

**U.S. Small Business Administration
Small Business Procurement Scorecard
Guidance
Attachment 4**

AGENCY: U.S. Nuclear Regulatory Commission

Evaluator:

Date: February 15, 2008

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 FY 2008 goals.

Evaluation Measure #1 (First Scorecard—Plan)
Implemented strategic plan to increase the number 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
<ul style="list-style-type: none"> • 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? <i>Yes, the Agency clearly defined and documented a strategy to increase competitive opportunities under procurement preference programs.</i>

Brief Agency Comment for Scorecard:

NRC seeks to facilitate maximum participation by small businesses in agency contracting opportunities and is committed to meeting and exceeding its small business goals. NRC's commitment is demonstrated by substantial increases in each of the small business goaling categories over the past 3 years (Attachments 1 and 1a). Furthermore, the agency's small business program was among the topics raised by the NRC Chairman during his key message to senior executives at a leadership off-site on November 29, 2007 (Attachment 2a and 2b). The program is discussed annually during a public briefing before the Commission and periodically during meetings with the Executive Director for Operations and other senior executives. The SBCR Director provides NRC program offices with information on their contract dollar awards to small businesses so that they can see their progress (Attachment 3). Moreover, NRC recognizes small business contracting accomplishments at the office level with a formal awards program (Attachment 4). During this ceremony, high-performing offices are given gold, silver, or bronze star awards based on the amount of contract dollars they have awarded to small businesses.

One outstanding small business accomplishment was demonstrated in FY 07, wherein three out of four major procurements related to nuclear reactor licensing were awarded to small businesses. These are multi-million dollar, multi-year awards and are among the highest dollar awards made by NRC (Attachment 5).

Outreach Calendar of Events. *NRC actively participates in small business conferences throughout the fiscal year, providing presentations, staffing exhibit booths, and participating in one-on-one Matchmaking sessions. The NRC participated in the following conferences: Baltimore/Washington Corridor Government Procurement Fair, Hispanic Chamber of Commerce Procurement Fair, Department of Energy Small Business Conference, The Minority Enterprise Development (MED) Week Conference, the OSDDBU Directors Procurement Conference, the MD Congressional Procurement Conference & Expo, the MD Hispanic Business Conference, Congressman Wynn's Annual Procurement & Business Expo, and the Montgomery County Minority Procurement Fair. NRC also participates in SBA-sponsored Matchmaking events (Attachment 6).*

In accordance with Section 2(e) of Executive Order 13360, NRC's is enhancing its strategy to provide increased contracting opportunities for service-disabled veteran owned small businesses (SDVOSBs) and help the agency accomplish its goals. This strategy will be communicated to all NRC staff with procurement responsibilities over the next several months (Attachment 7). NRC's awards to SDVOSBs have increased significantly over the last 2 years (Attachment 1).

The Commission issued a press release dated November 20, 2007, highlighting that NRC exceeded its annual goals in four out of five targeted categories for small business procurement. This further demonstrates the commitment at the highest level for small business contracting at NRC (Attachment 8).

Contracts Set Aside for Small Business. *SBCR reviews all Requests for Procurement Actions (RFPAs) for awards of \$100,000 or greater. SBCR has 10 days to identify qualified small businesses and submit these back to either the program office or the Division of Contracts for consideration. In cases where SBCR does not recommend*

a set aside, the office typically suggests small businesses to be included in the list of vendors to be solicited. In many cases, these firms are contacted and encouraged to submit bids.

Program Office Support. All NRC program offices look to SBCR as a resource to help them identify qualified small businesses to perform work for the agency. SBCR has a viable and well-documented database for identifying small businesses and this information is provided to the program offices and the Division of Contracts as needed.

Annual Forecast of Contracting Opportunities. SBCR develops the NRC's Annual Forecast of Contracting. The Forecast provides key information on contracting opportunities to help small businesses develop an effective strategy to market their services to the NRC (Attachment 9).

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?
<p>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.</p> <p>Examples:</p> <ul style="list-style-type: none"> • 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? <i>Yes, the Agency provided a documented expression of top-level agency commitment.</i>
Brief Agency Comment for Scorecard:
<p><i>NRC's commitment to providing contracting and opportunities for small businesses is demonstrated in various ways throughout the year at the agency's highest levels. For example, the agency's small business program was among the topics raised by the Chairman during his key message to senior executives at a leadership off-site on November 29, 2007 (Attachment 2a and 2b). The program is discussed annually during a public briefing before the Commission and periodically during meetings with the Executive Director for Operations and other senior executives.</i></p> <p><i>The agency's Strategic Plan addresses the need to ensure fair and equitable treatment for all parties wishing to do business with the NRC (Attachment 10, page 22). The SBCR Director provides NRC program offices with information on their contract dollar awards to small businesses so that they can see their progress (Attachment 3). Moreover, NRC recognizes small business contracting accomplishments at the office level with a formal awards program (Attachment 4). NRC's commitment to and success with small business contracting has been recognized by the Small Business Administration, which awarded NRC a Gold Star Award in recognition for its exemplary performance in this area (Attachment 11).</i></p> <p><i>The following are other examples of NRC's high-level support:</i></p> <ul style="list-style-type: none"> • <i>Each year the EDO issues a memorandum to all Office Directors encouraging their continued support and participation in small business contracting activities. NRC's is determined to meet or exceed its small business goals (Attachment 12).</i> • <i>NRC is currently developing small business performance measures to be incorporated in operating plans.</i>

- *The NRC will continue to develop and strengthen opportunities in Federal contracting for service-disabled veteran owned businesses as well as other small businesses owned by members of underserved populations. We will continue to work closely with SBA to eliminate obstacles that may prevent NRC from achieving its goal (Attachment 7).*

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:
<ul style="list-style-type: none"> • Plans to sponsor relevant outreach events or educational activities. • Plans to implement 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.
<ul style="list-style-type: none"> • Yes or No? Yes, the Agency clearly enacted a comprehensive small business program.
Brief Agency Comment for Scorecard:
<p><u>Commission Briefings.</u> SBCR provides semi-annual briefings to the NRC Commissioners in a public forum and these briefings include an update on the small business program. The Commissioners routinely pledge their full support for the small business initiatives at these public meetings (Attachment 5 and Attachment 12).</p> <p><u>Annual Small Business Procurement Fair.</u> NRC hosts an annual Small Business Procurement Fair to provide an opportunity for NRC staff to meet with representatives from small businesses that can provide quality products and services to meet the procurement needs of the agency. At this event, the Executive Director of Operations (EDO) provides opening remarks and reiterates his full support for the small business program initiative. SBCR provides an event summary to the Commission and agency senior management. Some participating small businesses have been awarded procurements to conduct business at the NRC (Attachment 13).</p> <p><u>Small Business Updates to Senior Management.</u> SBCR meets with the EDO and agency senior management to provide small business program updates which includes an office-level breakdown of small business accomplishments. At these meetings, the EDO encourages all offices to support the small business initiatives (Attachment 2a and 2b).</p> <p><u>Service-Disabled Veteran Owned Small Businesses.</u> The SBCR Director will implement a strategy for increasing contracting opportunities for SDVOSBs during FY 2008 (Attachment 7).</p> <p>We will continue to host outreach activities to provide opportunities for SDVOSBs to meet with and present their corporate capabilities to NRC contracting and program office staff. We are scheduled to host a SDVOSB Procurement Fair at NRC headquarters in April of 2008. NRC will also participate in local and national SDVOSB events hosted by other Federal agencies and trade associations. We will advertise in the Veterans Business Journal and other organizations stating that NRC is looking for qualified SDVOSB businesses to perform work for the agency. We will continue to train NRC</p>

contracting and program office staff on applicable laws and policies relating to contracting with SDVOSBs. The training sessions will include extensive information on the requirements of Public Law 108-183 and Executive Order 13360.

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:
<ul style="list-style-type: none"> • 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 encourage businesses to update their CCR information to accurately reflect size and social economic business status
Yes or No? <i>Yes, the Agency has established and documented process to ensure that small business data is accurately reported in FPDS-NG</i>
Brief Agency Comment for Scorecard:
<i>The NRC continues to meet the requirements of the Office of Federal Procurement Policy memorandum dated March 9, 2007, requiring Federal Procurement Verification and Validation.</i>
<i>NRC's Senior Procurement Policy Team staff performs small business data verification and validation of data on a bi-weekly and quarterly basis. This information is summarized in an annual report (Attachment 14). Bi-weekly cross checks are performed to ensure the contract actions reported in our contract writing and tracking system and the Automated Acquisition Management System (AAMS) match the actions reported in Federal Procurement Data Systems-Next Generation (FPDS-NG). Additionally, contract files are compared semi-annually to the data in FPDS-NG and in AAMS to ensure the contract report data is accurate and error free. As a result of these data reviews, the NRC successfully reported 2,100 total actions with \$152,008,516 total dollars obligated.</i>
<i>We will continue to provide additional guidance and training to our procurement staff to maintain their technical competency related to performance-based service acquisition, product service code, North American Industry Classification System (NAICS) code, use of Environmental Protection Agency (EPA) designated products, use of recovered material, Data Universal Numbering System (DUNS) numbers, type of set aside, contracting officer's determination of business size, subcontracting plan, reason not awarded to small disadvantaged business, reason not awarded to small business, and reason for modification.</i>
<i>We will continue to further increase our accuracy by working closely with NRC's Division of Contracts staff and the FPDS-NG staff (Attachment 14).</i>
Evaluator Comments:

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:
<ul style="list-style-type: none"> • 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.
<ul style="list-style-type: none"> • Yes or No? Yes. 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:
<i>In accordance with the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Pub. L. 109-282), the NRC requires the existence and operation of a searchable Web site that provides public access to information about Federal expenditures; the NRC utilizes the Electronic Subcontracting Reporting System (eSRS) to capture prime and subcontractors' subcontract award data for the Agency in a real-time paperless environment. In turn, there has been a reduction in errors and processing time, no lost paperwork, and an increase in useful electronic information provided to subcontractors.</i>
<i>Consistent with Section 8(d) of the Small Business Act, the NRC acquisition for project managers manual (Attachment 15) requires all prime contractors, other than small businesses, responding to a solicitation for procurement with an estimated contract value in excess of \$550k to submit a subcontracting plan. Compliance of the prospective prime contractor with prior subcontracting plans under previous contracts would be considered by the NRC Contracting Officer in awarding the contract. SBCR reviews all subcontracting plans prior to contract award to ensure that the subcontracting goals align with the agency's goals. In cases where the goals do not align with our agency goals, the Contracting Officer is requested to negotiate higher goals. We closely monitor the contractor's performance to ensure that they are meeting the goals to which they have committed. If the goals outlined are not being met, the Division of Contracts notifies the contractor in writing and the contractor is given a timetable to correct the problem.</i>
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:
<ul style="list-style-type: none"> • Plan to improve bundling activities review process. • Plan to review FPDS-NG for all agency bundlings coded
Yes or No? Yes. <i>The Agency has established and enacted systematic actions to be taken to ensure no unjustified bundling has taken place during the reporting period.</i>
Brief Agency Comment for Scorecard:
<i>The Division of Contracts has strengthened its oversight of contractor efforts to ensure contractor compliance with subcontracting plans by establishing procedures that designate personnel responsible for monitoring contractor compliance with subcontracting plans.</i>
<i>In accordance with FAR 7.105, entitled, "Contents of written acquisition plans," the NRC plan of action consists of including consideration of small businesses, veteran-owned small businesses, service-disabled veteran-owned small businesses, HUBZONE small businesses, small disadvantaged businesses, and women-owned small business concerns and the impact of any bundling that might affect their participation in the acquisition. When the proposed acquisition strategy involves bundling, the NRC will identify the incumbent contractors and contracts affected by the bundling and will address the extent and results of the market research and indicate their impact on the various elements of elements of the plan. In accordance with FAR 19.202-1, entitled, "Encouraging small business participation in acquisitions," the NRC plans to comply with the requirement to provide mandatory 30-day notice requirement to incumbent small business concerns. The contracting officer shall provide all information relative to the justification of contract bundling, the information identified in FAR 7.107(e). (Substantial bundling is any bundling that results in a contract or order that is \$2 million or more in value.) When the acquisition involves substantial bundling, the contracting officer will also provide the same information to the cognizant small business specialist at the Office of Small Disadvantaged Business Utilization.</i>
<i>The contracting officer will provide a statement explaining why the proposed acquisition cannot be divided into reasonably small lots to permit offer on quantities less than total requirement; delivery schedules cannot be established on a realistic basis that will encourage small business participation to the extent consistent with the actual requirements of the Government; the proposed acquisition cannot be structured so as to make it likely that small businesses can compete for the prime contract; consolidated construction project cannot be acquired as separate discrete projects; or bundling is necessary justified. This 30-day notification process will occur concurrently with other processing steps required prior to the issuance of the solicitation.</i>
<i>In accordance with FAR 7.107, entitled, "Additional requirements for acquisitions involving bundling" the NRC will conduct market research to determine whether bundling is necessary and justified. If market research indicates that bundling is necessary and justified the NRC will derive measurably substantial benefits. Measurably substantial</i>

benefits may include, individually or in any combination or aggregate, cost savings or price reduction, quality improvements that will save time or improve or enhance performance or efficiency, reduction in acquisition lead times, better terms and conditions and any other benefits. The NRC will quantify the identified benefits and explain how their impact would be measurably substantial. As a result, the NRC has no unjustified contract bundling.

The NRC plans to have reports generated from FPDS-NG which lists all contracts that have been bundled on a quarterly basis, these reports will assist us in monitoring how many contracts have been bundled during the reporting period.

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:
<ul style="list-style-type: none"> • 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 programs 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? Yes. The Agency has planned training for contracting staff/managers in executing small business/socioeconomic procurements.
Brief Agency Comment for Scorecard:
<u>Educational Intranet/Internet Websites.</u> <i>SBCR provides an online portal to small businesses with links to laws, regulations, and external contracting tools e.g. FedBizOpps. Through these links small businesses gain access to monthly chat events, electronic newsletters, podcasts and a myriad of business resources to support their business needs (Attachment 16).</i>
<i>SBCR routinely reviews journals and other forms of media to keep apprised of developments in laws and policies related to small business to ensure we have the most current and complete information to relay to NRC offices (Attachment 17).</i>
<u>Small Acquisition Training.</u> <i>SBCR provides an overview of the Small Business Program initiative as part of the Division of Contracts Acquisition Training curriculum for NRC Project Officers. The acquisition training is offered approximately 8-10 times annually. In addition, the Division of Contracts provides training sessions on NRC's small business program to its contracting staff, so that they are well informed of socio-economic programs that are available. Both of these workshops are presented by the SBCR's small business program manager.</i>
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:
<ul style="list-style-type: none"> Active participation in the Small Business Procurement Advisory Council in small business procurement policy discussions.
Yes or No? <i>Yes, The Agency has planned to collaborate with SBA on formulation of small business procurement policy initiatives during the period.</i>
Brief Agency Comment for Scorecard:
<i>The NRC has historically worked very closely with the SBA on numerous initiatives to assist small businesses. The Small Business Program Manager actively participates in SBA's Procurement Advisory Council monthly meetings (Attachment 6).</i>
<i>NRC meets with the management from SBA's Office of Government Contracting annually to discuss NRC's small business goals, SBA's small business scorecard, and small business FPDS-NG reports (Attachment 6).</i>
<i>NRC attended the SBA's HUBZone Program Training which provided the OSDBU Directors with a basic refresher on the structure of the program, along with details on the most recent legislation affecting the program, the U.S. Circuit Court of Appeals rulings and Government Accountability Office recommendations (Attachment 6).</i>
<i>NRC participates in SBA-sponsored Matchmaking events. NRC actively participates in Small Business Conferences throughout the fiscal year providing presentations, staffing exhibit booths, and one-on-one Matchmaking sessions. The NRC participated in the following conferences: The Minority Enterprise Development (MED) Week Conference, the OSDBU Directors Procurement Conference, the MD Congressional Procurement Conference & Expo, the MD Hispanic Business Conference, Congressman Wynn's Annual Procurement & Business Expo and the Montgomery County Minority Procurement Fair (Attachment 6).</i>
Evaluator Comments:
Brief SBA Comment for Scorecard:

Evaluation Measure #9 (Second Scorecard – Progress against 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 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 the data of submission of the First Scorecard Report to SBA, to the date of submission of the second scorecard report to SBA. See Attachment 6).
<ul style="list-style-type: none"> • Yes or No? Yes, the Agency 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:
<p><i>The NRC submitted all annual SBA reports requirements for:</i></p> <ul style="list-style-type: none"> • <i>Competitive Demonstration Report (Attachment 1 which includes a Progress Report on Increasing Opportunities for Women-Owned Small Businesses (Attachment 1)</i> • <i>Small Business Procurement Scorecards for FY 2007 (Attachment 18)</i> • <i>Annual Statement of Verification and Validation Results Report to the Office of Federal Procurement Policy (Attachment 14)</i> <p><i>We use these reports to monitor each major buying activity within the NRC to achieve our small business goals during the given fiscal year. Achievement of these small business goals are part of the Small Business Program Manager's performance rating.</i></p>
Evaluator Comments:
Brief SBA Comment for Scorecard: