dollars. For individual subcontracting plans only, a contracting officer may require the goals referenced in paragraph (1) to be calculated as a percentage of total contract dollars, in addition to the goals established as a percentage of total subcontract dollars.

Small Business Concern (SBC) Type	Dollar Amount Goal	Percentage Goal
Small Business		
Veteran-owned Small Business (VOSB)		
Service-disabled Veteran-owned Small Business (SDVO)		
HUBZone Small Business (HUBZone)		
Small Disadvantaged Business (SDB)		
Historically Black Colleges & Universities (HBCU) and Minority Institutions (MI)		
Women-owned Small Business (WOSB)		
Alaska Native Corporations (ANCs) & Indian Tribes – Non-certified as SDBs		
Alaska Native Corporations (ANCs) & Indian Tribes – Non-Small Business		
Small Business Concern Sub-Total		
Non-Small Business		
All Subcontracts TOTAL		100%

3. Description and Identification of Supplies and Services:

A description of the principal types of supplies and services to be subcontracted and an identification of types of supplies or services planned for subcontracting to small business (including ANCs and Indian tribes), VOSBs, SDVOs, HUBZone, SDBs, WOSBs, and HCBU/MIs.

Description of Product/Service	SBC

4. Methods Utilized to Develop Goals:

For each subcontract, a committee, generally consisting of the Principal Investigator (PI), the PI's support staff, Procurement, and the Office of Grants and Contracts Administration, will analyze the products and services required in the performance of the contract. Opportunities for subcontracting will be identified utilizing available source lists. A firm's capabilities and qualifications will be assessed in relation to subcontract requirements in order to determine eligibility and capacity for subcontracting opportunities. Qualified SBCs which are subsequently identified will be utilized whenever possible and practicable. Reasonable goals shall be established after carefully analyzing the value of the subcontracting opportunities and considering the availability of qualified firms. Review by the Subcontracting Plan Administrator shall be documented for each individual subcontracting plan prior to it being forwarded to the appropriate federal contracting agency.

5. Methods Utilized to Identify Potential Sources:

The University intends to continually seek potential sources for subcontracting opportunities, and confirm existing ones, by utilizing the following methods:

- Maintain an extensive vendor database in Banner, the University's primary financial system, and update with current information, including business classification codes. Banner has the capability to sort vendors by business classification and commodity/service offerings. This database does not require vendor registration but represents every vendor to whom a payment historically has been made by the University. The University intends to launch a multi-faceted campaign to gather and update information from the vending community to supplement and improve this database.
- Provide public notice through local and national bid forwarding services which maintain extensive client lists, including small businesses.
- Provide notice to Buy Alaska, a service which specializes in identifying small and disadvantaged businesses and local products in Alaska and the rest of the U.S.
- Post notice of solicitations on University procurement websites.
- Identify additional small business sources in Alaska and the rest of the U.S. by traditional means such as use of local directories, buying guides, and the internet, including the following sites as examples:
 - http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm
 - <http://www.sba.gov/hubzone>
 - <http://www.nasbc.org>

6. Indirect Costs:

Indirect and overhead costs are not included in the University's goals.

7. Subcontracting Plan Administrator:

The designated individual assigned overall responsibility for administering the University's Small Business Subcontracting Program is:

Name: John A. Hebard, C.P.M.
 Title: Chief Procurement Officer
 Address: UA Procurement & Contract Services

2025 Yukon Drive, Suite 001
Fairbanks, Alaska 99775

Telephone: (907) 474-6831

Fax: (907) 474-7720

Email: jahebard@alaska.edu

The specific duties of the Administrator, as they relate to the University's Small Business Subcontracting Program, are as follows:

General overall responsibility for the program, to include the development, preparation, review, and execution of individual subcontracting plans, and for monitoring performance relative to contractual subcontracting requirements contained in this plan, and including, but not limited to:

- Development and promotion of University policy to enhance support for awarding contracts and subcontracts to SBCs;
- Reviewing, developing and maintaining bidders lists of SBCs from all possible sources;
- Ensuring that procurement packages are designed and structured to permit SBC's to participate to the maximum extent possible;
- Reviewing and revising solicitations, whenever necessary, to eliminate statements, clauses, etc., which may tend to restrict or prohibit participation by SBCs, and ensuring that appropriate "flow-down" clauses regarding subcontracting are included in all subcontracts which offer further subcontracting opportunities;
- Ensuring periodic rotation of potential subcontractors on bidders lists and full usage of entire lists;
- Ensuring that procurement officers document rationale for rejection of low bids or offers submitted by SBCs;
- Ensuring the establishment and maintenance of records of solicitations and subcontract award activity;
- Attending or arranging for attendance of University representatives at business opportunity workshops, minority business enterprise seminars, trade fairs, etc., to contact and recruit potential SBCs for participation in University procurements;
- Counseling and/or discussing subcontracting opportunities with representatives of SBC firms;
- Providing advice and consultation to requesting University departments, contracting and procurement staff;
- Providing notice to subcontractors concerning penalties and remedies for misrepresentation of business status as an SBC firm 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;
- Conducting or arranging for orientation and training of procurement personnel regarding the intent and impact of the Small Business Act as amended by Public Law 95-507 on procurement procedures;
- Monitoring attainment of proposed goals and making adjustments as necessary to ensure success and enhance participation in University procurement by SBCs;
- Preparing and submitting required periodic subcontracting reports;
- Coordinating with University Office of Sponsored Programs activities during the conduct of compliance reviews by Federal agencies;

- Developing procedures for program oversight, maintenance of contract and subcontract award records and data, submittal of periodic program/subcontract reports, and assurance of University participation in studies or surveys as may be required by sponsoring funding agencies.

8. Equitable Opportunity:

The following efforts will be taken to ensure that SBCs will have an equitable opportunity to compete for subcontracts:

a. Outreach efforts will include:

Work with the University of Alaska Anchorage's (UAA's) Business Enterprise Institute's Alaska Small Business Development Center (SBDC). The SBDC, along with its network of programs, provides low-cost business resources and services to Alaskan entrepreneurs. SBDC's network programs include:

- The Procurement Technical Assistance Program (PTAC): PTAC provides one-on-one counseling and training to small business owners in an effort to increase the level of Alaska business participation in state, federal, and local government procurement activities, both in the number of business contracts executed and in the dollar volume. PTAC has an office in Anchorage and staff in Fairbanks, Alaska. University departments are encouraged to work closely with PTAC to identify and locate small or small disadvantaged businesses to meet their project requirements.
- BuyAlaska: BuyAlaska encourages in-state purchases of goods and services through a multi-media public awareness campaign and by assisting Alaskan businesses, government entities, and consumers in finding competitive local sources for goods and services previously purchased outside of Alaska. The program provides direct assistance through the BUYER-SELLER network, which matches Alaska's buyers with sellers statewide, and provides free in-state sourcing for buyers and sales referrals to suppliers.
- TREND (Technology Research and Development Center): TREND assists small businesses in accessing and applying technologies and assists Alaskan businesses competing for federal research and development dollars through proposal preparation and review. In 1994, SBDC started the trend of small business research and development in Alaska when it created TREND to support and promote the innovation and commercialization of new technology.
- Contacts with minority and small business trade associations.
- Contacts with business development organizations.
- Attendance at small and minority business procurement conferences and trade fairs.
- Buyer contact and follow-up with individual firms.
- One-on-one vendor meetings with buyers.
- Hosting annual "How to Sell to the University of Alaska" open house to encourage vendors, particularly SBCs, to participate in the competitive procurement process.

b. Sources will be identified with the help of the following resources among others:

- System for Award Management (SAM)
(<http://beta.sam.gov>)
- U.S. Federal Contractor Registration
(<https://usfcr.com>)

- Buy Alaska
(<https://www.buyalaska.com>)
- Small Business Administration
(<https://www.sba.gov>)
- SBA Dynamic Small Business Search
(https://web.sba.gov/pro-net/search/dsp_dsbs.cfm)
- Institute of Supply Management (ISM)
(<https://www.ismworld.org>)
- National Association of Educational Procurement (NAEP)
(<https://www.naepnet.org>)
- National Contract Management Association (NCMA)
(<https://www.ncmahq.org>)
- Veterans Business Services
(<https://www.veteransbusinessservices.us>)

9. Flow-Down of Clauses:

The University has established procurement procedures which require flow-down and compliance with federal contract provisions in subcontracts.

a. Provisions and standard formats used in University procurements incorporate all applicable federal provisions into its subcontracts. Federal Acquisition Regulation (FAR) clause 52.219-8 (Utilization of Small Business Concerns) is included in all subcontracts which offer further subcontracting opportunities, and all subcontractors (except small business concerns) who receive subcontracts in excess of \$750,000 (\$1.5 million for construction of any public facility) are required to adopt and comply with a subcontracting plan similar to this Master Subcontracting Plan as required by FAR 52.219-9 (Small Business Subcontracting Plan).

b. Such plans will be reviewed by comparing them with the provisions of P.L. 95-507 and ensuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of small business concerns, and previous experience. Once the plans are approved and implemented, they will be monitored through the submission of periodic reports.

10. Reports and Surveys:

In accordance with Federal Acquisition Regulation Part 19.704, the University assures it will submit "Individual Subcontracting Reports (ISR)" within the Electronic Subcontracting Reporting System (eSRS) located at <http://www.esrs.gov>. The ISR shall be submitted semi-annually during contract performance for the periods ending March 31 and September 30. A report is also required for each contract within 30 days of contract completion. Regardless of the effective date of this contract, the report will be submitted for the entire life of the contract within thirty (30) days after the close of each reporting period. The report will be sent to the designated contracting office with a copy to the cognizant SBA Commercial Marketing Representative (CMR).

In accordance with Federal Acquisition Regulation Part 19.704, the University assures it will submit the "Summary Subcontracting Report (SSR)" within the Electronic Subcontracting

Reporting System (eSRS) located at <http://www.esrs.gov>. The SSR shall be submitted annually by October 30 for the twelve-month period ending September 30. When an SSR is rejected, the University is required to submit a revised SSR within 30 days of receiving the notice of SSR rejection. The Summary Report of DOD awards will be submitted within thirty (30) days after the close of each reporting period to the Administrating Contracting Officer with a copy to the cognizant SBA CMR.

The University shall also ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using the eSRS.

In addition, the University shall provide its prime contract number, its DUNS number, and the email address of the offeror's 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 shall require that each subcontractor with a subcontracting plan provide the prime contract number, its own DUNS number, and the email address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans.

11. Maintenance of Records:

The University agrees that it will maintain, at a minimum, the following types of records to document compliance with this subcontracting plan:

- Source lists, guides, and other data identifying SBCs.
- Organizations contacted to locate SBCs.
- On a contract-by-contract basis, records on all subcontract solicitations over the simplified acquisition threshold amount, indicating for each solicitation whether all categories of SBCs were solicited, and if not, why not for each category, and the reasons for failure of solicited SBCs to receive the subcontract award.
- Records of any outreach efforts to contact:
 - Trade associations
 - Business development organizations
 - Conferences and trade fairs to locate SBCs
 - Veterans service organizations
- Records of internal guidance and encouragement provided to buyers through:
 - Workshops, seminars, training, etc.
 - Monitoring performance to evaluate compliance with the program's requirements.
- 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. Assurance of Good Faith Effort:

The University will make a good faith effort to acquire articles, equipment, supplies, services, or materials, or obtain the performance of construction work from the SBCs that were used in preparing its bid or proposal, in the same or greater scope, amount, and quality used in preparing and submitting the bid or proposal. Responding to a request for a quote does not constitute use in preparing a bid or proposal. This applies to any SB that:

- The University used in preparing the bid or proposal, if the SBC is identified as a subcontractor in the bid or proposal; or associated small business subcontracting plan, to furnish certain supplies or perform a portion of the contract; or
- The University used the SBC's pricing or cost information or technical expertise is used in preparing the bid or proposal, where there is written evidence of an intent or understanding that the SBC will be awarded a subcontract for the related work if the University is awarded the contract.

13. Assurance of Explanation of Failure to Acquire:

The University will provide the contracting officer with a written explanation if it fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in section (12). This written explanation will be submitted to the contracting officer within 30 days of contract completion.

14. Assurance to Not Prohibit Subcontractor Payment or Utilization Discussions:

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.

15. Assurance of Payment to Small Business Subcontractors:

The University will pay its SB subcontractors on time and in accordance with the terms and conditions of the subcontract and notify the contracting officer if it pays a reduced or an untimely payment to a SB subcontractor.

**UNIVERSITY OF ALASKA
MASTER SMALL BUSINESS SUBCONTRACTING PLAN**

ATTACHMENT A – Individual Contract Goals

Date:

Contract or Solicitation Number:

Project or Program Description or Title:

Date of Contract Award:

Period of Performance:

Total Amount of Contract (Cumulative value of basic contract and all options): \$

Total Amount Available for Subcontracting: \$

Total Amount Available for Subcontracting to Small Business Concerns: \$

Goals for Using Small Business Concerns:

The following goals (expressed in terms of dollar amounts and percentages of the Total Amount Available for Subcontracting) have been established for subcontracting with small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, historically black colleges and universities and minority institutions and women-owned small business concerns, and with Alaska native corporations and Indian tribes that have not been certified by the SBA as small disadvantaged businesses, and Alaska native corporations and Indian tribes that are not small business concerns:

Small Business Concern (SBC) Type	Dollar Amount Goal	Percentage Goal
Small Business		
Veteran-owned Small Business (VOSB)		
Service-disabled Veteran-owned Small Business (SDVO)		
HUBZone Small Business (HUBZone)		
Small Disadvantaged Business (SDB)		
Historically Black Colleges & Universities (HBCU) and Minority Institutions (MI)		
Women-owned Small Business (WOSB)		
Alaska Native Corporations (ANCs) & Indian Tribes – Non-certified as SDBs		
Alaska Native Corporations (ANCs) & Indian Tribes – Non-Small Business		
Small Business Concern Sub-Total		
Non-Small Business		
All Subcontracts TOTAL		100%

These goals represent the total amount of subcontracting planned for supplies and services during the entire project. (**Note:** For a project or contract with options, separate statements showing individual contract goals must be provided for the basic contract and for each option.)

Description of Products/Services to be Subcontracted:

The following products and services will be obtained through subcontracts and the distribution among Small Business Concerns (SBCs) will be as follows:

Description of Product/Service	SBC

The above goals are established in accordance with the University of Alaska Master Small Business Subcontracting Plan.

University Departmental Signature
Title

Subcontracting Program Administrator