

SEEKING SEC PROCUREMENT OPPORTUNITIES?

AUGUST 2023



U.S. Securities and
Exchange Commission

SEC DISCLAIMER

This Procurement Resource is provided in the author's official capacity as the Commission's Supplier Diversity Advocate, but does not necessarily reflect the view of the Commission, the Commissioners or other members of the staff.



PURPOSE

This Procurement Resource was developed to assist contractors seeking SEC procurement opportunities by providing supplier diversity information, procurement achievements, information on contract opportunities, available resources and points of contact.



SEC OVERVIEW

- Established under the Securities Exchange Act of 1934
- Mission is to protect investors, maintain fair, orderly and efficient markets, and facilitate capital formation
- Enforces securities regulations to safeguard that:
 - companies offering securities for sale to the public tell the truth about their business, the securities they are selling, and the risks involved in investing in those securities; and
 - those who sell and trade securities (brokers, dealers, and exchanges) treat investors fairly and honestly.
- SEC has a Washington D.C. Headquarters location along with 11 regional offices located throughout the U.S.



OFFICES OF MINORITY AND WOMEN INCLUSION

The Offices of Minority and Women Inclusion (OMWI) are available within the Federal financial regulatory agencies and are focused on providing supplier diversity assistance to businesses:

- **Securities and Exchange Commission (SEC) ****
- Board of Governors of the Federal Reserve System (FRB)
- Consumer Financial Protection Bureau (CFPB) **
- Department of the Treasury **
- Federal Deposit Insurance Corporation (FDIC)
- Federal Housing Finance Agency (FHFA)
- National Credit Union Administration (NCUA)
- Office of the Comptroller of Currency (OCC) **

**These agencies follow the Federal Acquisition Regulation (FAR), 48 CFR1

Multi-OMWI Handout: www.sec.gov/omwi/supplier-outreach (NOTE: Link at bottom of page)



SEC OMWI SUPPLIER DIVERSITY

Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 designates OMWI to ensure the fair inclusion and utilization of minority-owned and women-owned businesses (MWOBs) in all types of contracts at the agency.

OMWI Supplier Diversity activities Include:

- advising the agency administrator on the impact of agency policies and regulations on MWOBs;
- increasing participation of MWOBs in SEC's procurements;
- providing technical assistance to MWOBs seeking SEC procurement opportunities; and
- conducting **Contract Standard Reviews** on prime contractors (and their subcontractors), to ensure they demonstrate "Good Faith Efforts" for the inclusion of women and minorities within their workforce.



HOW & WHAT SEC BUYS

- SEC utilizes the Federal Acquisition Regulation (FAR)
- SEC utilizes existing contract vehicles both internally and externally
- SEC annually contracts for approximately \$500-700 million

NAICS Category	Description	Total SEC	All Other Firms	MWOBs	MWOB % of category
5415	Computer Systems Design and Related Services	\$461.3	\$330.0	\$131.3	28.5%
5416	Management, Scientific, and Technical Consulting Services	\$73.8	\$26.1	\$47.7	64.6%
5182	Computing Infrastructure Providers, Data Processing, Web Hosting, and Related Services	\$32.9	\$4.9	\$28.0	85.2%
5171	Wired and Wireless Telecommunications (except Satellite)	\$19.8	\$19.8	\$0.0	0.0%
5191	Other Information Services	\$16.0	\$15.4	\$0.6	3.7%
5419	Other Professional, Scientific, and Technical Services	\$15.6	\$14.5	\$1.1	6.8%
5616	Investigation and Security Services	\$14.7	\$3.2	\$11.5	78.2%
5192	Web Search Portals, Libraries, Archives, and Other Information Services	\$9.3	\$9.2	\$0.0	0.5%
5241	Insurance Carriers	\$9.0	\$9.0	\$0.0	0.0%
3341	Computer and Peripheral Equipment Manufacturing	\$7.9	\$0.0	\$7.9	100.0%
	All Other Categories	\$41.7	\$31.1	\$10.6	25.3%



SEC SUPPLIER DIVERSITY ACHIEVEMENTS FY21 – FY23

	FY 2021		FY 2022		FY 2023	
SEC Total	\$550.0	100.0%	\$558.6	100.0%	\$701.9	100.0%
Total MWOBs	\$210.4	38.3%	\$215.4	38.6%	\$238.6	34.0%
Women Owned	\$70.7	12.8%	\$50.4	9.0%	\$68.3	9.7%
Minority Owned	\$155.5	28.3%	\$182.6	32.7%	\$194.3	27.7%
American Indian / Alaska Native	\$42.7	7.8%	\$43.5	7.8%	\$58.5	8.3%
Asian	\$75.5	13.7%	\$84.8	15.2%	\$89.0	12.7%
Black	\$4.2	0.8%	\$5.5	1.0%	\$6.1	0.9%
Hispanic	\$25.4	4.6%	\$27.3	4.9%	\$20.6	2.9%
Other Minority	\$7.7	1.4%	\$21.5	3.9%	\$20.1	2.9%



SEC SOCIO-ECONOMIC ACHIEVEMENTS

FY14 - FY23

Socio-Economic Category	SBA Goals	FY14	FY15	FY16	FY17	FY18	FY19	FY20	FY21	FY22	FY23
Small Business	23%	57.70%	59.41%	60.44%	56.35%	52.15%	47.09%	58.2%	54.82%	55.71%	54.89%
Small Disadvantaged Business (SDB)	5%	21.40%	22.32%	21.99%	22.12%	18.79%	21.54%	28.2%	33.52%	33.58%	27.87%
8(a)	0%	10.20%	11.19%	10.00%	6.09%	5.17%	6.03%	7.4%	9.01%	10.23%	8.51%
Veteran-Owned Small Business	0%	7.36%	9.54%	10.83%	7.83%	12.13%	10.22%	11.3%	7.05%	13.15%	15.53%
Service Disabled Veteran-Owned Small Business	3%	6.65%	8.50%	8.96%	6.30%	9.74%	8.96%	10.1%	7.05%	12.22%	15.03%
Women-Owned Small Business	5%	17.58%	17.21%	16.24%	13.08%	12.99%	11.42%	14.9%	15.84%	10.10%	10.55%
HubZone	3%	3.73%	3.99%	4.59%	5.60%	6.62%	5.79%	5.3%	3.76%	4.8%	4.19%



AVAILABLE PROCUREMENT RESOURCES



OMWI SUPPLIER DIVERSITY BROCHURE

Provides information on OMWI and the Supplier Diversity Program, including:

- Background on SEC's Mission
- OMWI's Role
- How OMWI Implement's SEC's Supplier Diversity Strategy
- Information on what SEC Buys (procurement needs)
- How SEC does business
- Helpful Supplier Diversity and Procurement Weblinks
- OMWI Contact Information

Website: www.sec.gov/omwi/supplier-outreach

NOTE: Link at bottom of page



SEC LIST OF POTENTIAL COMPETITIVE CONTRACTING OPPORTUNITIES (PROCUREMENT FORECAST)

Provides general information regarding SEC's potential competitive contracting opportunities for the current fiscal year, including:

- SEC Office seeking the requirement
- Description of requirement
- Estimated annual value of requirement
- Incumbent Contractor and SEC Contract Number
- Anticipated solicitation date of requirement

Website: www.sec.gov/page/oacqsectionlanding

NOTE: Link in right side column

Contact for Additional Information: SmallBusinessSpecialist@sec.gov



SEC ENTERPRISE VEHICLE LIST

Provides information to assist vendors in identifying potential subcontracting opportunities, including:

- SEC Contract Vehicle Name
- SEC Contract Vehicle Description
- SEC Contract Number
- SEC End of Agreement Date (Contract Expiration Date)
- Contract Value
- Vendor Name and Point of Contract Information

Website: www.sec.gov/page/oacqsectionlanding

NOTE: Link in right side column

Contact for Additional Information: SmallBusinessSpecialist@sec.gov



SUPPLIER DIVERSITY BUSINESS MANAGEMENT SYSTEM (SDBMS)

SDBMS serves as a central repository for general business information by minority-owned, women-owned and/or small businesses interested in SEC procurement opportunities. SDBMS is for businesses that:

- 1) fall within one or more of the business classifications, and
- 2) provide goods/services generally procured by the SEC.

SDBMS information is utilized to source diverse vendors for market research purposes in developing agency business requirements. OMWI also utilizes SDBMS to send vendors information about SEC procurement and supplier diversity initiatives.

SDBMS Registration: www.sec.gov/omwi/supplier-outreach/sdbms



VENDOR OUTREACH DAY

Business opportunity to meet one-on-one with agency officials, introduce their company capabilities, ask procurement process questions and learn about upcoming opportunities.

- Hosted monthly (typically on Tuesdays)
- VOD individual sessions are 20 minutes in duration
- 8 sessions available - 4 morning sessions and 4 afternoon sessions
- Flexibility to participate via WebEx

Guest Appearances (based on work commitments and schedule availability)

- SEC Staff (Contracting Officers and/or Contract Specialists)
- SEC Program Managers & SEC Contracting Officer Representatives (CORs)
- SEC Government Employees conducting market research
- SEC Prime Contractors seeking small and/or diverse businesses for partnering, teaming or subcontracting opportunities

VOD Registration: Available in the Supplier Diversity Business Management System (SDBMS)

SDBMS Registration: www.sec.gov/omwi/supplier-outreach/sdbms



ONEIT PROGRAM

Description: Provides the SEC with a streamlined, common and flexible contracting vehicle in procuring information technology services to meet our strategic mission and objectives.

Contract Scope: The following 7 service channels are included:

- Application Management and Development (PLATFORM)
- Business Solutions Delivery (NON-PLATFORM)
- Information Security
- Data Management
- IT Governance
- Technology Business Management
- IT Infrastructure and Operations Management (RESTRICTED POOL ONLY)

NAICS Code: 541512 – Professional, Scientific and Technical Services – Computer Systems Design Services

ONEIT Point of Contact: ONEOIT@sec.gov



ONEIT PROGRAM OPPORTUNITIES

Contract Value / Type: Multiple-award IDIQ contracts (maximum \$2.5B) with firm-fixed price, time-and-material and labor hour task orders. There are separate pools for small business only (RESTRICTED) and all awardees, which include large businesses (UNRESTRICTED).

Subcontracting Requirements for Contract Holders:

- **Large Business:** 50% subcontracting requirement to small business over life of IDIQ (with minimum 5% goal for each SDVOSB, WOSB, SDB and HUBZone)
- **Small Business:** participation commitment with minimum 5% goal for SDVOSB, WOSB, SDB and HUBZone

Subcontracting Opportunities: To explore subcontracting opportunities, see prime contractor contact information on SEC's Enterprise Vehicle List

<https://www.sec.gov/page/oacq>



ONEIT PROGRAM AWARDEES

Contract Holders:

- | | |
|------------------|----|
| ▪ Large Business | 5 |
| ▪ Small Business | 22 |
| ▪ Joint Ventures | 12 |

TOTAL = 27 Businesses

Socio-Economic Categories of Contract Holders (**Set-Aside Available):

- | | |
|------------------------------------------------------------|----|
| ▪ Small Disadvantaged Business (SDB) ** | 12 |
| ▪ Service-Disabled Veteran Owned Small Business (SDVOSB)** | 4 |
| ▪ 8(a) Program** | 6 |
| ▪ HUBZone Business** | 1 |
| ▪ Minority-Owned Business | 13 |
| ▪ Women-Owned Small Business** | 5 |

ONEIT Point of Contact: ONEOIT@sec.gov



IPASS 2.0 PROGRAM

- **Program**: Integrated Professional Acquisition Support Services 2.0 (iPass 2.0)
- **Contract Scope**: SEC enterprise-wide contractual vehicle providing all the resources, management, and oversight to acquire and retain short-term and long-term professional contractor personnel with a vast array of essential skills in support of SEC's mission.
- **NAICS Code**: 541611 – Administrative Management and General Management Consulting Services
- **Set-Aside Type/Contract Type**: 8(a) (FAR 19.8) / Single-Award Indefinite-Delivery-Indefinite-Quantity (IDIQ)
- **Contract Duration**: \$2.5 Billion (10 years – 5-year base & 5-year option)
- **Solicitation**: 503102-21-R0008 (see sam.gov for additional scope details)
- **Contract Number**: 503102-21-D-0010



IPASS 2.0 PROGRAM - LABOR CATEGORIES

- Accounting
- Administration and Office Automation
- Auditing
- Business Analytics
- Communications and Media
- Document and Records Management
- Financial Analytics
- Forensic Technology
- Fraud
- Legal (Law Clerks and Paralegals)
- Project / Program Management
- Technical Writing and Editing



SEC POINTS OF CONTACT

Office of Minority and Women Inclusion

Supplier Diversity Program Officer

Email: OMWI@sec.gov

OMWI Website: www.sec.gov/OMWI

Supplier Diversity Website: www.sec.gov/OMWI/Supplier-Outreach

Office of Acquisitions

SEC Small Business Specialist

Email: SmallBusinessSpecialist@sec.gov

Procurement Website: www.sec.gov/oacq

