



U.S. Small Business
Administration



Surveillance Reviews (SR)

First Wednesday Virtual Learning Series 2020

Hosts

**Christopher Eischen, Procurement Center Representative
SBA Office of Government Contracting, Area IV,
Kansas City, MO**

**Gwen Davis, Procurement Center Representative
SBA Office of Government Contracting, Area IV,
Minneapolis, MN**

Welcome to “SBA Virtual Learning 2020”

1. Questions answered during the final 10 minutes.
2. Technical problems: Contact the moderator with a note or call AT&T Support Desk at 301-250-7202.
3. Page numbers stated for those working off hard copies of the program.
4. We cover the “**SBA Quick Reference**” as time allows.
5. For more SBA training visit the SBA Learning Center website <https://www.sba.gov/tools/sba-learning-center/search/training>

Association of Procurement Technical Assistance Centers (APTAC)

Procurement Technical Assistance Centers are a vital resource partner.

- APTAC posts past “First Wednesday” programming at this link: <http://www.aptac-us.org/for-contracting-officers-sba-webinar-library/>
- Contracting officer resources: “How PTACs partner with federal agencies”: <http://www.aptac-us.org/federal-partners/>
- Find your nearest Procurement Technical Assistance Center at <http://www.aptac-us.org>

FIRST WEDNESDAY VIRTUAL LEARNING SERIES

FY 2020 SCHEDULE

1:00 to 2:00 PM Central Time

FY 2020	Date	Topic
1	October 2, 2019	Size & Affiliation
2	November 6, 2019	Understanding the Non-Manufacturer Rule
3	December 4, 2019	Subcontracting Plans
4	January 8, 2020	Surveillance Reviews
5	February 5, 2020	Historically Underutilized Business Zone (HUBZone) Program
6	March 4, 2020	Certificate of Competency (COC)
7	April 1, 2020	Procurement Center Representative (PCR) functions
8	May 6, 2020	Market Research
9	June 3, 2020	Regulation Updates
10	July 1, 2020	Woman Owned Small Business (WOSB) Program
11	August 5, 2020	All Small Mentor Protégé Program

The program schedule is for information only and is subject to change.

One Continuous Learning Point

- Self-service: Using the PowerPoint that was sent with your invitation for this training event, fill in your name on the certificate slide and save. Download the certificate and print for your records. You submit your request for training credit IAW your agency policy, i.e. FAITAS.
- Phoning in only: If you listen in groups and you want all attendees to be included on the future mailing list, send email addresses of participants in an excel document to sbalearning@sba.gov.

“SBA 1st Wednesday Virtual Learning 2020”

This Certificate is awarded to

Insert Your Name Here

For completion of

Surveillance Reviews

This training seminar may be credited towards “Continuous Learning Points” as described in OFPP Policy Letter 05-01. Recommendation of One CLP.



Pamela J. Beavers
Director, Area IV
SBA Office of Government Contracting

01/08/2020

DATE

Today's Speaker

Valerie Coleman
Program Manager, Prime Contracts
SBA Office of Government Contracting

What is a Surveillance Review (SR)?

- Assessment of a Procurement Center's (PC) compliance in executing its Small Business (SB) program.
- Authority
 - Small Business Act
 - FAR 19.402(c)(5))

Purpose of a SR

- Evaluate the PC's performance on attaining its assigned goals
- Evaluate the compliance with FAR requirements and agency supplements affecting the small business program
- Evaluate agency or local policy impacting small business opportunities
- Evaluate compliance with requirements and authorities for award of 8(a) contracts
- Evaluate compliance with any other relevant agreements between SBA and the PC
- Identify improvements to support SB participation in the PC's acquisition process
- Identify training, and/or technical assistance to the PC to enable it to improve its ability to provide opportunity with small business concerns
- Identify best practices that the PC is using that could be used with other agencies

Selection of Sites

- Any PC who received a marginally satisfactory in previous FY
- PC who has not made goals
- Request of OSDDBU, other agency official, SBA official (PCR, Area Director)
- Top 300
- Change in Small Business Office leadership
- Have not had a review in the last 5 years

Pre-SR Process

- Letter to OSDBU or Director of Small Business Program
- Copy to Area Director where SR is to be conducted
- Area Director assigns Team Lead and Team members
 - BOS from District Office
- Team Lead negotiates dates for review
- Area Director sends formal notification of SR
 - Preparation Checklist and Request for Information
 - 45-60 days in advance of date negotiated
- Other issues

SR Process

➤ Entrance briefing

➤ Review of Files – General Files & 8(a) awards

- Acquisition Planning
- Acquisition Review & SB Program – long section
- Publicizing Contract Actions
- Subcontracting
- Other Small Business program issues – which includes COC, Size, Protest, Misc.
- Clauses

➤ Exit Briefing

Post SR Process

- **Report written along with a cover letter**
 - Findings vs. Recommendations
 - Best Practices
 - Proposed rating
 - Outstanding
 - Highly Satisfactory
 - Satisfactory
 - Marginally Satisfactory
 - Unsatisfactory

- **Sent to Program Manager, Prime Contracts Program for review**

- **Director, Government Contracting signs**

- **Letter and report sent to OSDBU/Director of Small Business Programs**
 - “cc” PC individuals

- **Corrective Action Plan - 45 days after SR report received**

Follow-up SRs (FuSR)

➤ **1st FuSR**

- PCs that received a marginally satisfactory
- Led by the Area Director where the PC is located
- 1 day review
- Corrective Action Plan
- Letter and report to OSDBU/Director of Small Business Programs

➤ **2nd FuSR**

- PC received another marginally satisfactory during the FuSR
- Led by Director, Government Contracting or his designee
- 1 day review
- Letter and report to Secretary/Administrator of Agency



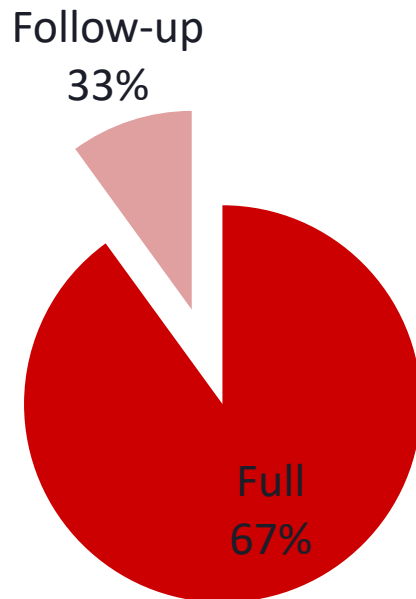
2019 SR Stats

2019 SRs

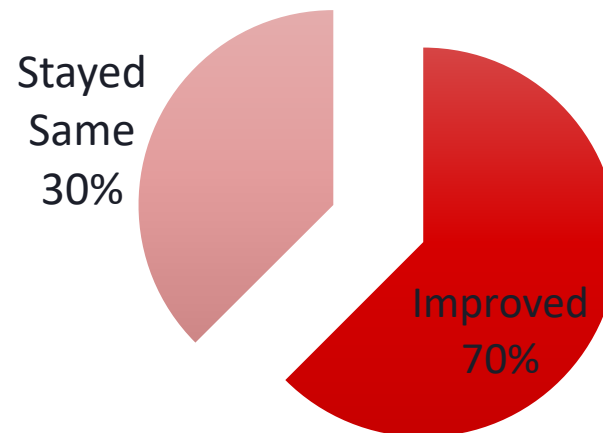
- **30 SRs completed**
- **11 Different Agencies**
 - DOD (20)
 - Air Force (6)
 - Army (7)
 - Defense Health Agency
 - Defense Logistics Agency
 - Navy (5)
 - GSA
 - HHS (2)
 - Interior
 - NASA
 - USDA (***SBA Timber Program Review***)
 - VA (4)

Breakdown of Reviews (30 Total)

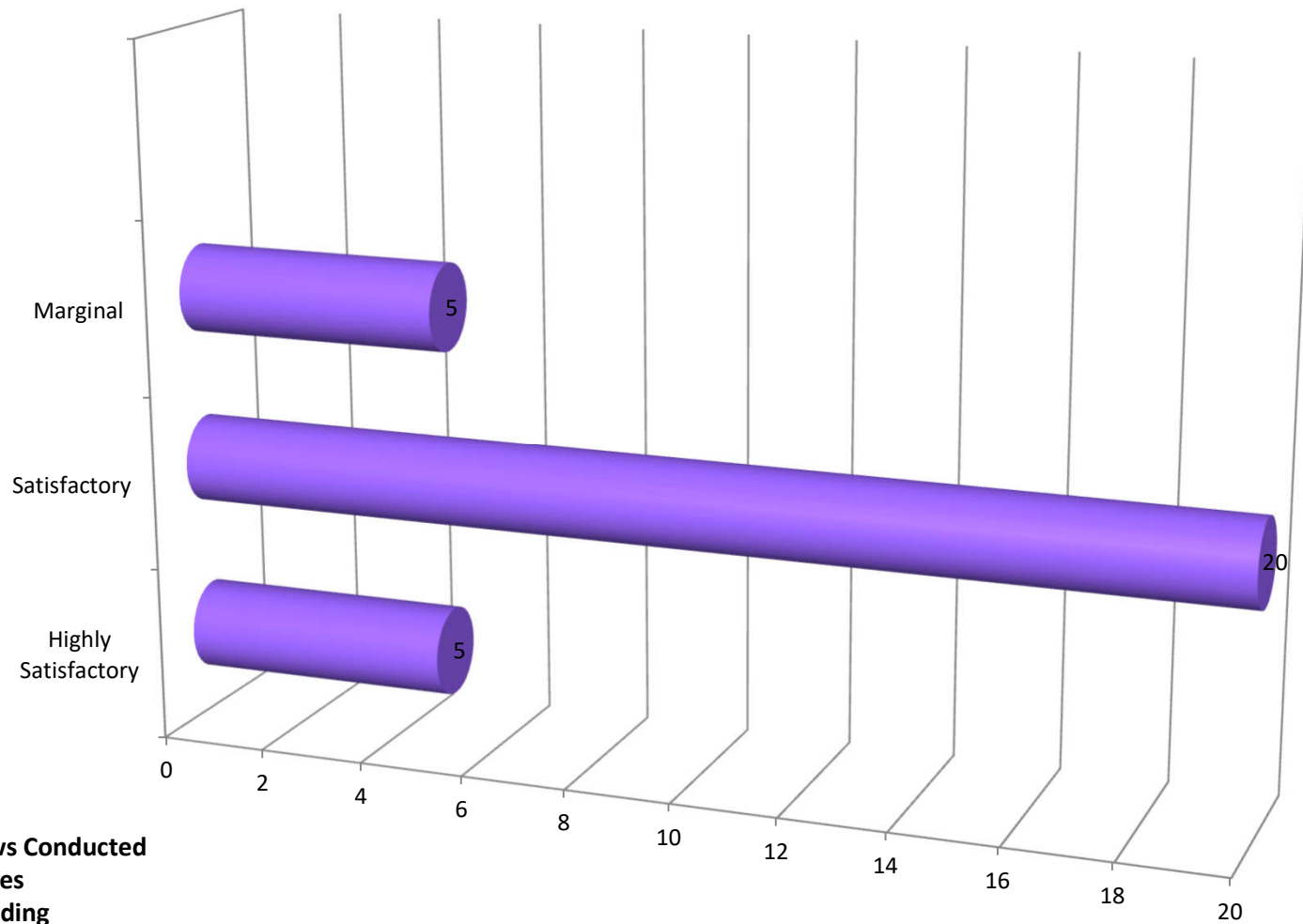
**FY 2019 SRs (27) Conducted
vs Follow-up SRs (3)**



FY 2019 Follow-Up SR Ratings

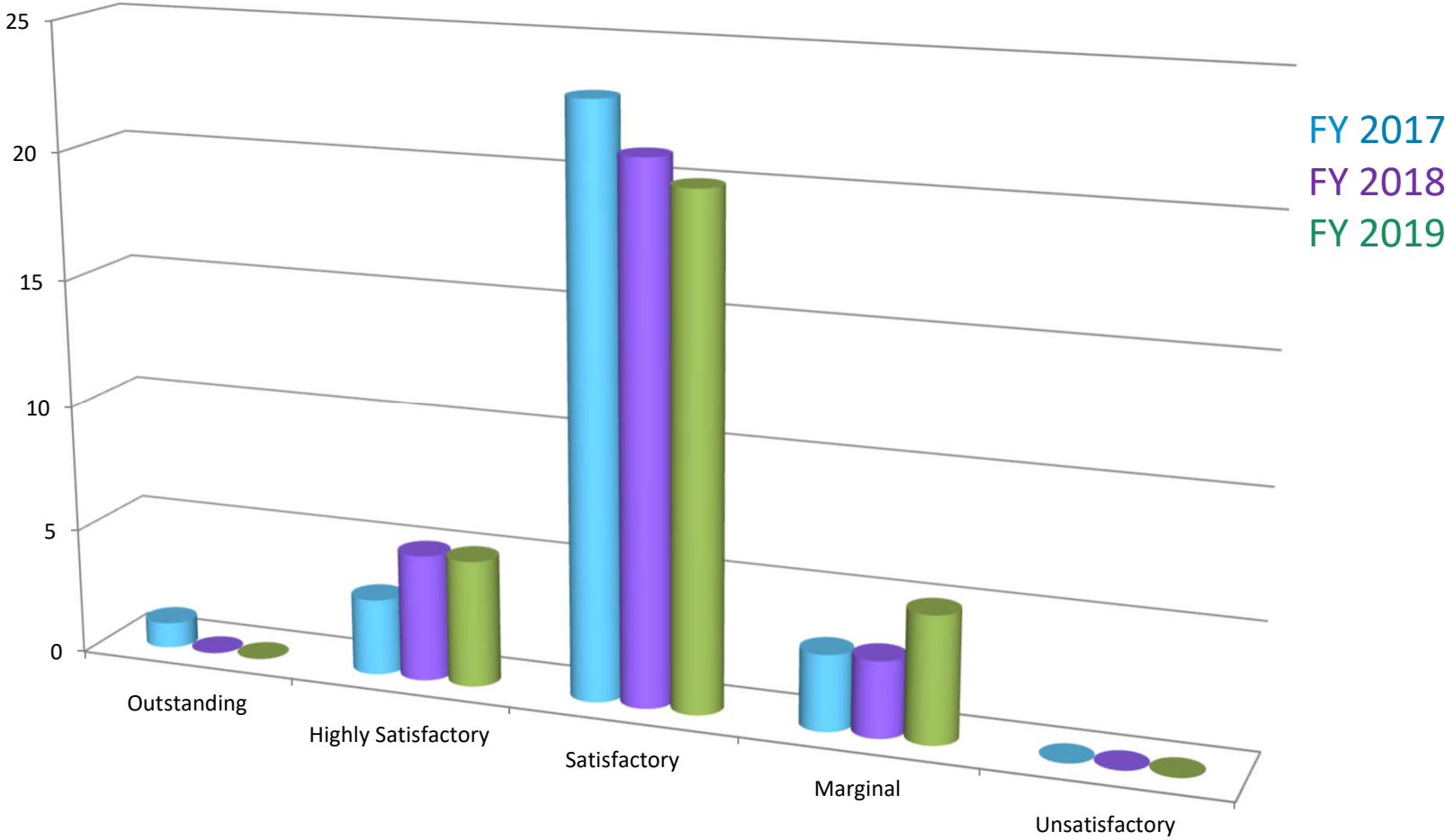


Summary of FY 2019 Reviews



30 Reviews Conducted
12 Agencies
0 Outstanding
0 Unsatisfactory

FY 2017 - 2019 Comparison



FY 2019 SRs

- **All SRs completed, signed and sent to OSDBU/Director, Small Business Programs by September 27**
- **Cover letter requested acknowledgement of report**
- **Corrective Action Plans due within 45 days of letter & report**

FY 2020 SRs

➤ **Items to be worked on**

- Ability to access contract files – electronic
- Security clearances
- Update individual contract file & 8(a) checklists

➤ **Selection of 2020 SRs – Accomplished November 2019**

➤ **Notification to OSDBUs – Accomplished November 2019**

2020 SRs

- **30 SRs**

- **9 Different Agencies**

 - DOD (19)

 - Air Force (4)

 - Army (5)

 - DFAS

 - Navy (9)

 - GSA

 - HHS (2)

 - NASA (2)

 - USDA (2) (***SBA Timber Program Review***)

 - VA (4)

Trends

- **8(a) program** –offer and acceptance letters; clauses not being included; contracts/mods not being forwarded to SBA
- **Subcontracting** – Plans not received from prime contractor; waivers not in file if no subcontracting opportunities; not being reviewed by SBS and PCR; not becoming a material part of the contract; not forwarded to SBA; eSRS reports not being submitted and/or accepted/rejected by PC
- **Limitations on Subcontracting** – Not being done
- **Small Business Coordination Forms** – PCRs not seeing these forms as required; not being forwarded to PCR if an acquisition strategy changes after they have signed
- **WOSB** – Certify.gov not being checked as required
- **Clauses** – Required SB clauses missing
- **Goals** – PCs get the same goals from their HQ even though for the past 5 years they have exceeded them by 3 to 4 times (As an example – a PC achieves 20% on SDB for several years in a row, but their goal never changes).

Questions?

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