

**SECTION L****ATTACHMENT C****INSTRUCTIONS FOR SMALL BUSINESS SUBCONTRACTING PLAN**

FAR 19.708(b) prescribes the use of Section I clause FAR 52.219-9, *Small Business Subcontracting Plan*. The following is a suggested model for use when formulating such a plan. While this model has been designed to be consistent with FAR 52.219-9, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this model may cause a delay in the Plan's review and approval. The use of this model is not intended to waive other requirements that may be applicable under Section I clause FAR 52.219-9, *Small Business Subcontracting Plan*.

**I. Goals**

The Contractor's proposed annual subcontracting goals shall be submitted to the Contracting Officer 60 days prior to the beginning of each fiscal year during the term of this Contract, or by such other date as authorized by the Contracting Officer. This submittal shall include goals for Small Business concern (SB), Veteran-Owned Small Business concern (VOSB), Service-disabled Veteran-Owned Small Business concern (SDVOSB), HUBZone Small Business concern (HubZone), Small Disadvantaged Business concern (SDB), and Women-Owned Small Business concern (WOSB), collectively referred to as "small business concerns." Except for the initial plan submitted with the proposal, plans and accomplishments will be submitted through the eSRS System, or its successor (see Section V. *Reports and Surveys*). Approved goals will be incorporated into the contract annually by letter, and will not require contract modification.

The proposed goals shall be based upon the total planned subcontracting dollars, which will be derived from the current fiscal year budget. In the event that there is a significant funding change for a specific program/project at the Site, the Contractor may submit a request for goal adjustment to the Contracting Officer. The request will be supported by a detailed justification and signed by the Manager of the Small Business Liaison Office.

- (a) The goals shall be expressed in both dollars and percentages for Large Business (LB), SB, VOSB, SDVOSB, HubZone, SDB, and WOSB.
  - (1) The total estimated dollar value of all planned subcontracting (to all types of business concerns) under this Contract is \$\_\_\_\_\_ (100%)
    - (i) LB Concerns: Total estimated dollar value and percent of planned subcontracting with large businesses (all business concerns classified as "other than small"): \$\_\_\_\_\_ and \_\_\_\_% (percentage of (1) above).
    - (ii) SB Concerns: Total estimated dollar value and percent of planned subcontracting with small businesses including Alaskan Native Corporation (ANC) and Indian tribe (IT) concerns: \$\_\_\_\_\_ and \_\_\_\_% (percentage of (1) above).

- (iii) VOSB Concerns. Total estimated dollar value and percent of planned subcontracting with veteran-owned small businesses: \$\_\_\_\_\_ and \_\_\_\_\_% (percentage of (1) above). This amount is included in the amount shown under (1) (ii), above.
  - (iv) SDVOSB Concerns. Total estimated dollar value and percent of planned subcontracting with service-disabled veteran-owned small businesses, including ANC and IT concerns: \$\_\_\_\_\_ and \_\_\_\_\_% (percentage of (1) above). This amount is included in the amount shown under (1) (ii), above.
  - (v) HubZone Concerns. Total estimated dollar value and percent of planned subcontracting with HUBZone small businesses: \$\_\_\_\_\_ and \_\_\_\_\_% (percentage of (1) above). This amount is included in the amount shown under (1) (ii), above.
  - (vi) SDB Concerns. Total estimated dollar value and percent of planned subcontracting with small disadvantaged businesses: \$\_\_\_\_\_ and \_\_\_\_\_% (percentage of (1) above). This amount is included in the amount shown under (1) (ii), above.
  - (vii) WOSB Concerns. Total estimated dollar value and percent of planned subcontracting with small women-owned businesses: \$\_\_\_\_\_ and \_\_\_\_\_% (percentage of (1) above). This amount is included in the amount shown under (1) (ii), above.
- (b) A description of all the types of products and/or services that will be acquired under this Contract is necessary to determine how the subcontracted dollars are to be spent.
- (1) The following principal products and/or services will be subcontracted under this Contract, and the types of businesses supplying them are as follows:

<u>Subcontracted Product/Service</u>	<u>Business Size</u>
_____	_____
_____	_____
_____	_____

(Attachment may be used if additional space is required.)

- (2) Include a description of the method used to develop the subcontracting goals for SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns. For example, explain the method and state the quantitative basis (in dollars) used to establish

the percentage goals; how the areas to be subcontracted to SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns were determined; and how the capabilities of SB, VOSB, SDVOSB, HubZone, SDB, and WOSB were determined. Include any source lists used in the determination process.

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- (3) Indirect cost have\_\_\_\_ have not \_\_\_\_ been included in the dollar and percentage subcontracting goals stated above. (Check one)
- (4) If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns.

## **II. PROGRAM ADMINISTRATOR**

The subcontracting plan is to be administered by the Contractor to assure that the provisions of applicable law and the plan are implemented and performed. Any change in the name of the program administrator will be communicated without delay to the Contracting Officer by letter and will not require an immediate contract modification. Such change(s), if any, will be included in the next applicable supplemental agreement contract modification.

The name, title, position within the corporate structure, and duties and responsibilities of the employee who will administer the Contractor's subcontracting program.

Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone #: \_\_\_\_\_  
 Facsimile #: \_\_\_\_\_  
 E-Mail: \_\_\_\_\_

Duties: Has general overall responsibility for the Contractor's subcontracting program, i.e., developing, preparing, and executing individual subcontracting plans and monitoring performance relative to the requirements of this particular plan. The actual duties of how the administrator will carry out the requirements of this individual plan should be stated here. These duties may include, but are not limited to, the following activities:

- (1) Develop and maintain bidders lists of SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns from as many sources as possible.
- (2) Ensuring that procurement packages are structured to permit participation of SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns to the maximum extent possible.

- (3) Ensure inclusion of SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns whose capabilities coincide with solicitations requiring their products or services.
- (4) Review solicitations to identify and remove any statements, clauses, etc., which may restrict or prohibit participation of SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns.
- (5) Review Large Business Subcontracting Plans for utilization of SB, SDB, WOSB, HUBZone SB, VOSB and SDVOSB subcontracting plans in connection with supply and/or service subcontract awards exceeding the thresholds specified in FAR 52.219-9, *Small Business Subcontracting Plan*.
- (6) Ensure proper documentation provided by bid proposal board if selection not made to SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concern that provided low bid.
- (7) Ensure establishment and maintenance of records of solicitations and subcontract award activity.
- (8) Attend or arrange for attendance of company counselors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
- (9) Monitor achievement of proposed goals.
- (10) Prepare and submit semi-annual and annual subcontract reports.
- (11) Coordinate Contractor's activities prior to and during conduct of Federal agency compliance reviews.
- (12) Other duties include:

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### **III. EQUITABLE OPPORTUNITIES AND OUTREACH EFFORTS**

Describe efforts the offeror will make to ensure that SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns will have an equitable opportunity to compete for and secure subcontracts. These efforts may include, but are not limited to, the following activities:

- (a) Outreach efforts to obtain sources:
  - (1) Contacting minority and small business trade associations;

- (2) Contacting business development organizations;
- (3) Attending small and minority business procurement conferences and trade fairs;
- (4) Requesting sources from the SAM (System for Award Management) and Dynamic Small Business Search (DSBS);
- (5) Utilizing newspapers and magazine ads to encourage new sources;
- (6) Other participation in efforts or activities to expand the socioeconomic database for this contract;
- (7) Utilizing book references, catalogs, source lists, or other reference material to identify SB, VOSB, SDVOSB, HubZone, SDB, and WOSB sources before the acquisitions are placed by the buying activities; and
- (8) Additional Efforts:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) Internal efforts to guide and encourage purchasing personnel:

- (1) Presenting workshops, seminars, and training programs on requirements of this plan;
- (2) Establishing, maintaining, and using SB, VOSB, SDVOSB, HubZone, SDB, and WOSB source lists, guides, and other data for soliciting subcontracts;
- (3) Monitoring activities to evaluate compliance with the subcontracting plan; and
- (4) Additional Efforts \_\_\_\_\_

#### IV. **SUBCONTRACTING PLAN FLOWDOWN**

The Contractor agrees to include the contract's Section I clause FAR 52.219-8, *Utilization of Small Business Concerns*, in all subcontracts that offer further subcontracting opportunities. All subcontractors, except small business concerns, which receive subcontracts in excess of the thresholds identified in FAR 52.219-9, *Small Business Subcontracting Plan*, must adopt and comply with a plan similar to the plan required by FAR 52.219-9. The acceptability of percentage and dollar goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential SB, SDB, WOSB, HUBZone SB, VOSB, and SDVOSB, and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, including those submitted via eSRS, and/or, as time and availability of funds permit, periodic visits to subcontractors' facilities to review applicable records and subcontracting program progress.

#### V. **REPORTS AND SURVEYS**

The Contractor shall:

- (a) Cooperate in any studies or surveys that may be required by the contracting agency, or the U.S. Small Business Administration (SBA).
- (b) Provide periodic reports to the contracting agency, in an agreed upon format, that shows compliance with the subcontracting plan.
- (c) Submit the Individual Subcontracting Report (ISR) and the Summary Subcontract Report (SSR), using the Electronic Subcontracting Reporting System (eSRS) at <http://www.esrs.gov>. The Contractor shall be responsible for inputting accurate and complete reports into the eSRS and shall ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS. The following are the reporting periods and due dates for the ISR and SSR:

<u>Reporting Period</u>	<u>Report Due</u>	<u>Due Date</u>
October 1 - March 31	ISR	April 30
April 1 - September 30	ISR	October 30
October 1 - September 30	SSR	October 30

#### VI. **RECORDS AND PROCEDURES**

The following is a recitation of the types of records and procedures the Contractor will maintain to demonstrate compliance with the requirements and goals in the subcontracting plan. These records will include, but are not limited to the following:

- (a) If the Prime contractor is not using SAM as its source for SB, VOSB, SDVOSB, HubZone, SDB, and WOSB concerns, list the names of guides and other data identifying such vendors;
- (b) Records of organizations contacted in an attempt to locate SB, VOSB, SDVOSB, HubZone, SDB, and WOSB sources;
- (c) On a contract-by-contract basis, records on each subcontract solicitation resulting in an award of more than the threshold identified in FAR 52.219-9, *Small Business Subcontracting Plan*, indicating whether SB, VOSB, SDVOSB, SDB, and WOSB concerns were solicited, and if not, why not; and if applicable, the reason that the award was not made to a small business concern;
- (d) Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
- (e) Records to support internal guidance and encouragement provided to buyers through (1) workshops, seminars, training programs, incentive awards; and (2) monitoring of activities subcontract award data including the name, address, and business size of each subcontractor;
- (f) On a contract-by-contract basis, records to support subcontract award data including the name, address, and the business size (by NAICS Code) of each subcontractor;
- (g) Procurement data, which is tracked by an automated system that provides historical data, related to each subcontract;
- (h) 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; and
- (i) Additional Records: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This subcontracting plan was submitted by:

Signed: \_\_\_\_\_

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

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

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

Phone No.: \_\_\_\_\_

PLAN CONCURRED ON BY:

\_\_\_\_\_  
NNSA Small Business Program Manager

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

PLAN ACCEPTED BY:

\_\_\_\_\_  
NNSA Contracting Officer

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