## SMALL BUSINESS SUBCONTRACTING PLAN

| Offeror name and address: | Date: |
|---|---|
| | Type of plan (check one): If Individual, supply solicitation number; if Commercial, supply effective period.<br>☐ Individual _____ Solicitation number<br>☐ Commercial _____ Effective begin date _____ Effective end date |

**The following, along with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507, Public Law 99-661, and paragraph (d) of FAR Clause 52.219-9, Small Business Subcontracting Plan.**

**Total Contract Value**
(completed by Contracting Officer which includes contract award and all options).

$

**Total Projected Sales**
(completed by the Contractor for commercial subcontracting plans only.)

$

## PART 1 – SUBCONTRACTING GOALS

A. Total dollars planned to be subcontracted: $ 0

| | | Dollars | Percentage |
|---|---|---|---|
| B. Dollars and percentages planned to be subcontracted to large business concerns. | LB | $ | % |
| | SB | $ | % |
| C. Dollars and percentages planned to be subcontracted to SB concerns. Percentages should be expressed as a percentage of the total dollars planned to be subcontracted. The offeror shall include all subcontracts that contribute to contract performance. | VOSB | $ | % |
| | SD-VOSB | $ | % |
| | HUBZone | $ | % |
| | SDB | $ | % |
| | WOSB | $ | % |

D. Description of principal types of supplies and services to be subcontracted to each of the SB concerns:

| | |
|---|---|
| SB | |
| VOSB | |
| SD-VOSB | |
| HUBZone | |
| SDB | |
| WOSB | |

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E. Describe method used to develop these goals (e.g. based on procurement history, available resources, etc.):

| F. Were indirect costs included in establishing these goals? | ☐ Yes | ☐ No |
|---|---|---|

| If yes, describe the method used to determine proportionate share of indirect costs to be incurred with each of the SB concerns: | | |
|---|---|---|
| | SB | |
| | VOSB | |
| | SD-VOSB | |
| | HUBZone | |
| | SDB | |
| | WOSB | |

## PART 2 – SUBCONTRACTING PROCEDURES

A. Individual who will administer the offeror's subcontracting program

(Reference FAR Part 52.219-9(d), Small Business Subcontracting Plan, (Par 9-15) for specific duties as they relate to the firm's subcontracting program and include additional duties the company has designated).

| Name: | |
|---|---|
| Title: | |
| E-Mail | Phone: |

Description of Duties:

B. Indicate methods used to identify potential sources for solicitation purposes:

- ☐ Existing company source lists
- ☐ National Minority Purchasing Council Vendor Information Service
- ☐ Trade Associations
- ☐ Federal government development centers such as DoD's Procurement Technical Assistance Center (PTAC), SBA's Small Business Development Center (SBDC) and Department of Commerce's Minority Business Development Center (MBDC)
- ☐ Other: _____

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C: Describe methods used to assure that SB, VOSB, SD-VOSB, HUBZone, SDB and WOSB concerns are provided an equitable opportunity to compete for subcontracts.

## PART 3 – SUBCONTRACTING PLAN MANAGEMENT

The offeror certifies, by signature on this plan, that the following procedures regarding management of this subcontracting plan will be enacted and maintained. The contractor agrees to provide the following:

(1) Assist small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns. Where the Contractor's lists of potential small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business subcontractors are excessively long, reasonable effort shall be made to give all such small business concerns an opportunity to compete over a period of time.

(2) Provide adequate and timely consideration of the potentialities of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns in all “make-or-buy” decisions.

(3) Counsel and discuss subcontracting opportunities with representatives of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business firms.

(4) Confirm that a subcontractor representing itself as a HUBZone small business concern is identified as a certified HUBZone small business concern by accessing the SAM database or by contacting SBA.

(5) Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as small, veteran-owned small business, HUBZone small, small disadvantaged or women-owned small business for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the Contractor's subcontracting plan.

(6) Assurances that the Contractor will include the clause of this contract entitled "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities, and that the Contractor will require all subcontractors (except small business concerns) that receive subcontracts in excess of the applicable threshold specified in FAR 19.702(a) on the date of subcontract award, with further subcontracting possibilities to adopt a subcontracting plan that complies with the requirements of this clause.

(7) Assurances that the Contractor will -
(i) Cooperate in any studies or surveys as may be required;

(ii) Submit periodic reports so that the Government can determine the extent of compliance by the Contractor with the subcontracting plan;

(iii) After November 30, 2017, include subcontracting data for each order when reporting subcontracting achievements for an indefinite-delivery, indefinite-quantity contracts with individual subcontracting plans where the contract is intended for use by multiple agencies;

(iv) 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. The reports shall provide information on subcontract awards to small business concerns (including ANCs and Indian tribes that are not small businesses), veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns (including ANCs and Indian tribes that have not been certified by SBA as small disadvantaged businesses), women-owned small business concerns, and for NASA only, Historically Black Colleges and Universities and Minority Institutions. Reporting shall be in accordance with this clause, or as provided in agency regulations;

(v) Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS;

(vi) Provide its prime contract number, its unique entity identifier, and the e-mail address of the Contractor'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; and

(vii) Require that each subcontractor with a subcontracting plan provide the prime contract number, its own unique entity identifier, 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.

(8) 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 Contractor's efforts to locate small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

(i) Source lists (e.g., SAM), guides, and other data that identify small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.

(ii) Organizations contacted in an attempt to locate sources that are small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns.

(iii) Records on each subcontract solicitation resulting in an award of more than the simplified acquisition threshold, as defined in FAR 2.101 on the date of subcontract award, indicating -

(A) Whether small business concerns were solicited and, if not, why not;

(B) Whether veteran-owned small business concerns were solicited and, if not, why not;

(C) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;

(D) Whether HUBZone small business concerns were solicited and, if not, why not;

(E) Whether small disadvantaged business concerns were solicited and, if not, why not;

(F) Whether women-owned small business concerns were solicited and, if not, why not; and

(G) If applicable, the reason award was not made to a small business concern.

(iv) Records of any outreach efforts to contact -
(A) Trade associations;

(B) Business development organizations;

(C) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, service-disabled veteran-owned, and women-owned small business sources; and

(D) Veterans service organizations.

(v) 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.

(vi) On a contract-by-contract basis, records to support award data submitted by the Contractor to the Government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

(vii) Assurances that the Contractor will make a good faith effort to acquire articles, equipment, supplies, services, or materials, or obtain the performance of construction work from the small business concerns that it used in preparing the proposal for the modification, in the same or greater scope, amount, and quality used in preparing and submitting the modification proposal. Responding to a request for a quote does not constitute use in preparing a proposal. The Contractor used a small business concern in preparing the proposal for a modification if -

(A) The Contractor identifies the small business concern as a subcontractor in the proposal or associated small business subcontracting plan, to furnish certain supplies or perform a portion of the subcontract; or
(B) The Contractor used the small business concern's pricing or cost information or technical expertise in preparing the 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 when the modification is executed.

(viii) Assurances that the Contractor will provide the Contracting Officer with 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 (d)(12) of this clause. This written explanation must be submitted to the Contracting Officer within 30 days of contract completion.

(ix) Assurances that the Contractor will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to the payment to or utilization of a subcontractor.

(x) 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).

## PART 4 – AGREEMENT AND APPROVAL SIGNATURES

### A. Offeror's agreement

Offeror's signature | Typed name and title | Date

### B. Reviewed By:

Contract Specialist 's signature | Typed name, title, and Business Unit | Date

### C. Contracting Officer's Approval

Contracting Officer's signature | Typed name, title, and Business Unit | Date

### D. Division Chief's Approval

Is SDB goal less than 5%? ☐ Yes ☐ No

If yes, a Division Chief's signature, one level above Contracting Officer is required:

Deputy's/Director's signature | Typed name and title | Date

### E. Small Business Specialist's Approval

☐ Concur ☐ Non-concur

Small Business Specialist's signature | Typed name and title | Date

**Small Business Specialist's Rationale:**

## F. Small Business Administration Procurement Center Representative's Approval

| | | |
|---|---|---|
| | | |
| Small Business Administration Procurement Center Representative's signature | Typed name and title | Date |

**Small Business Administration Procurement Center Representative's Rationale:**

## PART 1 - SUBCONTRACTING GOALS Instructions

Calculating Total Planned Subcontracting Dollars

A. Total estimated dollar value of all planned subcontracting for an Individual Contract Plan; or the offeror's total projected sales, expressed in dollars, and the total value of projected subcontracts to support the sales for a Commercial Plan; i.e., the sum of LB and SB: $_____ (This number will be auto calculated when the total Large Business (LB) and total Small Business (SB) fields are populated.)

B. Total estimated dollar value of planned subcontracting with large businesses (LB):
$_____

Total estimated dollar value of planned subcontracting with small businesses (SB):
$_____

C. Total estimated dollar value and percent of planned subcontracting with small businesses (include veteran-owned, service-disabled veteran-owned, HUBZone, disadvantaged and women-owned small business concerns):
$_____ (Percentage of total dollars will auto populate)

**Calculating Small Business Subcategories**

These numbers have already been captured in SB dollars; therefore, you don't need to roll them up to equal the total small business dollars allocated above. It is possible to have one company that fits into more than one category (i.e. SDVOSB and HUBZone) and the same dollar amount would be allocated to both categories.

## General Instructions

**Instructions for Contractors**

1. Complete Form
2. Save the completed form in PDF
3. Print saved copy and sign
4. Scan signed copy
5. Email the completed, scanned **SIGNED** copy

**Instructions for Contracting Officer and Contract Specialist**

1. Contracting Officer/Contract Specialist MUST review and sign electronically with your CAC to make a determination of adequacy PRIOR to forwarding to your Major Subordinate Command's (MSC) Office of Small Business Programs' email mailbox. When signing, follow the following steps:

   a. Click on Tools

   b. Scroll Down to Review and Approve

   c. Click on Comment

   d. Click on the T

   e. Type Name and Title

   f. Type Date

   g. Click on Tools

   h. Scroll Down to Forms and Signatures

   i. Click on Certificates

   j. Click on Digitally Sign

   k. Place Cursor on Signature Block

   l. Hold and Drag Across Signature Block

   m. Save

2. Once all signatures are completed for approval and the subcontracting form is returned to the contracting office, the contracting officer and/or contract specialist, MUST forward a copy of the subcontracting plan to the Area Director, Office of Government Contracting, in the SBA area office where the contractor's headquarters is located.

**Note: JavaScript must be enabled in order for calculations to function.**

## TERMS AND DEFINITIONS

The following terms and acronyms are used throughout this form:

- **Commercial Plan** – a subcontracting plan (including goals) that covers the offeror's fiscal year and that applies to the entire production of commercial items sold by either the company or a portion thereof (e.g. division, plant, or production line).

- **Individual Plan** – a subcontracting plan that covers the entire contract period.

- **SB** – Small Business concern

- **VOSB** – Veteran Owned Small Business concern

- **SD-VOSB** – Service-Disabled Veteran Owned Small Business concern

- **HUBZone** – Historically Underutilized Business Zone

- **SDB** – Small Disadvantaged Business concern

- **WOSB** – Women-Owned Small Business concern

- **Direct and Indirect Cost** – Overhead activities may be used to supplement direct charge activities. Contractors are encouraged to use indirect costs to meet goals when direct costs subcontracting opportunities are restrictive toward meeting established goals.