

DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)

√ if "No"	Item	Elements of a Subcontracting Plan	Instructions / Notes
	1	FAR 52.219-9(d)(1) Does the offeror's subcontracting plan express goals in terms of total dollars subcontracted, and as a percentage of total planned subcontracting dollars for each small business category: small business [including Alaska Native Corporation (ANC) and Indian tribe], veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business [including Alaska Native Corporation (ANC) and Indian tribe], and women-owned small business concerns as subcontractors?	Individual and commercial plans only, not master plans
	2	FAR 52.219-9(d)(1) If required by the contracting officer does the offeror's subcontracting plan express goals in terms of a percentage of total contract dollars?	Individual plans only
	3	FAR 52.219-9(d)(2)(i) Is there a statement of the offeror's total dollars planned to be subcontracted?	Individual plans only
	4	FAR 52.219-9(d)(2)(i) Is there a statement of the offeror's total projected sales, expressed in dollars, and the total value of projected subcontracts to support the sales for a commercial plan?	Commercial plans only, not individual or master plans
	5	FAR 52.219-9(d)(2)(ii-vii) Are there statements of total dollars planned to be subcontracted for each small business category: small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors?	Individual and commercial plans only, not master plans
	6	DFARS 219.705-4(d) Are the goals in all of the small business categories (small business [including ANC and Indian tribe], veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business [including ANC and Indian tribe], women-owned small business) positive (greater than zero) or is there a justification for zero goals?	Individual and commercial plans only, not master plans
	7	DFARS 219.705-4(d) Is the proposed small disadvantaged business goal greater than five percent (5%)?	Individual and commercial plans only, not master plans If no, the proposed goal of less than five percent (5%) must be approved one level above the contracting officer.
	8	FAR 52.219-9(c) Is subcontracting separately addressed for the basic contract and for each option?	Individual plans only
	9	FAR 52.219-9(d)(3)(i-vi) Is there a description of the principal types of supplies and services to be subcontracted for each small business category: small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors?	Individual and commercial plans only, not master plans
	10	FAR 52.219-9(d)(4) Is there a description of the method used to develop the subcontracting goals?	

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	11	FAR 52.219-9(d)(5) Is there a method used to identify potential sources for solicitation purposes?	
	12	FAR 52.219-9(d)(6) Is there a statement as to whether or not indirect costs were included in establishing subcontracting goals?	
	13	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: small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors?	If indirect costs are not included, skip this question.
	14	FAR 52.219-9(d)(7) Is there an individual named who will administer the offeror's subcontracting program?	
	15	FAR 52.219-9(d)(7) Is there a description of the duties of the individual named who will administer the offeror's subcontracting program?	
	16	FAR 52.219-9(d)(8) Is there a description of the efforts the offeror will make to ensure that small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns have an equitable opportunity to compete for subcontracts?	See 19.202-1
	17	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?	
	18	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 \$750,000 (\$1.5 million for construction) with further subcontracting possibilities to adopt a plan that complies with the requirements of FAR clause 52.219-9, Small Business Subcontracting Plan?	
	19	FAR 52.219-9(d)(10)(i) Are there assurances that the offeror will cooperate in any studies or surveys as may be required?	
	20	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?	
	21	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.

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	22	<p>52.219-9(d)(10)(iv); 52.219-9 ALTERNATE III (d)(10)(iii); Class Deviation 2018-00007</p> <p>Are there assurances that the offeror will submit:</p> <ul style="list-style-type: none"> • the Individual Subcontract Report (ISR), and/or the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS) at http://www.esrs.gov <p>or</p> <ul style="list-style-type: none"> • the SF 294 in lieu of submitting the ISR when Alternate III or the class deviation is used? 	<p>The ISR is related only to the individual subcontract plan.</p> <p>The SSR is related to the individual subcontract plan and the commercial subcontract plan.</p> <p>Alternate III instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for contracts not reported in FPDS.</p> <p>Class Deviation 2018-00007 instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for orders against BOAs and BPAs.</p>
	23	<p>FAR 52.219-9(d)(10)(v); 52.219-9 ALTERNATE III (d)(10)(iv); Class Deviation 2018-00007</p> <p>Are there assurances that the offeror will ensure that its subcontractors with subcontracting plans agree to submit:</p> <ul style="list-style-type: none"> • the ISR and/or the SSR using eSRS <p>or</p> <ul style="list-style-type: none"> • the SF 294, in lieu of submitting the ISR when Alternate III or the class deviation is used? 	<p>The ISR is related only to the individual subcontract plan.</p> <p>The SSR is related to the individual subcontract plan and the commercial subcontract plan.</p> <p>Class Deviation 2018-00007 instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for orders against BOAs and BPAs.</p> <p>The SF 294 is related only to the individual subcontract plan when alternate III applies.</p> <p>Alternate III instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for contracts not reported in FPDS.</p>
	24	<p>FAR 52.219-9(d)(10)(vi)</p> <p>Are there assurances that the offeror will provide its prime contract number, its unique entity identifier (DUNS), 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?</p>	<p>The ISR is related only to the individual subcontract plan</p>
	25	<p>FAR 52.219-9(d)(10)(vii)</p> <p>Are there assurances that the offeror will require that each subcontractor with a subcontracting plan provide the prime contract number, its unique entity identifier (DUNS), 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?</p>	<p>The ISR is related only to the individual subcontract plan</p>
	26	<p>FAR 52.219-9(d)(11)(i)</p> <p>Are there assurances that the offeror will maintain 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</p>	

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		business, small disadvantaged business, and women-owned small business concerns?	
	27	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 small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns?	
	28	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 \$150,000 whether each small business category (small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors) was solicited and, if not, why not?	
	29	FAR 52.219-9(d)(11)(iii)(G) If applicable, are there assurances that offeror will maintain records of the reason award was not made to a small business concern for solicitations over \$150,000?	
	30	52.219-9(d)(11)(iv)(A) Are there assurances that the offeror will maintain records of outreach efforts to contact trade associations?	
	31	FAR 52.219-9(d)(11)(iv)(B) Are there assurances that the offeror will maintain records of outreach efforts to contact business development organizations?	
	32	FAR 52.219-9(d)(11)(iv)(C) Are there assurances that the offeror will maintain records of outreach efforts to contact conferences and trade fairs to locate small, HUBZone small, small disadvantaged, service-disabled veteran-owned, and women-owned small business sources?	
	33	FAR 52.219-9(d)(11)(iv)(D) Are there assurances that the offeror will maintain records of outreach efforts to contact veterans' service organizations?	
	34	FAR 52.219-9(d)(11)(v)(A) Are there are assurances that the offeror will maintain records of internal guidance and encouragement provided to buyers through workshops, seminars, training, etc.?	
	35	FAR 52.219-9(d)(11)(v)(B) Are there are assurances that the offeror will maintain records of internal guidance and encouragement provided to buyers through monitoring performance to evaluate compliance with the program's requirements?	
	36	FAR 52.219-9(d)(11)(vi) Are there assurances that the offeror will maintain records 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?	Not required for commercial plans

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	37	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?	See FAR 52.219-9(d)(12) (i) and (ii) for examples of when the offeror used a small business concern in preparing the bid or proposal.
	38	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?	
	39	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?	
	40	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 FAR 52.242-5
	41	FAR 52.219-9(f)(2) and DFARS 219.706 Is the master plan up to date?	Master plans
	42	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?	Commercial plans only
	43	Does the 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; c. name, title and email of the person within the company who is submitting the report	Commercial plans only
	44	Does the commercial plan list the contracts or CAGE codes and related DUNS #s of the contracts covered under the plan? Does the commercial plan identify the one awarded contract subject to the plan (contract with latest completion date)?	Commercial plans only