

U.S. SMALL BUSINESS ADMINISTRATION
SMALL BUSINESS PROCUREMENT SCORE CARD
GUIDANCE
ATTACHMENT 4

SMALL BUSINESS PROCUREMENT SCORECARD EVALUATION FORM
FIRST SCORECARD - PLAN FOR FY 2008

AGENCY: U.S. SMALL BUSINESS ADMINISTRATION

EVALUATOR: _____

DATE: _____

PLAN (RIGHT SIDE OF SCORECARD)

For the First Scorecard of the Fiscal Year, to be issued during the second quarter, responses to each of nine elements will be evaluated regarding the small business program *plan* for the fiscal year. For each of the three factors, the evaluator will score either a "1" for a positive response or a "0" as a negative or non-applicable response.

An overall evaluation will be characterized as follows: Scores ranging 0 to 7.2 will be deemed 'Red,' scores ranging from 7.3 to 8.9 will be deemed 'Yellow,' and Scores of 9.0 will be deemed 'Green.' Note that standard rounding conventions will be observed in calculating scores.

The left and middle portion of the January scorecard will not be evaluated as they represent the agency's FY 2007 accomplishments against goals, and FY2008 goals.

Evaluation Measure #1 (First Scorecard - Plan)

Implemented strategic plan to increase the value of *competitively* awarded contracts to small businesses during the period

How will SBA evaluate response?

The agency will need to clearly define and document a strategy to increase competitive opportunities under procurement preference programs.

Examples:

- Schedule showing an outreach calendar of events, such as vendor outreach session for specific preference groups (e.g. women-owned small business, service disabled veteran owned small business, HUBZone, etc.)
 - An annual or multi-year plan to increase the number of competitively awarded contracts to small businesses during the period
- Yes or No? _____ Agency clearly defined and documented a strategy to increase competitive opportunities under procurement preference programs.

Brief Agency Comment for Scorecard:

Yes. The Agency has a demonstrated pattern supporting small business contracting as

evidenced by significantly exceeding our small business goal in FY-07. Our small business goal was 60% in FY-07 and the SBA awarded 72% of its contracts to small businesses. The SBA has a relatively small procurement office which awards slightly less than \$100M in contracts each year. The Contracting Officers review each proposed contract on a case-by-case basis to ensure that small business is the primary sourcing consideration. Due to the nature and size of the majority of its purchases, the Agency procures a majority of its needs utilizing various set-aside strategies. However, on the occasion when appropriate, the Agency will utilize open competition procedures or small business set-asides. In these cases, the procurements are reviewed by the Senior Procurement Executive to ensure that the proposed solicitations do not include requirements or provisions that would discourage or otherwise exclude small business participation. The contracting staff issues a lot of sources sought notices in order to ensure maximum small business participation in our procurements. We have worked closely with our Procurement Center Representative (PCR) to ensure that our procurements do not include requirements that might limit small businesses from participating. Examples of our strategy include (1) our current 8(a) competition for professional services in our Herndon office, which is a follow-on to an 8(a) sole source contract, (2) a small business set-aside competition for program management services for our loan modernization and accounting program which is expected to be awarded in April 08, and (3) a competition among women-owned small businesses for workforce optimization services, which is expected to be awarded in April 08.

The SBA has initiated small business training for contracting and other Agency staff. In Winter 2007, the SBA offered a class entitled "Contracting with Small Business Concerns." The Senior Procurement Executive presented an acquisition training session to field operations employees in Summer 2007 which included training on socioeconomic goals. This same training will be presented at SBA University classes planned for Spring and Summer 2008. (See Attachment 1 for information on SBA University.) Periodically, the Senior Procurement Executive discusses socioeconomic goal achievement at the SBA monthly Management Board meetings. The Senior Procurement Executive is in the process of planning some hour-long seminars on a variety of acquisition topics to be offered to all SBA employees in Spring and Summer 2008. Small business contracting will be incorporated into each seminar offered.

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure # 2 (First Scorecard – Plan)

Demonstrated top-level Agency commitment to small business contracting during the period.

How will SBA evaluate response?

The agency will need to have a documented expression of commitment to small business contracting at the agency-head, or deputy agency-head, level within the previous twelve months.

Examples:

- Affirmative public statements by senior level executives supporting award of contracts under socioeconomic procurement preference programs.
- Affirmative internal statements by senior level executives encouraging or mandating award of contracts under socioeconomic procurement preference programs.
- Inclusion of such commitment to award of contracts under socioeconomic procurement preference programs in strategic and/or operating plans, and/or annual individual performance work plans; etc.

- *Yes or No?* _____ Agency provided a documented expression of top-level agency commitment.

Brief Agency Comment for Scorecard:

Yes. The SBA Administrator and his staff spend a significant amount of time and resources to work with all federal agencies to increase contracting opportunities for small businesses, including historically underrepresented groups. The Administrator's State of the Agency address of January 22, 2008 (available at http://www.sba.gov/aboutsba/administrator/serv_admin_speeches.html) clearly evidences the Administrator's and the Agency's commitment to contracting with small businesses.

Another example of these efforts is this small business scorecard for the CFO Act agencies. Arthur Collins, the external Senior Procurement Executive, and Joanie Newhart, the internal Senior Procurement Executive, for the SBA both attend the Chief Acquisition Officers Council and its Executive Committee and have done a lot to raise awareness for small business contracting among the other federal agencies.

Joanie Newhart and a member of Arthur Collins' staff are assisting the Federal Acquisition Institute to develop a class on making procurements small business friendly with the target audience being requirements developers.

Both Joanie Newhart and Arthur Collins are members of the Small Business Procurement Advisory Council's (SBPAC) Goaling Executive Committee which includes members from various federal agencies.

Joanie Newhart is the Chair of the Small Agency Council Procurement Committee and uses that position to raise awareness for small business contracting throughout the small agencies of the federal government.

SBA leadership, including the Administrator himself, reviews the small business goals monthly and expresses support for procuring SBA supplies and services from small businesses. At the monthly Management Board meeting, there is frequent discussion of the Agency's small business goals and how best we can collectively achieve them.

The achievement of socioeconomic goals is a performance goal in the Senior Procurement Executive's and Chief of Procurement's performance plans.

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure # 3 (First Scorecard – Plan)

Planned significant events to increase small business participation in the procurement process during the period.

How will SBA evaluate response?

The agency will need to have enacted a comprehensive small business plan that includes written policies and procedures focused on improving the competitive environment and increasing small business participation in the procurement process.

Examples:

- Plans to sponsor relevant outreach events or educational activities.
- Plans to implement a relevant supplemental small business policy or procedure.
- Plans to work with SBA on small business matchmaking events for members of socioeconomic preference programs such as women-owned small businesses, service-disabled veteran-owned small businesses, and HUBZone certified firms.

- Yes or No? _____ Agency clearly enacted a comprehensive small business program

Brief Agency Comment for Scorecard:

Yes. A chapter of SOP 00 11, the Agency's SOP for contracting (which is currently in draft and undergoing clearance), includes SBA's written policies and procedures for increasing small business participation in the procurement process.

The SBA is cosponsoring Small Business Week 2008 which begins with a three-day conference in Washington, DC focusing on small business accomplishments, including disaster recovery, procurement and entrepreneurial success. More than 100 small business owners will be honored at four major award events, culminating with the announcement of the National Small Business Person of the Year. The 2008 honors will include the Phoenix Awards, the Champion Awards, the Federal Procurement Awards and the Entrepreneurial Success Award. This year the SBA is adding interactive dialogues with industry experts in Healthcare, Technology and Underserved Markets as well as an Energy Forum. Attendees will have the unique opportunity to participate in meetings with corporate and federal buyers who have contracts to be filled by small businesses.

SBA field offices provide a number of small business events and matchmaking events between small business and federal agencies. Local SBA offices can be found at http://www.sba.gov/aboutsba/dis_offices/index.html. Each office has a number of links, including one to the left entitled "Events Calendar" which lists small business events for that office.

The SBA has an Office of Veterans Business Development whose mission is to maximize the availability, applicability and usability of all administration small business programs for Veterans, Service-Disabled Veterans, Reserve Component Members, and their Dependents or Survivors. The SENIOR PROCUREMENT EXECUTIVE and Division of Procurement and Grants Management will be working with the Office of Veterans Business Development to maximize contracting opportunities for service-disabled veterans.

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure# 4 (First Scorecard – Plan)

Demonstrates that small business data is accurately reported in FPDS-NG during the period

How will SBA evaluate response?

The agency will need to have established and documented a plan to ensure that small business data is accurately reported in FPDS-NG.

Examples:

- Plan to verify and validate FPDS-NG data, pursuant to Office of Federal Procurement Policy Memorandum of March 9, 2007, entitled Federal Procurement Data Verification and Validation.
 - Plans to encourages businesses to update their CCR information to accurately reflect size and social-economic business status
- Yes or No? _____ Agency has established and documented a process to ensure that small business data is accurately reported in FPDS-NG.

Brief Agency Comment for Scorecard:

Yes. In May of 2007, the Office of Business Operations issued Information Notice 0000-2000 entitled “Ensuring Accurate Procurement Data Reporting to the Federal Procurement Data System-Next Generation (FPDS-NG),” which will ensure accurate reporting by contract specialists to FPDS. In December 2007, the Senior Procurement Executive verified and validated to the Office of Federal Procurement Policy that the SBA’s FPDS-NG was accurate.

The Division of Procurement and Grants Management works closely with its vendors to encourage them to update their CCR information to accurately reflect size and socioeconomic business status.

The SBA has developed independent validation and verification procedures that do statistically valid testing of FPDS-NG data to ensure its accuracy. Additionally, the Chief of the Division of Procurement and Grants Management and the SENIOR PROCUREMENT EXECUTIVE periodically check the FPDS-NG data herself to ensure its accuracy.

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure# 5 (First Scorecard – Plan)

Demonstrates that policies and procedures are in place to ensure compliance with subcontracting plans and attainment of subcontracting goals during the period

How will SBA evaluate response?

The agency will need to have established, documented, and enacted a systematic plan to enforce small business subcontracting plans and to meet subcontracting goals.

Examples:

- Plans to use the Electronic Subcontracting Reporting System (eSRS) to manage compliance with subcontracting goals and to ensure attainment of subcontracting goals.
- Plans to provide assistance and support to prime contractors to ensure compliance with subcontracting plans.

- Yes or No? _____ The Agency has established, documented, and enacted systematic plan to enforce small business subcontracting plans and to meet subcontracting goals

Brief Agency Comment for Scorecard:

Yes. On the rare occasions when SBA issues full and open competitions, it includes the mandatory FAR requirement for the submission of subcontracting plans. These plans are reviewed and are incorporated into the contract.

In addition, the SBA plans to utilize the Electronic Subcontract Reporting System (eSRS) when appropriate.

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure # 6 (First Scorecard – Plan)

Demonstrated no unjustified bundling has taken place during the period

How will SBA evaluate response?

The agency will need to have established, documented, and enacted systematic action plans to be taken to ensure no unjustified bundling has taken place during the reporting period.

Examples:

- Plan to improve bundling activities review process.
- Plan to review FPDS-NG for all agency bundlings coded.

- Yes or No? _____ The Agency has established, documented, and enacted systematic actions to be taken to ensure no unjustified bundling has taken place during the reporting period.

Brief Agency Comment for Scorecard:

Yes. The Chief of the Division of Procurement and Grants Management and the Senior Procurement Executive review procurements on a case-by-case basis to ensure that no unjustified bundling occurs.

In SOP 00 11, the Agency's SOP for contracting (which is currently in draft and

undergoing clearance), it states that it is the policy of the SBA that acquisition planning and timely managerial involvement are key elements in successfully accomplishing SBA acquisitions. It further states that SBA shall "(a) promote contract awards to small businesses, (b) structure contract requirements to facilitate competition by and among small business concerns, and (c) avoid unnecessary and unjustified bundling that precludes small business participation as prime contractors." A review by the Senior Procurement Executive occurs during the advance acquisition planning process to ensure there is no unjustified bundling. This process is documented in SOP 00 11.

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure# 7 (First Scorecard – Plan)

Planned training to contracting staff/managers in executing small business/socioeconomic procurements during the period

How will SBA evaluate response?

The agency will need to have planned at least 1 training session for the reporting period.

Acceptable responses may include, but need not be limited to the following:

- Maintenance of educational Intranet sites on small business programs covering program direction, critical documents, links to laws, regulations, and external contracting tools and resources.
- Plans to implement small business program orientation and training especially focusing on socioeconomic procurement preference programs such as women-owned small business, service-disabled veteran-owned small business, and HUBZone certified firms.

Yes or No? _____ The Agency has planned training for contracting staff/managers in executing small business/socioeconomic procurements.

Brief Agency Comment for Scorecard:

Yes. The Office of Business Operations is teaming with the Office of Government Contracting to provide ongoing periodic training in socioeconomic programs to all SBA contract specialists. The first training session is planned for March 2008 with bimonthly sessions thereafter.

The Senior Procurement Executive is planning to provide training on acquisition, including making procurements small business friendly, to SBA staff at upcoming SBA University sessions to be held in the spring and summer of 2008.

When the Federal Acquisition Institute releases its online training sessions on small business contracting, all contract specialists and many COTRs will be required to take the training classes.

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure# 8 (First Scorecard – Plan)

Planned to collaborate with SBA on formulation of small business procurement policy initiatives during the period

How will SBA evaluate response?

The agency will need to demonstrate its intent to collaborate with SBA on at least one small business procurement policy initiative during the reporting period.

Acceptable responses may include, but need not be limited to the following:

- Active participation in the Small Business Procurement Advisory Council in small business procurement policy discussions.

Yes or No? _____ The Agency has planned to collaborate with SBA on formulation of small business procurement policy initiatives during the period.

Brief Agency Comment for Scorecard:

Yes. The Senior Procurement Executive regularly collaborates with other offices within the SBA on the formulation of small business procurement policy initiatives.

The Senior Procurement Executive is a member and regular participant of the Small Business Procurement Advisory Council's (SBPAC) Goaling Executive Committee which develops government-wide small business procurement policies.

In June 2006, the SBA issued a revision to SOP 00 11 1H (Attachment 2 hereto) which provides for acquisition planning and market research for all acquisitions in order to “(a) promote contract awards to small businesses, (b) structure contract requirements to facilitate competition by and among small business concerns, and (c) avoid unnecessary and unjustified bundling that precludes small business participation as prime contractors.”

Evaluator Comments:

Brief SBA Comment for Scorecard:

Evaluation Measure# 9 (First Scorecard - Plan)

Agency submits all strategic plans and reports that became due to SBA during the reporting period

How will SBA evaluate response?

In order to receive credit for this element, the agency will need to have met 100% of deadlines for all required strategic plans and annual reports that were due to SBA, within the reporting period. (That is, from October 1, 2007 through the date of submission of the First Scorecard Report to SBA. See Attachment 6.)

- Yes or No? _____ Agency has met 100% of deadlines for all required strategic plans and annual reports that were due to SBA

(See Attachment 6, Mandatory Agency Reports Due to SBA)

Brief Agency Comment for Scorecard:

Yes. The Agency has submitted all strategic plans and reports that were required to be submitted to the SBA during the reporting period.

Evaluator Comments:

Brief SBA Comment for Scorecard: