

**SMALL BUSINESS AND SMALL DISADVANTAGED  
BUSINESS SUBCONTRACTING PLAN**

Note: Fields will expand to accommodate information being entered.

Date: \_\_\_\_\_

Subcontractor: \_\_\_\_\_

Address: \_\_\_\_\_

Subcontract Number: \_\_\_\_\_ Subcontract value: \$ \_\_\_\_\_

Description of Item /Service \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

The following, together with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507, and the Small Business Subcontracting Plan provisions of the subcontract identified above.

I. Subcontractor Goals

Total estimated dollars to be subcontracted (lower-tier subcontracting in direct execution of this subcontract)

\$ \_\_\_\_\_

The following goals (expressed in terms of a percentage of total planned dollars and the corresponding dollar values) will be applicable for this Subcontracting Plan. Goals must be established for each category. If no subcontracting opportunities exist within a specific category or sources are not available, justification is required to substantiate such conclusion.

Should circumstances arise that impact the approved subcontracting plan, immediate notification shall be provided to:

Procurement Agent \_\_\_\_\_ Tel. No. \_\_\_\_\_

Small Business Officer \_\_\_\_\_ Tel. No. \_\_\_\_\_

BUSINESS CLASSIFICATION	AMOUNT	PERCENTAGE
Small Business (SB)	\$	
Small Disadvantaged Business (SDB)	\$	
Woman Owned Business (WOB)	\$	
HUBZone Business (HUB)	\$	
Large Business	\$	
<b>TOTAL SUBCONTRACT AMOUNT</b>	<b>\$</b>	

## II. Methods Used to Develop Goals

The following methods were used in developing subcontract goals:

Examples:

- The work scope for this subcontract was reviewed to establish potential materials and services which could be subcontracted.
- From the total estimate of potential subcontracted items, a list of those items which were candidates for small businesses was established.
- From the total estimate of potential subcontracted items to small business, a list of those items which could be subcontracted to small disadvantaged businesses, woman-owned businesses and HUBZone certified small businesses was established.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

The principal products and/or services to be subcontracted under the subcontract and the type of businesses utilized are shown on **Attachment 1. Mandatory**

## III. Administration of the Subcontracting Program

The following individual will administer the Subcontracting Program:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

E-mail: \_\_\_\_\_

Telephone: \_\_\_\_\_

Alternate Contact

Name: \_\_\_\_\_

Telephone: \_\_\_\_\_

E-mail: \_\_\_\_\_

The individual's specific responsibility for review, monitoring and execution of the Plan, include, but are not limited to:

- A. Oversees compliance with the content of this plan.
- B. Ensures that all subcontracts placed contain the latest provisions regarding small business and small disadvantaged business subcontracting and that the requirements of General Provisions F.3 as implemented by this plan are being fulfilled by the subcontractors.
- C. Performs periodic audits of subtier subcontracting plans to measure progress of goals and monitors attainment of goals under this subcontracting plan.

- D. Submits Standard Form SF-294, Subcontracting Report for Individual Contracts and any other periodic reports as requested.
- E. Participates in procuring, planning and selection of potential sources to ensure that small business and small disadvantaged business concerns are offered every opportunity to participate in the program.
- F. Coordinates and participates with the Small Business Administration, Prime Contractor small business officers, and other groups to locate capable firms.
- G. Ensures inclusion of small business, small disadvantaged business, woman owned or HUBZone business concerns in all solicitations.
- H. Removes statements, clauses, etc. from solicitations which may tend to prohibit small business, small disadvantaged business, woman owned business, and HUBZone Small Business concerns participation.
- I. Maintains records of small business, small disadvantaged business, woman owned, and HUBZone business concerns' programs.
- J. Provides records and reports and fully cooperates in all studies and surveys as may be required by the Prime Contractor or Governmental regulations.
- K. Provides a notice to subcontractors and remedies concerning penalties for misrepresentation of business status as small business or small disadvantaged business for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the Subcontractor's Subcontracting Plan.

#### IV. Outreach Efforts

The following outreach efforts will be taken to ensure that small and small disadvantaged business concerns will have an equitable opportunity to compete for subcontracts. Efforts will be made as follows as a minimum:

- A. Distribution of company policies and procedures which implement the requirements of General Provisions F.3.
- B. Assignment by name of specific individuals to carry out the policies and procedures.
- C. Periodic review of progress made with regard to goals established by individual subcontracting plans
- D. Training and motivation of personnel to ensure their complete support of the plan.
- E. Provision for technical and management assistance to small business and small disadvantaged business concerns to ensure complete understanding of requirements.
- F. Provision for clear-cut and realistic technical specifications and delivery schedules to encourage maximum participation.
- G. Consideration of all available small business, small disadvantaged business, woman owned business, and HUBZone business concerns during the make/buy process.
- H. Allowing special consideration to small and small disadvantaged business firms by preparing solicitations, allowing adequate time for preparation of bids, arranging specifications and delivery schedules to facilitate the participation of such firms.
- I. Where subcontracting opportunities exist, the following publications/sources will be used to search for capable firms:

Examples:

- Procurement Marketing and Access network (Pro-Net), of the Small Business Administration
- Minority Business Enterprise, published by the Defense Logistics Agency.
- Existing Company source lists.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

- J. An outreach effort will be made to solicit the assistance of local, state, and federal offices, trade and manufacturing associations and labor organizations in identifying qualified firms.
- K. Counsels and discusses subcontracting opportunities with representatives of small and small disadvantaged business firms.
- L. Every effort will be made by (name) \_\_\_\_\_ to attend small, small disadvantaged and woman-owned business procurement conferences, workshops, and trade fairs that are available in their specific region during the term of this subcontract. Such as:

1. \_\_\_\_\_
2. \_\_\_\_\_

IV. Lower-Tier Subcontracting

The Subcontractor agrees that the clause in the subcontract, "Utilization of Small Business Concerns and Small Disadvantaged Business Concerns" will be included in all subcontracts which offer further subcontracting opportunities, and that all subcontractors except small business concerns who receive subcontracts in excess of \$550,000 (\$1,000,000 for construction) will include clause entitled "Small Business and Small Disadvantaged Business Subcontracting Plan", FAR 52.219-9, SMALL BUSINESS SUBCONTRACTING PLAN (SEP 2006) and those subcontractors will be required to adopt and comply with subcontracting plans similar to this one. Such plans will be reviewed by comparing them with the provisions of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small and small disadvantaged subcontracts, and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractor's facilities to review applicable records and subcontracting program progress.

V. Indirect Costs

Indirect costs were  were not  included when establishing subcontracting goals. If indirect costs were included then explain below by describing the method used to determine the proportionate share of indirect costs to be shared with (1) small business concerns and (2) small disadvantaged business concerns.

Explanation:

\_\_\_\_\_

VI. Surveys

The Subcontractor agrees to fully cooperate in any request for information, studies or surveys that may be required by the customer or Government regulations.

VII. Reporting

The Subcontractor shall submit small business subcontracting achievement data formerly reported on the Standard Form 294, Subcontracting Report for Individual Contracts, and/or Standard Form 295, Summary Subcontract Report, to the Electronic Subcontracting Reporting System or eSRS at <http://www.esrs.gov/> on a semi-annual basis and upon contract completion in accordance with the schedule below.

October 1 through March 31	<u>Due by April 15</u>
April 1 through September 30	<u>Due by October 15</u>

Final Report due 25 days after expiration of contract or current budget period.  
Subcontractor will ensure that its lower-tier subcontractors agree to report in accordance with the instructions above.

VII. Records to Document Compliance

The Subcontractor will maintain the records to demonstrate procedures have been adopted to comply with the requirements and goals in this plan, including establishing source lists and a description of its efforts to locate business concerns and to fulfill the goals contained within this Subcontracting Plan.

The records shall include at least the following:

- A. Source lists, guides, and other data that identify small, small disadvantaged, woman-owned, and HUBZone business concerns.
- B. Correspondence and invitations to small, small disadvantaged, woman-owned, and HUBZone business firm to submit bids.
- C. Organizations contacted in an attempt to locate sources that are small, small disadvantaged, woman-owned, and HUBZone business concerns.
- D. Records on each lower-tier subcontract solicitation resulting in an award of more than \$100,000, indicating -- (1) whether small business concerns were solicited and if not, why not; (2) whether small disadvantaged business concerns were solicited and if not, why not; (3) whether HUBZone business concerns were solicited and if not, why not; and (4) if applicable, the reason award was not made to a small business concern.
- E. Records of any outreach efforts to contact (1) trade associations; (2) business development organizations; and (3) conferences and trade fairs to locate small, small disadvantaged, and HUBZone business sources.
- F. Records of internal guidance and encouragement provided to buyers through (1) workshops, seminars, training, etc., and (2) monitoring performance to evaluate compliance with the program's requirements.
- G. On a Subcontract-by-Subcontract basis, records to support award data submitted by the offeror to the prime contractor, including the name, address and business size of each lower-tier subcontractor.

Printed Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Plan Accepted By:

Signature: \_\_\_\_\_

Contractor Small Business Officer

Date: \_\_\_\_\_

### ATTACHMENT 1 TO SUBCONTRACTING PLAN

Subcontract Number \_\_\_\_\_

### SELECTED AND PROBABLE SUBCONTRACT/PROCUREMENT SOURCES

DESCRIPTION	SUPPLIER SOURCE	ESTIMATED DOLLARS	SB	SBD	WOB	HUB	LG
		\$	<input type="checkbox"/>				
		\$	<input type="checkbox"/>				
		\$	<input type="checkbox"/>				
		\$	<input type="checkbox"/>				
		\$	<input type="checkbox"/>				
		\$	<input type="checkbox"/>				
		\$	<input type="checkbox"/>				

Signature \_\_\_\_\_ Date \_\_\_\_\_