**SMALL BUSINESS SUBCONTRACTING PLAN**

All prime contractors designated in the System for Award Management (SAM) as “Other than Small business”, that hold a contract expected to exceed $750,000 ($1.5M for construction) are required to submit an acceptable subcontracting plan with their proposals and/or within the time limit prescribed by the contracting officer. Once accepted, the subcontracting plan will become part of the contract award.

**To be completed by Contractors as required by FAR 19.702 and including all required information as set forth at contract clause FAR 52.219-9**

**Identification Data:**

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

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

Date Prepared:                \_\_\_\_\_\_\_\_\_ Solicitation Number:                     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

Period of Plan:                                                                        \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Type of Plan (Check one):**

|  |  |
| --- | --- |
|             | Individual Plan: means a subcontracting plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror’s planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.  |
|             | Master Plan: means a subcontracting plan that contains all of the required elements of an individual contract plan, except goals, and may be incorporated into individual contract plans, provided the master plan is approved.  |
|             | Commercial Plan: means 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 entire company or a portion thereof (e.g. division, plant, or product line) |

1. **Goals (percentage and dollars) Reference: 52.219-9(d)(1)**

Estimate dollar and percentage goals for small business, HUBZone small, small disadvantaged business, women-owned small, veteran-owned small, and service-disabled veteran-owned small business in the following format. In accordance with DFARS 252.219-7003, subcontracts awarded to workshops approved by the Committee for Purchase from People who are Blind or Severely Disabled (AbilityOne) may be counted towards the contractor’s small business subcontracting goal. For individual plans, goals for each option must be provided (this includes option years for long term contracts or contract options for separate services that may or may not be exercised, but are priced). Express all dollar goals as a percentage of total planned subcontracting dollars.

NOTE: Any self-certified WOSB can be counted towards subcontracting goals, the company does not have to be eligible for the woman owned small business set aside program and/or certified at SBA’s certify.sba.gov database. VOSB and SDVOSB companies are only required to be self-certified as such, and are not required to be verified by the VA. Certified 8(a) firms should be counted under your Small Business and Small Disadvantaged Business goals (as well as any other applicable category). In order to claim credit for HUBZone small businesses, the company is required to be certified by the SBA and reflect this in SAM.

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| --- |
| **Total Estimated Dollar Value of All Planned Subcontracting/Subcontracting possibilities** **(*i.e.* all types of business concerns under this contract)** |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| 100%  | 100%  | 100%  | 100%  | 100%  |
| **Subcontracting to Large Business Concerns** **(all business concerns classified as other than small)** |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| %  | %  | %  | %  | %  |

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| --- |
| **Subcontracting to Small Business Concerns** **(Include HUBZone Small, Small Disadvantaged, Women-owned Small, Veteran-Owned Small, and Service-Disabled Veteran-Owned Small Business)** |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| %  | %  | %  | %  | %  |

|  |
| --- |
| **Subcontracting to HUBZone Small Business Concerns**  |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| %  | %  | %  | %  | %  |

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| --- |
| **Subcontracting to Small Disadvantaged Business Concerns**  |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| %  | %  | %  | %  | %  |

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| --- |
| **Subcontracting to Women-Owned Small Business Concerns**  |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| %  | %  | %  | %  | %  |

|  |
| --- |
| **Subcontracting to Veteran-Owned Small Business Concerns**  |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| %  | %  | %  | %  | %  |

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| --- |
| **Subcontracting to Service-Disabled Veteran-Owned Small Business Concerns**  |
| **Base**  | **1st Option**  | **2nd Option**  | **3rd Option**  | **4th Option**  |
| $  | $  | $  | $  | $  |
| %  | %  | %  | %  | %  |

1. **Products and/or services to be subcontracted under this contract and the types of businesses supplying them are:**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Product/Service**  | **NAICS**  | **Small Bus.**  |  | **HUB Small**  | **SDB**  | **WOSB**  | **VOSB**  | **SDVOSB**  |
|    |    |    |  |    |    |    |    |    |
|    |    |    |  |    |    |    |    |    |
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1. **Description of method used to develop the subcontracting goals (52.219-9(d)(4):**
2. **Description of the method used to identify potential sources for solicitation purposes (e.g. existing company source lists, SAM, business organizations/trade associations etc.) (FAR 52.219-9(d)(5)** **– Include in this response specific information on how you solicited potential subcontracting opportunities for this specific contract effort, what was your criteria for solicitations and how did you determine whether to use a small business or not. This does not have to include specifics for each company, but overall strategies for soliciting small businesses and determining whether they were the best value for the solicitation.**
3. **Statement of Indirect and Overhead Costs FAR 52.219-9(d)(6)**

A. Indirect and overhead costs       HAVE BEEN or       HAVE NOT BEEN included in the dollar and percentage subcontracting goals stated above. (Check one.)

B. If indirect and overhead costs HAVE BEEN included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service-disabled veteran-owned small business concerns.

1. **Program Administrator FAR 52.219-9(d)(7)**

Name:

Title:

Address:

Telephone:

Email Address:

Description of the duties of this individual:

1. **Equitable Opportunity FAR 52.219(d)(8)**

This part requires a description of efforts that your company will make to ensure that small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service-disabled veteran-owned small business concerns will have an equitable opportunity to compete for subcontracts. Please indicate which of the following activities your company is engaged in and describe any additional efforts.

A. Outreach efforts to obtain sources:

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| --- | --- |
|             | Contacting minority and small business trade associations  |
|             | Contacting business development organizations  |
|             | Requesting sources from the SAM website at http://www.SAM.gov/ or using the SBA’s “Dynamic Small Business Search”  |
|             | Attending small business focused procurement conferences/trade fairs/industry days, including agency specific events |

B. Internal efforts to guide and encourage purchasing personnel:

|  |  |
| --- | --- |
|             | Presenting workshops, seminars and training programs  |
|             | Establishing, maintaining and using small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service-disabled veteran-owned small business source lists, guides and other data for soliciting subcontracts  |
|             | Monitoring activities to evaluate compliance with the subcontracting plan Working with the agency Small Business Professional for any potential program improvements, compliance efforts |

C. Additional efforts:

1. **Clause Inclusion and Flowdown FAR 52.219-9(9)**

FAR 19.704(a) (9) requires that your company provide assurances that it will include the clause FAR 52.219-8, “Utilization of Small Business Concerns,” in all subcontracts that offer further subcontracting opportunities.

FAR 19.704(a)(9) also requires that your company agree in this plan that it will require all subcontractors, except small business concerns, that receive subcontracts in excess of $700,000 ($1,500,000 for construction) to adopt a plan that complies with the requirements of FAR 19.7, “Small Business Subcontracting Program.” And FAR 52.219-9.

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (insert company name)* agrees that the clauses will be included (as applicable) and that the plans will be reviewed against the minimum requirements for such plans. The acceptability of percentage goals for small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service-disabled veteran-owned small business concerns must be determined on a case-by-case basis depending on the supplies and services involved, the availability of potential small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service-disabled veteran-owned small business subcontractors and prior experience.

1. **Reporting and Cooperation FAR 52.219-9(10)**

Your company must provide assurances that you will:

(1) Cooperate in any studies or surveys as may be required;

(2) Submit periodic reports which show compliance with the subcontracting plan;

(3) Submit the Individual Subcontract Report (ISR), and the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS) ([http://www.esrs.gov](http://www.esrs.gov/)), following the instructions in the eSRS; The reports shall provide information on subcontract awards to small business concerns, veteran owned concerns, service disabled veteran owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, woman owned small business concerns.

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

(5) provide its prime contract number and its DUNS number and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their reports; and

(6) Require that each subcontractor with a subcontracting plan provide the prime contract number and its own DUNS number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to its subcontractors with subcontracting plans.

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (insert company name)* agrees that it will partake in these reporting activities and ensure that its subcontractors do the same.

1. **Recordkeeping FAR 52.219-9(11)**

FAR 19.704(a)(11) requires your company provide description of the types of records that will be maintained concerning procedures 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 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 to award subcontracts to them- the records shall include at least the following:

a. Source lists, guides, and other data that identify small business, veteran owned small business, service disabled veteran owned small business, and HUBZone small business, small disadvantaged business, and women owned small businesses.

b. Organizations contacted in an attempt to locate sources that are small business, veteran owned small businesses, service disabled veteran owned small business, HUBZone small business, small disadvantaged business and women owned business concerns.

c. Records on each subcontract solicitation resulting in an award of more than the simplified acquisition threshold ($250K as of December 2018) indicating:

 1. Whether small business concerns were solicited and if not, why not

 2. Whether veteran owned small business concerns were solicited and if not, why not

 3. Whether service disabled veteran owned small business concerns were solicited and if not, why not

 4. Whether HUBZone small business concerns were solicited and if not, why not

 5. Whether small disadvantaged business concerns were solicited and if not, why not

 6. Whether women owned small business concerns were solicited and if not, why not and

 7. If applicable, the reason award was not made to a small business concern

d. Records of any outreach efforts to contact:

 1. Trade associations

 2. Business development organizations

 3. Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, service disabled veteran owned, and women owned small business sources

 4. Veterans service organizations

 5. Other:

e. Records of internal guidance and encouragement provided to buyers through:

 1. Workshops, seminars, training etc.

 2. Monitoring performance to evaluate compliance with the program’s requirements

 3. Other:

f. 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. Contractors having commercial plans need not comply with this requirement.

1. **Additional Assurances (FAR 52.219-9(d)(12)-(15)**
* FAR 19.704(a)(12 and (13) requires that your company provide assurances that it will:

a. make a good faith effort to acquire articles, equipment, supplies, services or materials or obtain performance of construction work from the small business concerns that the offeror used in preparing the bid or proposal, in the same or greater scope, amount and quality used in preparing and submitting the bid or proposal. Responding to a request for quote does not constitute use in preparing a bid or proposal.

b. 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 (a) above. This written explanation will be submitted to the contracting officer within 30 days of contract completion.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (insert company name) agrees to these requirements.

* FAR 19.704(a) (14) requires that your company provide assurances that you will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (insert company name) agrees to these requirements.

* FAR 19.704(a) (15) requires that your company provide assurances that you will pay your small business subcontractors on time and in accordance with terms and conditions of the subcontract, and will notify the contracting officer if the offeror pays a reduced or untimely payment to a small business subcontractor (see FAR 52.242-5).

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (insert company name) agrees to these requirements.

In order to effectively implement this plan to the extent consistent with efficient contract performance, the contractor shall also perform the following functions:

* 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.
* 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.
* 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.
* Confirm that a subcontractor representing itself as a HUBZone small business concern is certified by SBA as a HUBZone small business concern in accordance with 52.219-8(d)(2).
* 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.
* For all competitive subcontracts over the simplified acquisition threshold in which a small business concern received a small business preference, upon determination of the successful subcontract offeror, prior to award of the subcontract the Contractor must inform each unsuccessful small business subcontract offeror in writing of the name and location of the apparent successful offeror and if the successful subcontract offeror is a small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concern.
* Assign each subcontract the NAICS code and corresponding size standard that best describes the principal purpose of the subcontract.

**I, the undersigned, a designated Officer of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name of Company) do hereby state that the company agrees to carry out the Government's policy to provide the maximum practicable opportunity for small, veteran-owned small, HUBZone small, small disadvantaged, women-owned small business concerns, to participate in the performance of this contract consistent with its efficient performance, in compliance with Public Laws 95-507, 99-661, Section 1207, and 100-180, Section 806 and the Federal Acquisition Regulation (FAR 19.7) and its supplements.**

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| **This subcontracting plan was submitted by:**  |
| Signature:  |
| Printed Name:  |
| Title: Email:  |
| Date:  |
| **This subcontracting plan was accepted by:**  |
| Signature:  |
| Printed Name:  |
| Title: Contracting Officer  |
| Date:  |