DoD Checklist for Reviewing Subcontracting Plans (July 2024)				
Item	**Type of Plans Applicable:**	**Elements of a Subcontracting Plan**	**Additional Information**	**Mark "x" if "yes"** *any missing Xs require revision*
1.	• Individual • Commercial	FAR 52.219-9(d)(1) Does the offeror's subcontracting plan include separate goals, expressed in terms of total dollars subcontracted, and as a percentage of total planned subcontracting dollars, for the use of small business (SB), veteran-owned small business (VOSB), service-disabled veteran-owned small business (SDVOSB), HUBZone small business (HUBZoneSB), small disadvantaged business (SDB), and women-owned small business concerns (WOSB) as subcontractors?		☐
2.	• Individual	FAR 52.219-9(d)(1) If required by the Contracting Officer, does the offeror have goals also expressed in terms of percentage of total contract dollars, in addition to the goals expressed as a percentage of total subcontract dollars?	`	☐
3.	• Individual	FAR 52.219-9(d)(1) Does the Offeror include all subcontracts that contribute to contract performance? Note, the offeror may include a proportionate share of products and services that are normally allocated as indirect costs.		☐
4.	• Individual • Commercial	FAR 52.219-9(d)(1)(i & ii) Does the offeror count subcontracts awarded to an ANC or Indian tribe towards the subcontracting goals for small business and small disadvantaged business concerns, regardless of the size or Small Business Administration certification status of the ANC or Indian tribe; and Where one or more subcontractors are in the subcontract tier between the prime Contractor and the ANC or Indian tribe, the ANC or Indian tribe has designated the appropriate Contractor(s) to count the subcontract towards its small business and small disadvantaged business subcontracting goals.	FAR 52.219-9(d)(1)(i) Are subcontracts awarded to an ANC or Indian Tribe counted towards the subcontracting goals for small business and small disadvantaged business concerns, regardless of the size or Small Business Administration certification status of the ANC or Indian tribe? FAR 52.219-9(d)(1)(ii) (A) In most cases, the appropriate Contractor is the Contractor that awarded the subcontract to the ANC or Indian tribe. (B) If the ANC or Indian tribe designates more than one Contractor to count the subcontract toward its goals, the ANC or Indian tribe shall designate only a portion of the total subcontract award to each Contractor. The sum of the amounts designated to various Contractors cannot exceed the total value of the subcontract. (C) The ANC or Indian tribe shall give a copy of the written designation to the Contracting Officer, the prime Contractor, and the subcontractors in	☐

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			between the prime Contractor and the ANC or Indian tribe within 30 days of the date of the subcontract award. (D) If the Contracting Officer does not receive a copy of the ANC's or the Indian tribe's written designation within 30 days of the subcontract award, the Contractor that awarded the subcontract to the ANC or Indian tribe will be considered the designated Contractor.	
5.	• Individual • Commercial	FAR 52.219-9(d)(2)(i) Does the Offeror's plan have a statement of total dollars planned to be subcontracted for an individual subcontracting plan; or the Offeror's total projected sales, expressed in dollars, and the total value of projected subcontracts, including all indirect costs except as described in paragraph (g) of this clause, to support the sales for a commercial plan?		☐
6.	• Individual • Commercial	FAR 52.219-9(d)(2)(ii-vii) Are there statements of total dollars planned to be subcontracted for each small business category? (ii) SBs (including ANC and Indian tribes); (iii) VOSBs; (iv) SDVOSBs; (v) HUBZone SBs; (vi) SDBs (including ANCs and Indian tribes)**; and** (vii) WOSBs.	"Subcontracts awarded to workshops approved by the Committee for Purchase from People Who are Blind or Severely Disabled (41 U.S.C. 8502-8504), may be counted toward the Contractor's small business subcontracting goal." Reference DFARS 252.219-7003	☐

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7.	• Individual • Commercial	DFARS 219.705-4(d) Are the goals in all the small business categories below greater than zero? SBs (including ANC and Indian tribes); VOSBs; SDVOSBs; HUBZone SBs; SDBs (including ANCs and Indian tribes)**;** **and** WOSBs	Per DFARS 219.705-4(d) , challenge any subcontracting plan that does not contain positive goals.	☐
8.	• Individual • Commercial	DFARS 219.705-4(d) Is the proposed small disadvantaged business goal equal to or greater than five percent (5%)? If no, the proposed goal of less than five percent (5%) must be approved one level above the contracting officer.	A small disadvantaged business goal of less than 5% must be approved one level above the contracting officer.	☐
9.	• Individual • Commercial • Master	FAR 52.219-9(d)(3)(i-vii) Is there a description of the principal types of supplies and services to be subcontracted for each small business subcontractor category? (ii) SBs (including ANC and Indian tribes); (iii) VOSBs; (iv) SDVOSBs; (v) HUBZone SBs; (vi) SDBs (including ANCs and Indian tribes)**; and** (vii) WOSBs		☐
10.	• Individual	FAR 52.219-9(c) Are there separate subcontracting goals for the base period and each option period (if any)?		☐
11.	• Individual • Commercial • Master	FAR 52.219-9(d)(4) Is there a description of the method used to develop the subcontracting goals?		☐

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12.	• Individual • Commercial • Master	FAR 52.219-9(d)(5) Is there a method used to identify potential sources for solicitation purposes?	Example - utilizing existing company source lists, SAM, veterans service organizations, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, HUBZone, small disadvantaged, and WOSB trade associations). A firm may rely on the information contained in SAM as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a SB, VOSB, SDVOSB, HUBZone , SDB, and WOSB source list. **Use of SAM as its source list does not relieve a firm of its responsibilities (e.g., outreach, assistance, counseling, or publicizing subcontracting opportunities) in this clause.**	☐
13.	• Individual • Commercial • Master	FAR 52.219-9(d)(6) Is there a statement as to whether indirect costs were included in establishing subcontracting goals?	For commercial plans, indirect costs must be included (with the exception of the items listed in FAR 52.219-9(g)), and the rate is 100%.	☐
14.	• Individual • Commercial • Master	FAR 52.219-9(d)(6) Is there a description of the method used to determine the proportionate share of indirect costs to be incurred with each small business category: SBs (including ANC and Indian tribes); VOSBs; SDVOSBs; HUBZone SBs; SDBs (including ANCs and Indian tribes)**;** **and** WOSBs	Skip this question if indirect costs are not included. For Commercial plans, indirect costs must be included (with the exception of the items listed in FAR 52.219-9(g)), and the rate is 100%	☐
15.	• Individual • Commercial • Master	FAR 52.219-9(d)(7) Is there an individual named who will administer the offeror's subcontracting program?		☐

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16.	• Individual • Commercial • Master	FAR 52.219-9(d)(7) Is there a description of duties of the individual who will administer the offeror's subcontracting program?		☐
17.	• Individual • Commercial • Master	FAR 52.219-9(d)(8) Is there a description of the efforts the offeror will make to ensure that all small business categories of concerns (see list below) have an equitable opportunity to compete for subcontracts? SBs; VOSBs; SDVOSBs; HUBZone SBs; SDBs**; and** WOSBs		☐
18.	• Individual • Commercial • Master	FAR 52.219-9(d)(9) Are there assurances that the offeror will include FAR clause 52.219-8, "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities?		☐
19.	• Individual • Commercial • Master	FAR 52.219-9(d)(9) Are there assurances that the offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of the applicable threshold in 19.702(a) on the date of the subcontract award, with further subcontracting possibilities to adopt a plan that complies with the requirements of FAR clause 52.219-9, Small Business Subcontracting Plan?	The current threshold of FAR 19.702(a) is $750,000 ($1.5 Million for construction). FAR 52.219-9(j) Subcontracting plans are not required from subcontractors when the prime contract contains the clause at FAR 52.212-5, or when the subcontractor provides a commercial product or commercial service subject to the clause at FAR 52.244-6, under a prime contract..	☐

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20.	• Individual • Commercial • Master	FAR 52.219-9(d)(10)(i) Are there assurances that the offeror will cooperate in any studies or surveys as may be required?		☐
21. .	• Individual • Commercial • Master	FAR 52.219-9(d)(10)(ii) Are there assurances that the offeror will submit periodic reports so that the Government can determine the extent of compliance by the Offeror with the subcontracting plan?		
22.	• Individual • Master	FAR 52.219-9(d)(10)(iii) Are there assurances that the offeror will include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite-quantity contracts intended for use by multiple agencies?	Applicable after November 30, 2017, and only to indefinite-delivery indefinite- quantity contracts intended for use by multiple agencies. “Agencies” means Federal agencies.	☐
23.	• Individual • Commercial • Master	FAR 52.219-9(d)(10)(iv) Are there assurances that the offeror will: submit the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with paragraph (l) of this clause using the Electronic Subcontracting Reporting System (eSRS) at http://www.esrs.gov;reports will provide information on subcontract awards to small business concerns (including ANCs and Indian tribes that are not small businesses), VOSBs, SDVOSBs, HUBZoneSBs, SDBs (including ANCs and Indian tribes that have not been certified by the Small Business Administration as small disadvantaged businesses), and WOSBs; and that reports will be in accordance with this clause, or as provided in agency regulations?	• The ISR is related only to the individual subcontract plan. • The SSR is related to the individual & commercial subcontract plan. • Alternate III instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for contracts not reported in FPDS.	☐

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24.	• Individual • Commercial • Master	FAR 52.219-9(d)(10)(v) Are there assurances that the offeror will require its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS?	FAR 52.219-9(j) Subcontracting plans are not required from subcontractors when the prime contract contains the clause at FAR 52.212-5, or when the subcontractor provides a commercial product or commercial service subject to the clause at FAR 52.244-6, under a prime contract.	☐
25.	• Individual • Commercial • Master	FAR 52.219-9(d)(10)(vi) Are there assurances that the offeror will provide its prime contract number, its unique entity identifier (UEI), and the e-mail address of the offeror's official responsible for acknowledging receipt of or rejecting the ISRs to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their ISRs?	FAR 52.219-9(j) Subcontracting plans are not required from subcontractors when the prime contract contains the clause at FAR 52.212-5, or when the subcontractor provides a commercial product or commercial service subject to the clause at FAR 52.244-6, under a prime contract.	☐
26.	• Individual • Commercial • Master	FAR 52.219-9(d)(10)(vii) Are there assurances that the offeror will require that each subcontractor with a subcontracting plan provide the prime contract number, its unique entity identifier (UEI), and the e-mail address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans?	FAR 52.219-9(j) Subcontracting plans are not required from subcontractors when the prime contract contains the clause at FAR 52.212-5, or when the subcontractor provides a commercial product or commercial service subject to the clause at FAR 52.244-6, under a prime contract.	☐
27.	• Individual • Commercial • Master	FAR 52.219-9(d)(11) Does the offeror's plan contain a description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the offeror's efforts to locate SBs; VOSBs; SDVOSBs; HUBZone SBs; SDBs; and WOSBs and award subcontracts to them?	.	☐

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28.	• Individual • Commercial • Master	FAR 52.219-9(d)(11)(i) Are there assurances that the offeror will maintain source lists (*e.g.,* SAM), guides, and other data that identify? SBs; VOSBs; SDVOSBs; HUBZone SBs; SDBs**; and** WOSBs		☐
29.	• Individual • Commercial • Master	FAR 52.219-9(d)(11)(ii) Are there assurances that the offeror will maintain records of organizations contacted in an attempt to locate sources that are SBs; VOSBs; SDVOSBs; HUBZone SBs; SDBs**; and** WOSBs?		☐
30.	• Individual • Commercial • Master	FAR 52.219-9(d)(11)(iii)(A)-(F). Are there assurances that the offeror will maintain records on each subcontract solicitation resulting in an award of more than the simplified acquisition threshold (SAT) on date of subcontract award whether each small business category listed below was solicited and, if not, why not? SBs; VOSBs; SDVOSBs; HUBZone SBs; SDBs**; and** WOSBs		☐

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31.	• Individual • Commercial • Master	FAR 52.219-9(d)(11)(iii)(G). Are there assurances that the offeror will maintain records on each subcontract solicitation resulting in an award of more than the simplified acquisition threshold (SAT) on date of subcontract award indicating, if applicable, the reason award was not made to a small business concern?		
32.	• Individual • Commercial • Master	FAR 52.219-9(d)(11)(iv)(A-D) Are there assurances that the offeror will maintain records of any outreach efforts to contact: (A) Trade associations; (B) Business development organizations; (C) Conferences and trade fairs to locate SB, HUBZone SB, SDB, SDVOSB, and WOSB sources**; and** (D) Veterans service organizations?	If all of the assurances are not met for FAR 52.219-9(d)(iv)(A-D) then the plan is not acceptable.	☐
33.	• Individual • Commercial • Master	FAR 52.219-9(d)(11)(v)(A & B) Are there assurances that the offer will maintain records of internal guidance and encouragement provided to buyers through- (A) Workshops, seminars, training, etc.**; and** (B) Monitoring performance to evaluate compliance with the program's requirements?	If all of the assurances are not met for FAR 52.219-9(d)(v)(A-B) then the plan is not acceptable.	☐
34.	• Individual • Master	FAR 52.219-9(d)(11)(vi) Are there assurances that the offeror will maintain on a contract-by- contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor?	This requirement is not applicable to commercial plans.	☐

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35.	• Individual • Commercial • Master	FAR 52.219-9(d)(12) Are there assurances that the offeror will make a good faith effort to acquire articles, equipment, supplies, services, or material, or obtain the performance of construction work from the small business concerns that it used in preparing the bid or proposal, in the same or greater scope, amount, and quality used in preparing the bid or proposal?	The Offeror used a small business concern in preparing the bid or proposal if– (i) The Offeror identifies the small business concern as a subcontractor in the bid or proposal or associated small business subcontracting plan, to furnish certain supplies or perform a portion of the subcontract; or (ii) The Offeror used the small business concern's pricing or cost information or technical expertise in preparing the bid or proposal, where there is written evidence of an intent or understanding that the small business concern will be awarded a subcontract for the related work if the Offeror is awarded the contract.	☐
36.	• Individual • Commercial • Master	FAR 52.219-9(d)(13) Are there assurances that the contractor will provide to the contracting officer, within 30 days of contract completion, a written explanation if the contractor fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in the bid or proposal in FAR 52.219-9(d)(12) above?		☐
37.	• Individual • Commercial • Master	FAR 52.219-9(d)(14) Are there assurances that the contractor will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor?		☐

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38.	• Individual • Commercial • Master	FAR 52.219-9(d)(15) Are there assurances that the offeror will pay its small business subcontractors on time and in accordance with the terms and conditions of the underlying subcontract, and notify the contracting officer when the prime contractor makes either a reduced or an untimely payment to a small business subcontractor (see 52.242-5)?	FAR 52.242-5 Reduced payment means a payment that is for less than the amount agreed upon in a subcontract in accordance with its terms and conditions, for supplies and services for which the Government has paid the prime contractor. Untimely payment means a payment that is more than 90 days past due under the terms and conditions of a subcontract, for supplies and services for which the Government has paid the prime contractor. (2) The Contractor- (i) Made a reduced or untimely payment to the small business subcontractor; or (ii) Failed to make a payment, which is now untimely.	☐

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39.	• Master	FAR 52.219-9(f)(2) and DFARS 219.706 Is the master plan up to date?	(1) The master subcontracting plan has been approved; (2) The Offeror ensures that the master subcontracting plan is updated as necessary and provides copies of the approved master subcontracting plan, including evidence of its approval, to the Contracting Officer; and (3) Goals and any deviations from the master subcontracting plan deemed necessary by the Contracting Officer to satisfy the requirements of this contract are set forth in the individual subcontracting plan.	☐
40.	• Master	Does the master plan list the CAGE codes and related UEI#s of the contracts covered under the plan?		
41.	• Master	Does the plan have the three-year effective dates of plan from approval/signature of Administrative Contracting Officer (ACO)?		
42.	• Commercial	FAR 52.219-9(g) Does the commercial plan relate to the contractor's planned subcontracting for both commercial and Government business, rather than solely to the Government contract?		☐
43.	• Commercial	Does the proposed commercial plan have a signature page which includes: a. name, title, email and company name for the person submitting the plan; b. name, title and department/agency contracting organization, date, signature and email of the person approving the plan?	AND does the plan have the following: • State the dates of the one-year period the plan is based on? • State the basis the plan is established for (Company-wide, Division or Divisions (listed by CAGE and UEI), or product line(s)?	☐

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44.	• Commercial	Does the commercial plan list the CAGE codes and related UEI#s of the commercial products or services covered by the plan?		☐