

A stone wall sign for the University of California, Irvine. The sign is made of light-colored stone blocks and features the university's name in large, dark, serif letters. To the left of the name is a circular seal of the University of California. The sign is set against a background of green trees and a clear blue sky. In the foreground, there is a field of tall, green grasses.

University of California, Irvine

Small Business First

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

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.

UCI | [DFA | With U - For U](#) | [About Us](#) | [FAQs](#) | [Policies](#) | [Forms](#) | **[Training](#)** | [Trademarks](#) | [For Suppliers](#)

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 us at procurement@uci.edu.

Today's Agenda

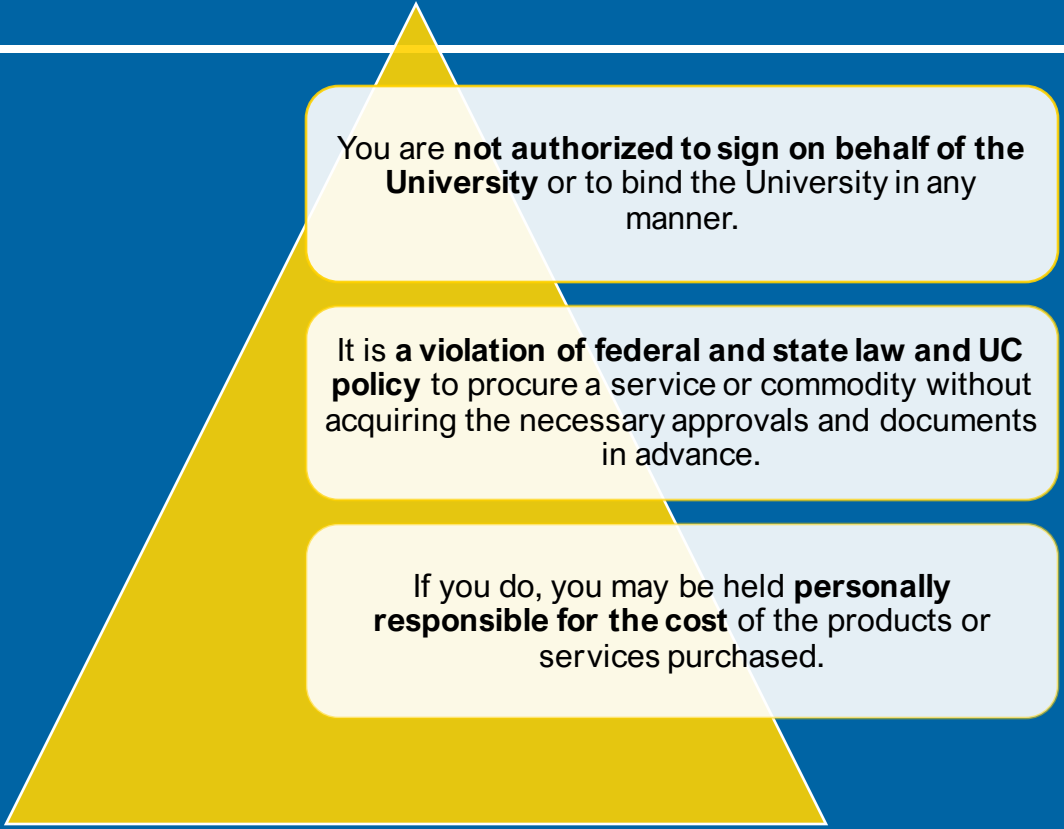
- Welcome
- Review of Small Business First Policy, new waiver, and website
- Resources
- Fiscal Close Info
- Q & A



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



Doreen Tannenbaum
*Strategic Initiatives & Communications
Manager*



Loryn Carter
*Small Business First Compliance
Coordinator*



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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 $\geq \$10,000$ and $\leq \$250,000$ 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.

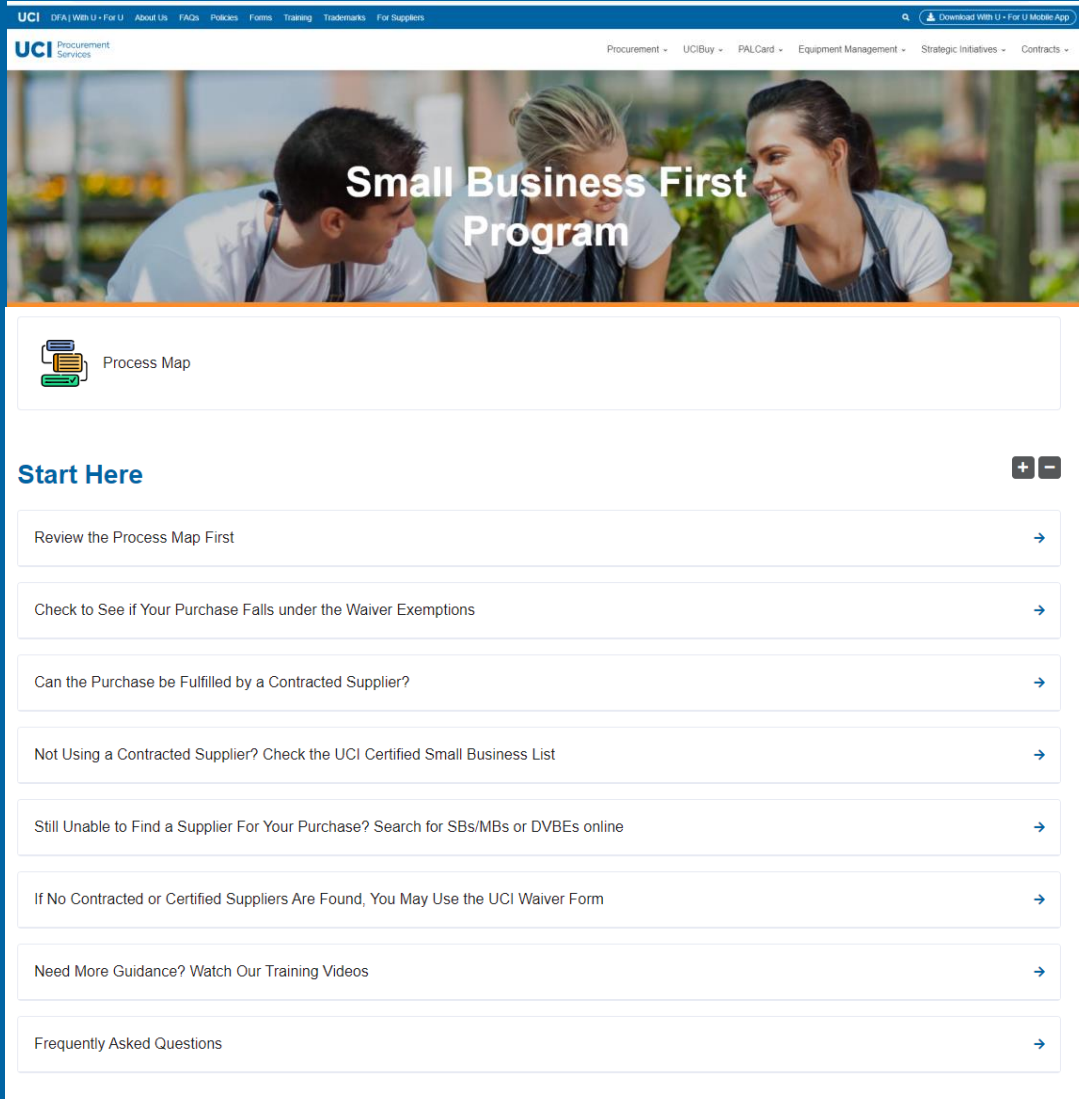
[California Public Contract Code Section 10508.5](#) allows the University to award purchase agreements valued up to \$250,000 to a certified SB/DVBE without being competitively bid, so long as the University obtains price quotations from two or more certified SB or DVBE businesses.

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



UCI | DFA | Web U - For U - About Us - FAQs - Policies - Forms - Training - Trademarks - For Suppliers

UCI Procurement Services

Procurement - UCIbuy - PALCard - Equipment Management - Strategic Initiatives - Contracts -

Small Business First Program

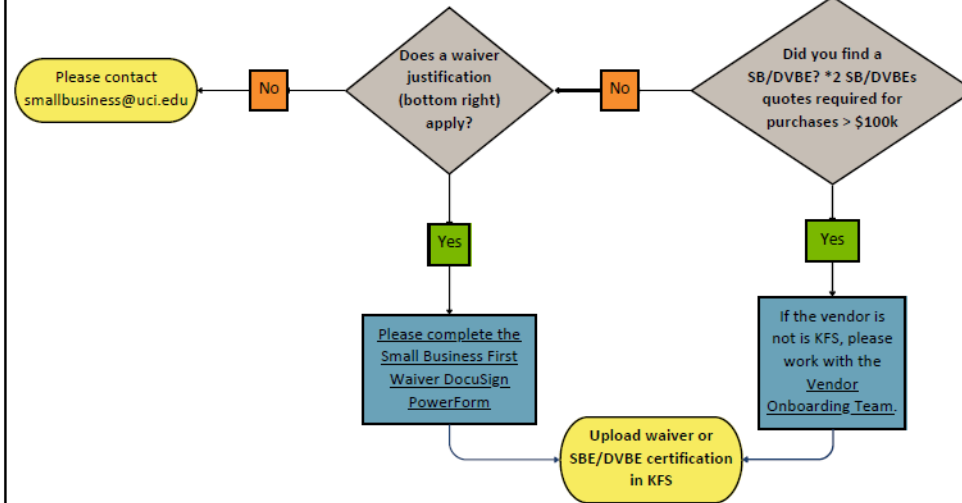
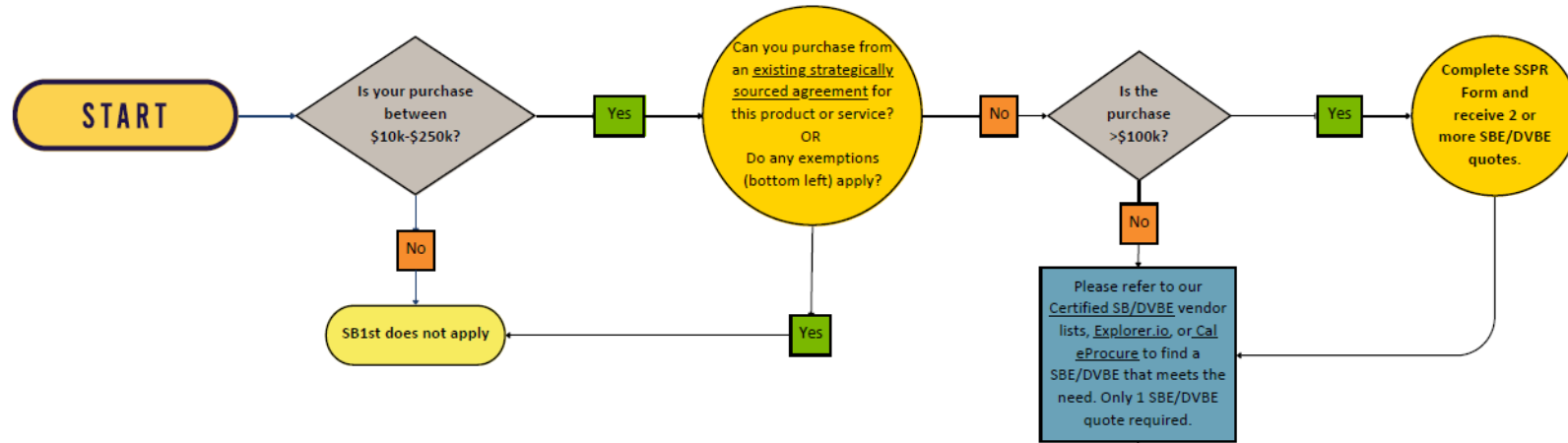
Process Map

Start Here

- Review the Process Map First
- Check to See if Your Purchase Falls under the Waiver Exemptions
- Can the Purchase be Fulfilled by a Contracted Supplier?
- Not Using a Contracted Supplier? Check the UCI Certified Small Business List
- Still Unable to Find a Supplier For Your Purchase? Search for SBs/MBs or DVBEs online
- If No Contracted or Certified Suppliers Are Found, You May Use the UCI Waiver Form
- Need More Guidance? Watch Our Training Videos
- Frequently Asked Questions

- 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

SMALL BUSINESS FIRST (SB1st) PROCESS MAP



- SB1st 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.*

- *ACCEPTED CERTIFICATIONS**
- (SB) Small Business
 - (DVBE) Disabled Veteran Business Enterprise

- WAIVER JUSTIFICATIONS**
- Insufficient number of SB/DVBE suppliers identified or unable to obtain enough valid quotes.
 - Unable to meet specifications
 - Supplier declines to become a certified SB or DVBE
 - Other

Exemptions

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

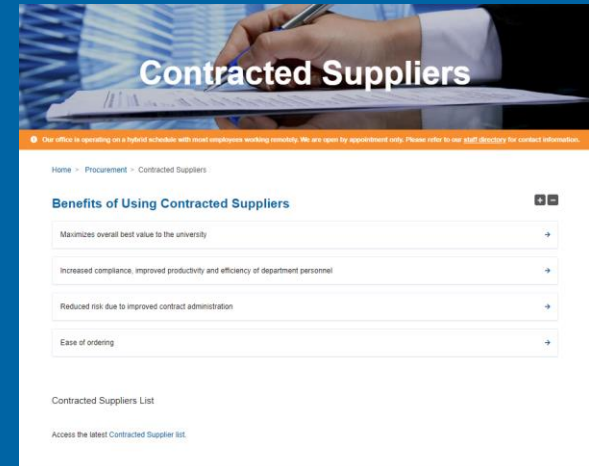
- **Sole Source/Unique Professional Services/Emergency purchases:**
 - **Sole Source:** Either 'one-of-a-kind' – specific features essential for task or project completion; available from only one source in the world. Or 'match existing' – specific proprietary item(s) compatible with existing equipment/systems 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.



UCI: CONTRACTED SUPPLIERS LIST (Updated May 2023)
Instructions: Please use this contracted suppliers list for procurement, as it allows for quicker scroll to the right for more fields that provide contact and expiry dates, and more. Also, please mouse over the UCIbuy logo for more information.

Supplier Name	Category	Contract Num	Administrator	Contract Administrator Em	Expiry Date
21st Century Technologies, Inc	PROFESSIONAL SERVICES	2010 001919	Robert Puerzer	Robert.Puerzer@ucop.edu	12/31/2024
5th Street, Inc.	PROFESSIONAL SERVICES	2020002342	Anita Enos	anita.enos@ucop.edu	12/31/2023
ABCAM INC	LABORATORY EQUIPMENT & SUPPLIES	UCOP-135	Arthurnelle Wade	Arthurnelle.Wade@ucop.edu	11/30/2023
ABF Freight Systems	RELOCATION SERVICES	UCMP-0000	Matt Hosom	Matthew.Hosom@ucop.edu	12/31/2099
Academic Search, Inc.	RECRUITMENT/PLACEMENT SERVICE	2019 001863	Anita Enos	anita.enos@ucop.edu	12/31/2024
Access Integrity	IT SOFTWARE & SUPPORT	202 1003188	Michael Wiegmann	Michael.Wiegmann@ucop.edu	12/2/2026
Accurate Background	HUMAN RESOURCES	R101301	Jeremy Meadows	Jeremy.Meadows@ucop.edu	12/31/2024
Acquia Inc	IT TELECOM	UCOP-272	Bala Balakumar	bala.balakumar@ucop.edu	2/29/2024
Aero Service Corporation	HUMAN RESOURCES	16111	Jeremy Meadows	Jeremy.Meadows@ucop.edu	3/31/2026
Adjusters International	GENERAL SERVICES & SUPPLIES	R191501	Jeremy Meadows	Jeremy.Meadows@ucop.edu	4/30/2025
Adobe Systems Incorporated	IT TELECOM	UCMP-0007	Roshni Pratap	Roshni.Pratap@ucop.edu	6/2/2023
Advance Auto Parts	FLEET & VEHICLES	2017000280	Jeremy Meadows	Jeremy.Meadows@ucop.edu	12/31/2023
Agile Mind	EDUCATIONAL REFERENCE SOFTWARE	R191601	Jeremy Meadows	Jeremy.Meadows@ucop.edu	4/30/2025
Agilent Technologies	LABORATORY EQUIPMENT & SUPPLIES	UCOP-266	Julie Alvarez	Julie.Alvarez@ucop.edu	3/18/2024
AgriYa Solutions	PROFESSIONAL SERVICES	202 1003045	Robert Puerzer	Robert.Puerzer@ucop.edu	9/30/2026
Alphas Inc	LABORATORY EQUIPMENT & SUPPLIES	UCOP-269	Robert Stueber	Robert.Stueber@ucop.edu	6/30/2023
ALC Schools	FLEET & VEHICLES	R190401	Jeremy Meadows	Jeremy.Meadows@ucop.edu	12/31/2024
Alex Moving and Storage (NAVL)	RELOCATION SERVICES	UCMP-0106	Matt Hosom	Matthew.Hosom@ucop.edu	11/2/2099
Aliclear ID	PROFESSIONAL SERVICES	UCOP-237	Amanda Marks	amanda.marks@ucop.edu	12/31/2023
Alliant Insurance Services, Inc.	PROFESSIONAL SERVICES	2018 1003710	Anita Enos	anita.enos@ucop.edu	3/31/2024

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

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	VENDOR	SERVICE/PRODUCT	CERTIFICATION TYPE	EXPIRATION DATE	EMAILS	PHONE NUMBER									
2	ADAFRUIT INDUSTRIES, LLC	Circuits, Feathers, STEMMA, LCDs & displays, Raspberry PI, Accessories, Batteries, Books, Breakout Boards, Cables, Components & Parts, Development Boards	SB (SAM)	6/28/23	SUPPORT@ADAFRUIT.COM	(646) 248-7822									
3	AMTEK CONSTRUCTION	Electrical Services and Alternative Fuels	SB (CA)	9/30/23	info@amtekconstruction.com	(714) 912-6722									
4	AAK POWER SUPPLY CORPORATION	AC/DC Power Supply and DC/DC Converters	SB (SAM)	2/29/24	SALES.PS@AAKPOWER.SUPPLY.COM	(603) 382-2222									
5	INTELLIGENT POWER SOLUTIONS, INC	Powervar, Three Phase Ups, Power Distribution Units, Batteries, Battery Monitoring, Static Switching, Light Inverters, Track Busways	SB (CA)	2/29/24	Susans@intelligentpowersolutions.com	(714) 288-1848									
6	AMERICAN LITHIUM ENERGY CORP	High Energy Density Silicon Anode Lithium-ion Batteries	SB (SAM)	3/1/24	info@americanlithiumenergy.com	(760) 444-5244									
	PACIFIC	24 hr Emergency	SB (CA)	3/31/24	roxanne@pacificindustr	(714)									



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

UCI Procurement Services SMALL BUSINESS FIRST WAIVER

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

Before using this Waiver: Please review the [Small Business First webpage](#) for the [Small Business First Process Map](#) and additional training resources. Where possible, purchases should be made through existing [contracted suppliers and strategically sourced agreements](#) which are not required to go through the Small Business First (SB1st) program. If a contracted supplier is not utilized, the purchasing department should first try to [use these SB/DVBE search platforms](#) to identify a SB/DVBE in the desired commodity or our [list of certified preferred vendors](#). UCI accepts the following [certifications](#). Please contact smallbusiness@uci.edu for help in finding a SB/DVBE.

Small Business First Policy: [UC Policy BUS-43](#) requires that all non-construction and non-federally funded purchases between \geq \$10,000 and \leq \$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.

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 brand/manufacture 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.).
- Interagency Agreements: Agreements with government agencies (Ex: CalFire, Transit Authorities, Utilities, Waste & Recycling agencies, etc.) take precedence.
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- Medical and patient care contracts: Typically, medication/prescriptions, medical devices, etc.

Waiver Requirements. This entire Waiver must be completed by the responsible requesting party prior to submission for approval. (Refer to [SB1st Waiver Completion Instructions](#) for detailed help.) The SB1st Waiver must be approved by Doreen Tannenbaum BEFORE making a purchase or contracting with a company that is not an SB/DVBE. (NOTE: non-Federally funded awards valued over \$100,000 must also be reported and attached to the waiver using the [Source Selection & Price Reasonableness form](#).)

A. Requisition #: _____ Dollar Amount: _____

Department: _____ Supplier: _____

(For PALCard purchases, enter PALCard for the Requisition #. Enter the full name of your department. Waivers containing abbreviations listed for Department name will be voided and returned.)

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 SB/DVBE suppliers identified or unable to obtain enough valid quotes
 Unable to meet specifications
 Supplier declined to become a certified SB or DVBE
 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-SB/ DVBE 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: 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.)

E. 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: _____

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 Initiatives and Communications Manager, UCI Procurement Services

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

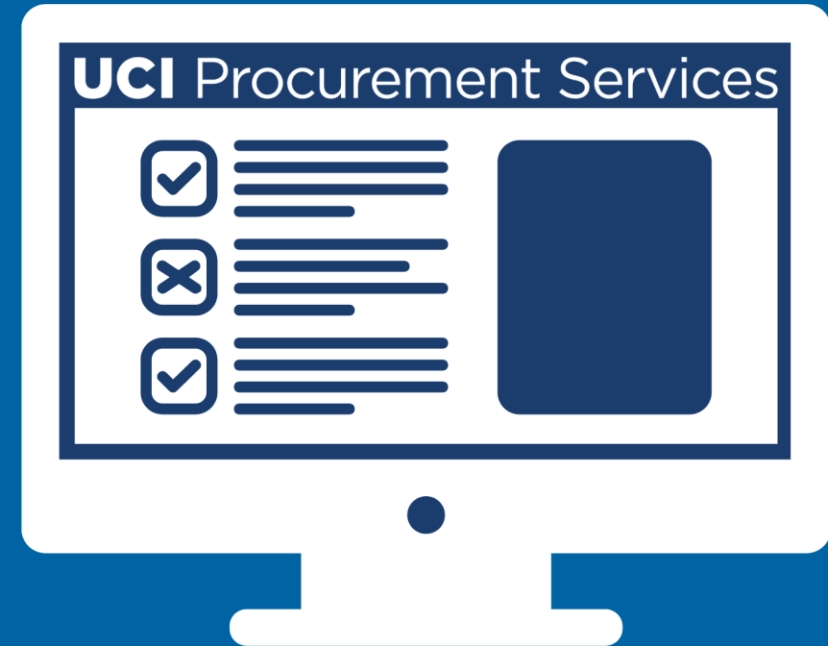
Special PALCard Deadlines:

- 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

<https://bit.ly/5-16-survey>



*Thank
You*