

# M&O SUBCONTRACT REPORTING CAPABILITY (MOSRC)

GUIDE FOR M&O CONTRACTORS



Federal Sponsor Office:	OSDBU (SB-1)
Federal Project Manager Office:	Office of Acquisition Management Systems Division (MA-623)
Submission Date:	02/08/2022
Version:	1.7

## CHANGE LOG

Version number	Date	Summary of changes
1.0	4/21/2015	Initial final version.
1.1	8/5/2015	Clarified reportable actions, added data submission certification, added changes approved in CR 169 - UNSPSC Code, renumbered fields to remove obsolete fields, added data validations (Appendix A).
1.2	9/9/2015	Minor clarification updates.
1.3	11/5/2015	Incorporated changes approved in CR 179 - Provide a Zip+4-Country Code Principal Place of Performance Lookup Option. Updated guidance for foreign vendors and place of performance. Added and clarified terminology.
1.4	1/7/2016	Incorporated clarifications of socioeconomic flags from SBA. Clarified data expectations and updated validation rules based on feedback from FY2015 interim reporting activities. Clarified the description of the interface between SAM.gov and MOSRC. Updated proposed validation rules on NAICS codes. Updated the Share External Flag to handle records identified by M&Os as potentially containing proprietary information, per CR 185. Updated the type of the Modification Number, per CR 187.
1.5	4/28/2016	Updated the definition of Eligible Actions to clarify expectations for reporting actions with classified information or controlled unclassified information. Described the process used to populate Field 58 when pulling in data from SAM.gov and provided recommendations for M&Os when submitting data. Reconciled Appendix A against as-built MOSRC validations. Updated the formatting of Table 4.1.1 and Appendix A.
1.6	4/2/2018	Updated metadata for following fields in Section 4.1 (Table 4.1-1) and Appendix A (Table A-1): SUB_OBLIGATED_DOLLARS, SUB_PRINCIPAL_NAICS_CODE, and SUB_ANNUAL_REVENUE. Added Appendix B to clarify guidance for use of NAICS Industry Sectors 42, 44, and 45. Added references to Appendix B in Section 4.1 (Table 4.1-1) and Appendix A (Table A-1).
1.7	2/8/2022	Updated references and tables to reflect changeover from DUNS to UEI.

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## 1 INTRODUCTION

This document defines the Department of Energy's (DOE) objectives for the prime contractors participating in the M&O Subcontract Reporting Capability (MOSRC). This document is organized in the following major sections.

- Section 1 provides an introduction to the MOSRC project.
- Section 2 describes the operational concept for the new capability and defines key terminology.
- Section 3 states the objectives.
- Section 4 addresses the data requirements.
- Appendix A describes the data validations that the MOSRC Application will use to validate submitted data.

### 1.1 PROJECT BACKGROUND

The Consolidated Appropriations Act of 2014, Title III, Section 318 authorized DOE to count 1<sup>st</sup> tier subcontracts awarded by its M&O contractors to small businesses toward accomplishment of its annual small business goals.

However, DOE does not currently collect the full complement of data required by the Small Business Administration (SBA) to establish annual goals and to track associated performance that will adequately account for the first-tier subcontract activity. Section 15(g)(1) of the Small Business Act indicates, "the Government-Wide goal for participation by small business concerns shall be established at not less than 23 percent of the total value of all prime contract awards for each fiscal year."

SBA's Office of Government Contracting calculates small-business participation goals for each agency or department using a methodology that include both historical achievement and projected opportunity for expanded small-business participation. In order to meet SBA's reporting, analysis, and prime goal setting needs, the SBA has identified 57 required data elements that DOE will need to provide from its M&O first-tier subcontracting.

Currently, the DOE does not collect this set of subcontract data in a centralized repository that can be used to meet the SBA's needs. DOE's M&O contractors have independent, diverse business systems that they use to manage subcontracting activities. These systems currently capture some (but not all) of the 1<sup>st</sup> tier subcontract information required by the SBA to support transparency and accountability.

After extensive analysis, DOE and SBA concluded that the DOE does not currently collect the data required by the SBA, nor is there a system in existence that will capture the data required. For that reason, the DOE is spearheading the development of the M&O Subcontract Reporting Capability (MOSRC) Project to collect key information about each first-tier subcontract action that is awarded by each M&O contractor.

### 1.2 MOSRC OBJECTIVES

The core objective of this project is to collect and provide the data needed by the SBA to enable the DOE to receive full credit toward achievement of DOE small business prime contracting goals for first-tier M&O subcontracts.

Accomplishing this objective will enable the DOE to accurately reflect the DOE's ongoing commitment to working with small businesses. This capability is essential in achieving recognition for the DOE's unique business model that leverages the resources of our M&O contractors to accomplish the DOE's mission.

## 2 OPERATIONAL CONCEPT OVERVIEW & DEFINITIONS

The following sections provide a brief overview of the MOSRC operational environment and define key terminology.

### 2.1 OPERATIONAL ENVIRONMENT

The following diagram shows how the MOSRC is expected to interact with organizational stakeholders.

The MOSRC will collect, validate, correct, store, and report all eligible M&O first-tier subcontract data.

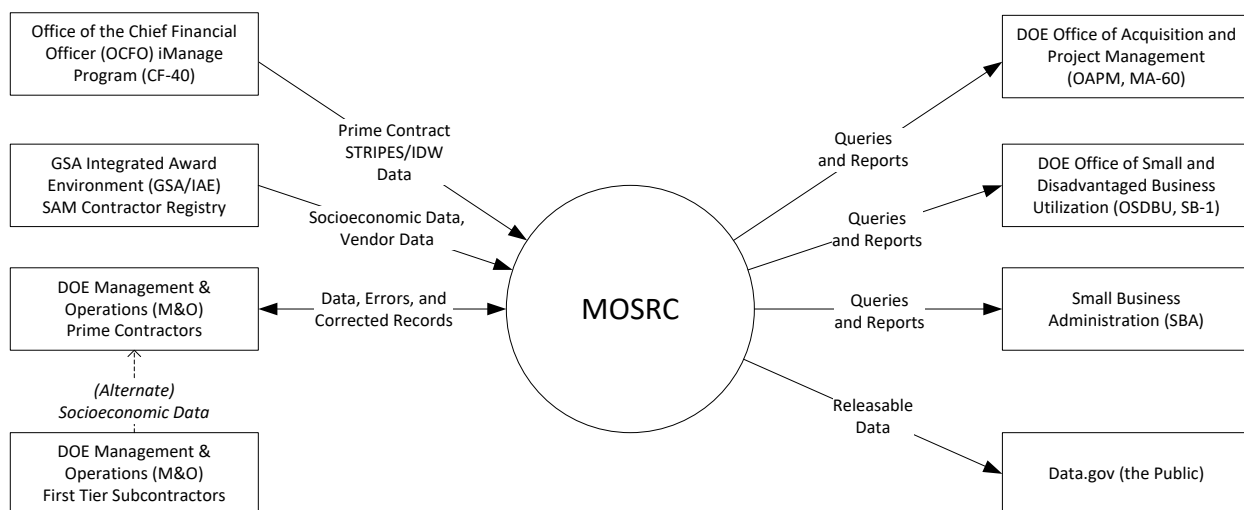


Figure: Organizational Context Diagram

The following paragraphs provide a brief description of each expected flow of information.

The OCFO/iManage Program provides the core MOSRC infrastructure, and will provide information about prime contracts. iManage will also obtain information from SAM.gov and other authoritative sources for use in validating and/or populating required data.

The GSA/IAE SAM Contractor Registry will provide information for first-tier subcontractors registered with SAM.

The M&O Prime Contractors will provide data about eligible subcontracts to the MOSRC. This will include information on new subcontracts, information on modified subcontracts, and correcting information, as needed. If subcontractors are not registered in SAM, the Prime Contractors will also provide information on subcontractor representations and certifications.

Internal DOE entities, such as MA-60 and the OSDBU (SB-1), will use data collected and stored by the MOSRC.

The MOSRC will report data to the Small Business Administration (SBA).

The MOSRC will publish data in a publicly accessible location (e.g. Data.gov).

## 2.2 DEFINITION OF KEY TERMINOLOGY

The following table defines key terminology that is used in the MOSRC Guide or by the MOSRC Project community.

Term	Definition
<b>Action and/or Transaction</b>	<p>Action and Transaction are used interchangeably in the MOSRC Project community.</p> <p>By this, we mean any awarded contract, agreement, order, or modification, etc. (other than one involving an employer-employee relationship) entered into by a DOE M&amp;O prime contractor calling for supplies and services (including construction) required solely for performance of the prime contract.</p>
<b>Authoritative Source</b>	<p>An authoritative source is either the originating author of content, or a recognized system of record that has a defined, acceptable method to collect, validate, store, and publish data. Examples include:</p> <ul style="list-style-type: none"> <li>• First Tier Subcontractor – originating author of vendor data.</li> <li>• M&amp;O Contractor – originating author of subcontract data, including vendor representations and certifications.</li> <li>• System for Award Management (SAM) – system of record for vendor data, including socioeconomic indicators, address information, and size information.</li> <li>• United States Census Bureau – NAICS codes and descriptions.</li> </ul>
<b>Contractor</b>	The M&O prime contractor.
<b>Eligible Action</b>	<p>For MOSRC, eligible actions are any first-tier subcontract awards or modifications (<b>both Small Business and Other Than Small Business</b>) that the contractor would be required to report to the Electronic Subcontract Reporting System (eSRS) as part of a Summary Subcontract Report, as defined in FAR Subpart 19.704.</p> <p>Eligible actions include both new first-tier subcontract awards and any first-tier subcontract award modifications, regardless of dollar value. No actions with classified information or controlled unclassified information (CUI) should be reported to MOSRC.</p> <p>Eligible actions do NOT include grants, cooperative agreements, other transactions, real property leases, requisitions from Federal stock, training authorizations, or other non-FAR based transactions.</p> <p>Eligible actions do NOT currently include common, one-off Purchase Card transactions. If however, a Purchase Card is simply used as the method of payment for an order against a Blanket Purchase Agreement (BPA) or a similar vehicle where the required MOSRC data can be collected, then those transactions should be included.</p> <p>The following paragraphs provide additional definition of eligible subcontracts, based on the 13 CFR 125.3(a)(1):</p> <p><i>“Subcontract under this section means any agreement (other than one involving an employer-employee relationship) entered into by a Government prime contractor or subcontractor calling for supplies and/or services required for performance of the contract or subcontract (including modifications).</i></p> <p><i>(i) Subcontract award data reported by prime contractors and subcontractors shall be limited to awards made to their immediate next-tier subcontractors. Credit cannot be taken for awards made beyond the immediate next-tier... (exclusions omitted)(ii) Only subcontracts involving performance in the United States or its outlying areas should be</i></p>

Term	Definition
	<p><i>included, with the exception of subcontracts under a contract awarded by the U.S. Department of State or any other agency that has statutory or regulatory authority to require subcontracting plans for subcontracts performed outside the United States and its outlying areas and subcontracts for foreign military sales unless waived in accordance with agency regulations.</i></p> <p><i>(iii) The following should not be included in the subcontracting base: internally generated costs such as salaries and wages; employee insurance; other employee benefits; payments for petty cash; depreciation; interest; income taxes; property taxes; lease payments; bank fees; fines, claims, and dues; Original Equipment Manufacturer relationships during warranty periods (negotiated up front with product); utilities such as electricity, water, sewer, and other services purchased from a municipality or solely authorized by the municipality to provide those services in a particular geographical region; and philanthropic contributions. Utility companies may be eligible for additional exclusions unique to their industry, which may be approved by the contracting officer on a case-by-case basis. Exclusions from the subcontracting base include but are not limited to those listed above."</i></p> <p>Note: M&amp;O should apply existing guidance and interpretation of 13 CFR 125.3(a)(1) (iii) in determining whether any action should be included in the subcontracting base. The MOSRC does not seek to redefine the subcontract reporting requirements. Existing exemptions from eSRS subcontracting base reporting should apply to the MOSRC.</p>
<b>First-Tier Subcontract</b>	<p>First-tier subcontract means a subcontract awarded directly by an M&amp;O Contractor for the purpose of acquiring supplies or services (including construction) for performance of the prime contract. It does not include an M&amp;O Contractor's supplier agreements with vendors, such as long-term arrangements for materials or supplies that would benefit multiple contracts and/or the costs of which are normally applied to an M&amp;O Contractor's general and administrative expenses or indirect cost.</p>
<b>Small Business</b>	<p>The following paragraphs provide additional definition of small business definitions, based on the 13 CFR 121.404(e):</p> <p><i>"For subcontracting purposes, a concern must qualify as a small business as of the date that it certifies that it is small for the subcontract. The applicable size standard is that which is set forth in § 121.410 and which is in effect at the time the concern self-certifies that it is small for the subcontract."</i></p> <p>The following paragraphs provide additional definition of small business definitions, based on the 13 CFR 121.410:</p> <p><i>"For subcontracting purposes pursuant to sections 8(d) of the Small Business Act, a concern is small for subcontracts which relate to Government procurements if it does not exceed the size standard for the NAICS code that the prime contractor believes best describes the product or service being acquired by the subcontract. However, subcontracts for engineering services awarded under the National Energy Policy Act of 1992 have the same size standard as Military and Aerospace Equipment and Military Weapons under NAICS code 541330."</i></p>
<b>Subcontractor</b>	<p>The first-tier subcontractor to the DOE prime contractor (i.e. "contractor").</p>

### 3 OBJECTIVES

The following sections state the objectives for the M&O prime contractors.

#### 3.1 OBJECTIVES

The following objectives have been defined for the M&O contractors.

3.1.1.0 The contractor shall perform the following one-time activities:

3.1.1.1 Enhance or establish business processes to obtain the applicable required data (see Table 4.1-1) from first-tier sub-contractors and/or other authoritative sources, as needed, for all eligible actions.

3.1.1.2 Enhance or establish business systems to capture the applicable required data (see Table 4.1-1) for all eligible actions.

3.1.1.3 Develop and implement a process to provide the required data (see Table 4.1-1) to the MOSRC. The process shall perform the following activities:

- Extract required data for all eligible actions in the required format
- Report extracted data to the MOSRC
- Receive and analyze MOSRC validation errors and warnings
- Correct data based on analysis of MOSRC errors and warnings
- Resubmit corrected data

3.1.2.0 The contractor shall perform the following activities on a monthly basis:

3.1.2.1 Extract all required data for all eligible actions in the required format from contractor business systems.

3.1.2.1.1 Required data. See Figure 3.2-1 for summary of required data:

	Small Business (2.1.1.2)	Other Than Small Business (2.1.1.1)
Vendor registration is current in SAM	<ul style="list-style-type: none"> <li>• MUST: Provide 17 fields from Column A: All Transactions (2.1.1.2.1).</li> <li>• OPTIONAL: Provide any of the 44 fields from Column B: Small Business Transactions.</li> <li>• MOSRC will validate against SAM. MOSRC provides warnings if inconsistencies are found.</li> </ul>	<ul style="list-style-type: none"> <li>• MUST: Provide 17 fields from Column A: All Transactions</li> <li>• OPTIONAL: Provide any of the 44 fields from Column B: Small Business Transactions.</li> <li>• MOSRC will validate against SAM. MOSRC provides warnings if inconsistencies are found.</li> </ul>
Not in SAM / Not current	<ul style="list-style-type: none"> <li>• MUST: Provide 44 required fields from Column B: Small Business Transactions (2.1.1.2.2).</li> </ul>	

Figure 3.2-1 Required Data by Determination of Business Size and SAM Registration Status

3.1.2.1.1.1 For all “Other Than Small Business” actions (as designated by the Subcontract Determination of Business Size by Prime Contractor data element), the contractor must provide the data elements marked “Yes” in column **A: All Transactions (Source: M&O)** in Table 4.1-1.

3.1.2.1.1.2 For all “Small Business” actions (as designated by the Subcontract Determination of Business Size by Prime Contractor data element), the contractor must provide the data elements marked “Yes” in column **B: All Transactions (Source: M&O)** in Table 4.1-1.

3.1.2.1.1.2.1 The MOSRC will never alter any data submitted by the contractor. However, with prior consent from the contractor, the MOSRC will augment (fill in) some data elements in column **B: All Small Business Transactions (Source: M&O)** in Table 4.1-1 that are left blank by the contractor, if the data exists in SAM and if the vendor’s SAM record can be discovered unambiguously using the DUNS / UEI number provided by the contractor.

Fields from Table 4.1-1 that can be populated from SAM for the first action reported for a PIID are:

- Fields 26 through 32 (address information)
- Fields 33 through 34 (size information)
- Fields 35, 36, 63 (affiliation information)
- Fields 43 through 57 (socio-economic flags)
- Field 58 (privacy flag)
  - Note: Even though MOSRC *can* populate Field 58 from SAM.gov data, M&Os may always want to populate Field 58 because the “No Public Display” flag in SAM is used for a different purpose than the SHARE\_EXTERNAL flag (Field 58) is used in MOSRC.
  - Background: If the M&O does not populate Field 58, MOSRC (with the M&O’s permission) will populate Field 58 based on the value of the “No Display” field in SAM.
    - In SAM.gov, if this field is “NPDY” (which means “No Public Display”), the entire record is excluded from public search results on SAM.gov. If the M&O leaves Field 58 blank, then MOSRC will populate Field 58 with “NO.”
    - If the “No Public Display” field in SAM.gov is null (which means that “public display is authorized”), then the vendor’s SAM.gov record, except for the FOUO fields (MOSRC fields 33-36), are included in public search results. If the M&O leaves Field 58 blank, then MOSRC will populate Field 58 with “YES.” This may be a problem because the vendor authorized SAM to publish their non-FOUO data to the public, not necessarily their FOUO data (i.e. Annual Revenue, Number of Employees).

For subsequent actions for a PIID, fields that can be updated from SAM are:

- Fields 26 through 32 (address information)
- Fields 35, 36, 63 (affiliation information)
- Field 58 (privacy flag) (*please see note and background earlier in this section*)

The contractor must still provide all other data elements marked “Yes” in column **A: All Transactions (Source: M&O)** in Table 4.1-1.

3.1.2.1.1.2.2 The MOSRC will never alter any data submitted by the contractor. However, with prior consent from the contractor, the MOSRC will augment (fill in) some data elements in column **A: All Transactions (Source: M&O)** in Table 4.1-1 that are left blank by the contractor, if the data exists in the Place of Performance Address Lookup Data and if the address record can be discovered unambiguously using the Zip+4 and Country Code provided by the contractor.

Fields from Table 4.1-1 that can be populated from address lookup data are:

- Fields 38 through 41 (principal place of performance)

The contractor must still provide all other data elements marked “Yes” in column **A: All Transactions (Source: M&O)** in Table 4.1-1.

3.1.2.1.2 Eligible actions.

3.1.2.1.2.1 The monthly data extract must include all eligible actions (see definition of eligible actions) that were signed within the previous calendar month (based on the Date Signed of each action).

3.1.2.1.3 Format.

3.1.2.1.3.1 The extracted data file must be exported in the Comma-Separated-Value (CSV) format (IETF RFC 4180). Note: IETF RFC 4180 is referenced to provide guidance for how to handle special characters, commas, and line breaks in the data.

3.1.2.1.3.1.1 Do not provide a header row.

3.1.2.1.3.2 The data elements in the extracted data file must be provided in the sequence designated by the **Data Element #** column defined in Table 4.1-1.

3.1.2.1.3.3 The data elements in the extracted data file must be formatted in accordance with the guidance given in the **Format** and **Max Length** columns defined in Table 4.1-1.

3.1.2.2 Report extracted data to the MOSRC.

3.1.2.2.1 The Contractor must log into the MOSRC reporting utility with valid credentials (to be provided by DOE) and upload the data extract file defined in 2.1.

3.1.2.2.1.1 Before uploading the data, the Contractor must check a box certifying that, to the best of their knowledge, the submitted data accurately represents the Contractor’s subcontracting actions.

3.1.2.2.2 Contractors must ensure that the prior month’s data is reported no later than the 20th of the month. If these deadlines fall on a weekend or holiday, or if the MOSRC system is unavailable, information must be submitted no later than the next business day.

Example: All actions signed in May must be reported by the 20<sup>th</sup> of June.

3.1.2.3 Receive and analyze MOSRC validation errors and warnings.

MOSRC will send two types of validation notifications:

- **Errors**
  - File Format errors prevent MOSRC from interpreting the provided file. Any data in the file cannot be saved in the database. A corrected file must be submitted.
  - Errors with the subcontract base. These errors indicate a significant issue with contractor’s business systems and/or processes. Data Elements: Prime Contract PIID, Date Signed, Obligated Dollars, Subcontract PIID, Subcontract Modification Number. These must be fixed in order to accurately generate summary metrics for the contractor’s entire set of data.
  - Validation errors report conditions that prevent MOSRC from reporting individual records to SBA and must be fixed by the end of the fiscal year reporting window in order to receive credit. Examples include: missing data, inconsistent data (e.g. zip code doesn’t match city and state), out-of-range data (e.g. obligation amount exceeds total amount of the prime contract).

- **Warnings**

- Warnings inform the contractor of potential issues with the submitted data that may be reviewed and addressed at the contractor's discretion. Records with warnings can still be reported to SBA and the contractor can receive credit. Examples: SUB\_HUBZONE\_FLAG is "Yes" in contractor-submitted data, but "No" in SAM.

#### 3.1.2.4 Correct data based on analysis of MOSRC errors and warnings

3.1.2.4.1 Warnings may be corrected by the contractor in their business systems, at their discretion.

3.1.2.4.2 Errors must be corrected by the contractor in their business systems and resubmitted to MOSRC if small business credit for the action is to be granted.

#### 3.1.2.5 Resubmit corrected data.

3.1.2.5.1 Resubmit corrected data in response to MOSRC errors or warnings. Correcting files and/or records must be resubmitted within the specified timeframe (see below).

3.1.2.5.1.1 File Format error corrections must be resubmitted as soon as possible.

3.1.2.5.1.2 Corrections to errors with the subcontract base must be resubmitted by the next reporting period deadline (i.e. 20<sup>th</sup> of the following month).

3.1.2.5.1.3 Corrections to validation errors may be resubmitted by the contractor at any time, at their discretion. However, in order to receive small business credit for the current fiscal year, corrections must be submitted no later than 90 days after the end of the fiscal year in which the action was signed.

3.1.2.5.1.4 At their discretion, contractors may submit corrections to warnings. These corrections may be submitted at any time.

3.1.2.5.2 M&Os may submit self-identified corrections at any time for actions occurring in any time period.

Note: the MOSRC uses the Subcontract Identifier (SUB\_PIID), Subcontract Modification Number (SUB\_MODIFICATION\_NUMBER), and the timestamp of submission to uniquely identify submissions.

## 4 DATA REQUIREMENTS

The following section describes the requirements associated with the data that will be managed by the capability.

### 4.1 REQUIRED DATA

The following data elements represent the list of data elements that the M&Os must provide. The columns in the table indicate the source of the data. Data can either be a) provided by an M&O for all transactions or b) provided by an M&O for small business transactions.

Table 4.1-1

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
1	PRIME_CONTRACT_PIID	Prime Contract Procurement Instrument Identifier	The unique Prime Contractor identifier as it is recorded on the original (or base) contract in FPDS-NG. NOTE: No dashes or spaces.	Alphanumeric	50	Yes	Yes	GSP0810JA5124
3	SUB_DUNS	Subcontract DUNS Number	The Subcontracting DUNS Number. The Data Universal Numbering System (DUNS) Number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B).	Alphanumeric	9	Yes (req'd for actions until 4/3/22, optional after)	Yes (req'd for actions until 4/3/22, optional after)	123456789
4	SUB_VENDOR_NAME	Subcontract Vendor Name	The legal name of the vendor supplying the product or service.	Alphanumeric	120	Yes	Yes	DESIGN EDGE PC, INC.
5	SUB_PIID	Subcontract Procurement Instrument Identifier	The unique identifier for each subcontract, agreement or order, by the prime contract.	Alphanumeric	50	Yes	Yes	A1234567
6	SUB_MODIFICATION_NUMBER	Subcontract Modification Number	An identifier issued by the prime contractor that uniquely identifies one modification for one contract, agreement, order, etc. For any given Subcontract PIID, all Modification Numbers must be unique. The initial (Base) subcontract modification number should always be 0.	Numeric	25	Yes	Yes	0

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
7	SUB_DATE_SIGNED	Subcontract Date Signed	The 'commitment' date that a mutually binding agreement was reached. The date signed by the prime contractor or the subcontractor (if appropriate), whichever is later.	Numeric MMDDYYYY	8	Yes	Yes	12012010
9	SUB_OBLIGATED_DOLLARS	Subcontract Obligated Dollars	The net dollar amount on a commitment basis ( <u>not</u> on a payment basis) of the action. Enter the net amount (in dollars and cents) for this action. If the net amount is zero, enter zero. If the net amount is negative, enter a minus sign in addition to the net amount.  Note: ESRS defined "Commitment Basis" as, "The process of capturing subcontract dollars when you execute the subcontract award documents."	Signed numeric. Minus sign required for negative values. Commas and decimals allowed, but not required.	15 (does not include commas, decimals, or decimal places)	Yes	Yes	-50000 -50000.00 -50,000.00
10	SUB_PRIME_BUSINESS_SIZE_DETERMINATION	Subcontract Determination of Business Size by Prime Contractor	The prime contractor's determination of whether the selected subcontractor meets the small business size standard for award to a small business for the NAICS code that is applicable to the contract. The options are: "Small Business" or "Other than Small Business"	Alphanumeric  No blank (empty/null) values.	25	Yes	Yes	SMALL BUSINESS
11	SUB_PRINCIPAL_NAICS_CODE	Subcontract Principal NAICS Code	Report the principal North American Industry Classification System (NAICS) code that is applicable to the contract. Must be a valid 6 character NAICS code. See Appendix B for guidance regarding the use of NAICS Industry Sectors 42, 44, and 45.	Numeric	6	Yes	Yes	541320
13	SUB_DESCRIPTION_OF_REQUIREMENT	Subcontract Description of Requirement	A brief description of the goods or services purchased or available in the subcontract or award.	Alphanumeric	4000	Yes	Yes	INSTALL METAL DOOR
26	SUB_VENDOR_ADDRESS_LINE_1	Subcontract Vendor Address Line 1	The first line of the street address for the subcontractor. (Based on vendor physical address associated with the DUNS / UEI number.) Required for domestic vendors. Not required for foreign vendors.	Alphanumeric	400		Yes, for domestic vendors.	711 N CASCADE AVE
27	SUB_VENDOR_ADDRESS_LINE_2	Subcontract Vendor Address Line 2	The second line of the street address for the subcontractor. (Based on vendor physical address associated with the DUNS / UEI number.) Optional for domestic vendors. Not required for foreign vendors.	Alphanumeric	400		Optional	APT. 1000
28	SUB_VENDOR_ADDRESS_CITY	Subcontract Vendor Address City	The city of the subcontractor's address. (Based on vendor physical address associated with the DUNS / UEI number.)	Alphanumeric	35		Yes, for domestic	COLORADO SPRINGS

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
			Required for domestic vendors. Not required for foreign vendors.				tic vendors.	
29	SUB_VENDOR_ADDRESS_STATE_CODE	Subcontract Vendor Address State Name	The 2 character state code of the subcontractors address. (Based on vendor physical address associated with the DUNS / UEI number.) Required for domestic vendors. Not required for foreign vendors.	Alphanumeric	2		Yes, for domestic vendors.	CO
30	SUB_VENDOR_ADDRESS_ZIP_CODE	Subcontract Vendor Address Zip Code	The ZIP +4 (or valid foreign postal code) of the subcontractor address. Note: this is based on the vendor's physical address associated with the DUNS / UEI number. Required for domestic vendors. Not required for foreign vendors.	Domestic: Numeric zip + 4 (no hyphens). Foreign: Valid postal code.	12		Yes, for domestic vendors.	809033283
31	SUB_VENDOR_ADDRESS_COUNTRY_CODE	Subcontract Vendor Address Country Name	The ISO 3166-1 alpha-3-formatted country code of the subcontractor address. (Based on vendor physical address associated with the DUNS / UEI number.)  Required for both foreign and domestic vendors.	Alphanumeric	3		Yes, for domestic and foreign vendors.	USA
32	SUB_VENDOR_CONGRESSIONAL_DISTRICT	Subcontract Vendor Congressional District	Indicates the congressional district of the subcontractor. For subcontractors with U.S. addresses, use ZIP+4 from "Contractor Address" to index into a table of congressional districts. (Based on vendor physical address associated with the DUNS / UEI number.) Use "00" for "At Large" districts (e.g., Delaware) and "99" for unrepresented areas (e.g., D.C.). Required for domestic vendors. Not required for foreign vendors.	Numeric	6		Yes, for domestic vendors.	5
33	SUB_ANNUAL_REVENUE	Subcontract Annual Revenue	This is the average receipts over the last three completed fiscal years <sup>(1)</sup> , including receipts of the parent organization, all branches, and all affiliates worldwide, and not just the size data associated with the entity location represented by the specific DUNS / UEI number you are registering. This information may be used to review your business size using SBA's official size standards for your industry. (1 Average reported receipts will be based on your organization's fiscal year.)	Numeric. Commas and decimals allowed, but not required.	15 (does not include commas, decimals, or decimal places)		Yes	50000 50000.00 50,000.00

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
34	SUB_NUMBER_OF_EMPLOYEES	Subcontract Average Number of Employees	This is the Average Number of Employees including all affiliates. The average number of persons employed for each pay period over the firm's latest 12 months, including persons employed by the parent organization, all branches, and all affiliates worldwide. This information may be used to review your business size using SBA's official size standards for your industry.	Numeric Whole number format.	15		Yes	9
35	SUB_GLOBAL_DUNS_NUMBER	Subcontract Global Parent DUNS Number	This is the Subcontracting Vendor's parent organization's DUNS NUMBER. The Data Universal Numbering System (DUNS) Number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B).	Numeric	9		Yes (req'd for actions until 4/3/22, optional after)	123456789
36	SUB_GLOBAL_VENDOR_NAME	Subcontract Global Vendor Name	This is the legal business name of the global parent entity of the subcontracting Vendor.	Alphanumeric	120		Yes	DESIGNERS INCORPORATED
37	SUB_PLACE_OF_PERFORMANCE_COUNTRY_CODE	Subcontract Place of Performance Country Code	Country code of the principal plant or place of business where the items will be produced, supplied from stock, or where the service will be performed. This is the ISO 3166-1 alpha-3-formatted. Required for domestic principal place of performance.	Alphanumeric	3	Yes	Yes	USA
38	SUB_POP_CONGRESSIONAL_DISTRICT	Subcontract Place of Performance Congressional District	Congressional Code of the principal plant or place of business where the items will be produced, supplied from stock, or where the service will be performed. Use "00" for "At Large" districts (e.g., Delaware) and "99" for unrepresented areas (e.g., D.C.). Required for domestic principal place of performance.	Numeric	6	Yes, for domestic vendors.	Yes, for domestic vendors.	5
39	SUB_PLACE_OF_PERFORMANCE_STATE_CODE	Subcontract Place of Performance State Code	This is the 2-character abbreviation of the U.S. state or territory of the principal plant or place of business where the items will be produced, supplied from stock, or where the service will be performed. Required for domestic principal place of performance.	Alphanumeric	2	Yes, for domestic vendors.	Yes, for domestic vendors.	CO
40	SUB_POP_COUNTY_NAME	Subcontract Place of Performance County Name	This is the county of the principal plant or place of business where the items will be produced, supplied from stock, or where the service will be performed. Required for domestic principal place of performance.	Alphanumeric	35	Yes, for domestic vendors.	Yes, for domestic vendors.	JEFFERSON

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
41	SUB_PLACE_OF_PERFORM_CITY	Subcontract Place of Performance City	This is the city of the principal plant or place of business where the items will be produced, supplied from stock, or where the service will be performed. Required for domestic principal place of performance.	Alphanumeric	35	Yes, for domestic vendors.	Yes, for domestic vendors.	DENVER
42	SUB_PLACE_OF_PERFORM_ZIP_CODE	Subcontract Place of Performance ZIP Code	The ZIP +4 code of the Place of Performance address. Required for domestic principal place of performance.	Numeric zip + 4 (no hyphens).	9	Yes, for domestic vendors.	Yes, for domestic vendors.	802250001
43	SUB_SDB_FLAG	Subcontract Small Disadvantaged Business Flag	Prime Contractor's certification that this subcontractor represents itself as a small disadvantaged business concern "YES" = Small disadvantaged business concern "NO" = Other than Small disadvantaged business concern	Alphanumeric Only "YES" or "NO" are allowed	3		Yes	NO
44	SUB_FIRM_8A_FLAG	Subcontract Firm 8A Flag	Prime Contractor's certification that this subcontractor represents itself as an 8(a) business concern or an 8(a) joint venture firm. "YES" = 8(a) firm "NO" = Other than 8(a) firm	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
45	SUB_SRDOVB_FLAG	Subcontract Service Disabled Veteran Owned Small Business Flag	Prime Contractor's certification that this subcontractor represents itself as a Service Disabled Veteran Owned Business "YES" = Service Disabled Veteran Owned Business "NO" = Other than Service Disabled Veteran Owned Business	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
46	SUB_WOSB_FLAG	Subcontract Woman Owned Small Business Flag	Prime Contractor's certification that this subcontractor represents itself as a Woman Owned Small Business or Joint Venture Woman Owned Small Business. "YES" = Woman Owned Small Business "NO" = Other than Woman Owned Small Business	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
47	SUB_EDWOSB_FLAG	Subcontract Economically Disadvantaged Women Owned Small Business Flag	Prime Contractor's certification that this subcontractor represents itself as an Economically Disadvantaged Woman Owned Small Business or Joint Venture Economically Disadvantaged Woman Owned Small Business "YES" = Economically Disadvantaged Woman Owned Small Business "NO" = Other than Economically Disadvantaged Woman Owned Small Business	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
48	SUB_HUBZONE_FLAG	Subcontract Historically Underutilized Business Zone (HUBZone) Flag	Prime Contractor's certification that this subcontractor represents itself as a Historically Underutilized Business Zone (HUBZone) concern "YES" = Historically Underutilized Business Zone (HUBZone) "NO" = Other than Historically Underutilized Business Zone (HUBZone)	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
49	SUB_VETERAN_OW_NED_FLAG	Subcontract Veteran Owned Business Flag	Prime Contractor's certification that this subcontractor represents itself as a Veteran Owned business concern "YES" = Veteran Owned Business "NO" = Other than Veteran Owned Business	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
50	SUB_ALASKAN_NATIVE_CORPORATION	Subcontract Alaskan Native Owned (ANC) Corporation Flag	Prime Contractor's certification that this subcontractor represents itself as a federally-recognized Alaskan Native Owned (ANC) Corporation. "YES" = Alaskan Native Owned (ANC) Corporation "NO" = Other than Alaskan Native Owned (ANC) Corporation	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
51	SUB_NATIVE_HAWAIIAN_ORGANIZATION	Subcontract Native Hawaiian Owned (NHO) Organization Flag	Prime Contractor's certification that this subcontractor represents itself as a federally-recognized Native Hawaiian Owned (NHO) concern "YES" = Native Hawaiian Owned (NHO) "NO" = Other than Native Hawaiian Owned (NHO)	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
52	SUB_AMERICAN_INDIAN_FLAG	Subcontract American Indian Owned Business Flag	Prime Contractor's certification that this subcontractor represents itself as a federally-recognized American Indian Owned Business concern "YES" = American Indian Owned Business "NO" = Other than American Indian Owned Business	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
53	SUB_ASIAN_PACIFIC_AMERICAN_FLAG	Subcontract Asian-Pacific American Owned Business Flag	Prime Contractor's certification that this subcontractor represents itself as a minority-owned Asian-Pacific American Owned concern "YES" = Asian-Pacific American Owned "NO" = Other than Asian-Pacific American Owned	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
54	SUB_BLACK_AMERICAN_FLAG	Subcontract Black American Owned Business Flag	Prime Contractor's certification that this subcontractor represents itself as a Black American Owned concern "YES" = Black American Owned concern "NO" = Other than Black American Owned concern	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
55	SUB_HISPANIC_AMERICAN_FLAG	Subcontract Hispanic American Owned Business Flag	Prime Contractor's certification that this subcontractor represents itself as a Hispanic American Owned concern	Alphanumeric	3		Yes	NO

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
			"YES" = Hispanic American Owned "NO" = Other than Hispanic American Owned	Only "YES" or "NO" are allowed (No blank values)				
56	SUB_NATIVE_AMERICAN_OWNED_FLAG	Subcontract Native American Owned Business Flag	Prime Contractor's certification that this subcontractor represents itself as a Native American Owned Business concern "YES" = Native American Owned Business "NO" = Other than Native American Owned Business	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
57	SUB_SUBCONT_ASIAN_AMER_FLAG	Subcontract Subcontinent Asian (Asian- Indian) American Owned Business Flag	Prime Contractor's certification that this subcontractor represents itself as a Subcontinent Asian (Asian- Indian) American Owned Business "YES" = Subcontinent Asian (Asian- Indian) American Owned Business "NO" = Other than Subcontinent Asian (Asian- Indian) American Owned Business	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3		Yes	NO
58	SHARE_EXTERNAL_FLAG	Share Externally Flag	A flag that describes which fields should be published. See Section 3.1.2.1.1.2.1 for additional notes that apply when using SAM lookup with this field.  "YES" = Publish all fields to SBA and the public.* "NO" = Publish all fields to SBA. Publish all fields to the public except Fields 33 and 34.* "HOLD" = Do not report the record to SBA (or the public) because the M&O is concerned about releasing the data.  <i>Note: "HOLD" should be used very rarely. DOE will not be able to receive Small Business achievement credit for these actions. On a periodic basis, DOE (OSDBU and/or the Programs) will review the list of actions marked "HOLD". After review, DOE will determine whether to pursue additional dialogue with the M&amp;O regarding these actions. *Fields 58-61 are internal, and are not published.</i>	Alphanumeric Only "YES", "NO", or "HOLD" are allowed (No blank values)	4		Yes	NO
59	SUBCONTRACT_BASE_FLAG	Subcontract Base Flag	A "Yes"/"No" flag that describes whether or not the record should be included in the subcontract base.  DOE will sum the Obligated Dollar amount of actions marked "YES" to calculate the Procurement Base.	Alphanumeric Only "YES" or "NO" are allowed (No blank values)	3	Yes	Yes	YES

Data Element #	Data Element Name	Data Element Name Long Description	Definition	Format	Max Length (do not pad with blanks)	A: All Transactions (Source: M&O)	B: All Small Business Transactions (Source: M&O)	Data Input Examples
			This field indicates whether the action is an eligible action (see definition in section 2.2).					
60	SUB_PRINCIPAL_UNSPSC_CODE	Subcontract Principal UNSPSC Code	Report the principal Universal Standard Products and Services Classification (UNSPSC) code that is applicable to the contract. Must be a valid 8 digit UNSPSC code. See <a href="http://www.unspsc.org/">http://www.unspsc.org/</a> .	Alphanumeric	8			30171505
62	SUB_UEI	Subcontract Unique Entity ID	The Subcontracting Unique Entity Identification (UEI) Number. A UEI is a number or other identifier used to uniquely identify a specific entity. The UEI is used within SAM.gov and IAE as a primary key to identify a unique entity.	Alphanumeric	12	Yes (req'd for actions after 4/3/22)	Yes (req'd for actions after 4/3/22)	DHJRBHA9TTU6
63	SUB_ULTIMATE_PARENT_UEI	Subcontract Ultimate Parent Unique Entity ID	This is the Subcontracting Vendor's parent organization's UEI. A UEI is a number or other identifier used to uniquely identify a specific entity. The UEI is used within SAM.gov and IAE as a primary key to identify a unique entity.	Alphanumeric	12			DHJRBHA9TTU6

Note: Column 60 – SUB\_PRINCIPAL\_UNSPSC\_CODE is provided as a placeholder only. Contractors are not required to populate this field.

## 4.2 DATA RETENTION AND ARCHIVING

The existing data retention and archiving requirements that apply to prime contracts will be applied to MOSRC data collected by DOE. Subcontract data associated with a prime contract will be archived and deleted once the retention period for the prime contract expires.

## 4.3 SENSITIVITY AND PRIVACY IMPLICATIONS

In general, the data collected by the MOSRC will be made publically available, except for the following fields:

- The Global DUNS / UEI Number and the Global Vendor Name will not be published to the public.
- Annual Revenue and Number of Employees will not be made available to the public if the SHARE\_EXTERNAL flag (Data Element 58) is set to No.

## APPENDIX A: MOSRC APPLICATION DATA VALIDATIONS (FOR REFERENCE ONLY)

The following table is provided for reference only. The MOSRC Application will apply these validations to the data submitted by each M&O contractor.

In the following table, the prefix of [E] signifies an Error. The prefix [W] signifies a Warning. See section 3.1.2.3 for guidance on handling errors and warnings.

Table A-1.

Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Types of Data Validations							
						Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
1	M&O, MOSRC (FPDS-NG)	PRIME_CONTRACT_PIID	N/A	N/A	Must be a valid M&O FPDS-NG Procurement Instrument Identifier (PIID).	N/A	N/A	[E] Validate that a reference mod (Mod 0, unless otherwise noted) for the PIID exists in FPDS-NG	[E] Validate field max length	[E] Verify that the value matches one of the values in the enumerated list.	[E] Verify that the field is populated.	N/A	N/A
3	M&O	SUB_DUNS	00000000	999999999	N/A  Note: M&Os may enforce enumeration, based on their internal vendor tables.	N/A	N/A	[E] If the M&O relies on SAM.gov to fill in data fields (USE_SAM_FLAG = "Y"), then validate whether the DUNS matches a DUNS registered in SAM.gov.	[E] Validate field max length constraints.  [E] 9-digit number, including leading 0's	See Cross-System Consistency Check	[E] Verify that the field is populated. Required for transactions dated on or before 4/3/22, optional after.	[E] Check for value between 000000000 and 999999999.	N/A
4	M&O, MOSRC (SAM.gov)	SUB_VENDOR_NAME	N/A	N/A	N/A  Note: M&Os may enforce enumeration, based on their internal vendor tables.	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check whether M&O data matches SAM.gov data.	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
5	M&O	SUB_PIID	N/A	N/A	N/A	N/A	N/A	N/A	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated.	N/A	[E] Combination of SUB_PIID, SUB_MODIFICATION_NUMBER, and submitted timestamp must be unique.
6	M&O	SUB_MODIFICATION_NUMBER	0	N/A	N/A	N/A	N/A	N/A	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated.	N/A	[E] Combination of SUB_PIID, SUB_MODIFICATION_NUMBER, and submitted timestamp must be unique.
7	M&O	SUB_DATE_SIGNED	The original award date of the associated prime contract	The ultimate completion date of the associated prime contract	N/A	N/A	N/A	N/A	[E] Date must be in the MMDDYYYY format.	N/A	[E] Verify that the field is populated.	N/A	N/A
9	M&O	SUB_OBLIGATED_DOLLARS	Inverse of the total obligation amount of the prime contract	Total obligation amount of the prime contract	N/A	N/A	N/A	N/A	[E] Signed numeric. Minus sign required for negative values.	N/A	[E] Verify that the field is populated.	[W] Obligated dollars should be between -50M and +50M.	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
10	M&O	SUB_PRIME_BUS_SIZE_TERMINATION	N/A	N/A	SMALL BUSINESS OTHER THAN SMALL BUSINESS	N/A	N/A	N/A	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated.	N/A	N/A
11	M&O	SUB_PRINCIPAL_NAICS_CODE	111110	928120	2012 & 2017 NAICS Codes	N/A	N/A	N/A	[E] NAICS code must be fully qualified (e.g. 6 digits) in NNNNNN format.  [E] Validate field max length constraints.	[E] For new awards (Mod = 0), verify that the reported value matches one of the values in the current set of NAICS codes. Note: NAICS codes may be updated over time. See Appendix B for guidance regarding the use of NAICS Industry Sectors 42, 44, and 45.	[E] Verify that the field is populated.	N/A	N/A
13	M&O	SUB_DESCRIPTION_OF_REQUIREMENT	N/A	N/A	N/A	N/A	N/A	N/A	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated.	N/A	N/A
26	M&O, MOSRC (SAM.gov)	SUB_VENDOR_ADDRESS_LINE_1	N/A	N/A	N/A	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.		[E] Verify that the field is populated for domestic SMALL BUSINESS records only.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
27	M&O, MOSRC (SAM.gov)	SUB_VEN DOR_AD DRESS_LI NE_2	N/A	N/A	N/A	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	N/A	N/A	N/A	N/A
28	M&O, MOSRC (SAM.gov)	SUB_VEN DOR_AD DRESS_CI TY	N/A	N/A	See City lookup table in Address Data.	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.		[E] Verify that the field is populated for domestic SMALL BUSINESS records only.	N/A	N/A
29	M&O, MOSRC (SAM.gov)	SUB_VEN DOR_AD DRESS_S TATE_CO DE	N/A	N/A	See State Code lookup table in Address Data.	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.		[E] Verify that the field is populated for domestic SMALL BUSINESS records only.	N/A	N/A
30	M&O, MOSRC (SAM.gov)	SUB_VEN DOR_AD DRESS_ZI P_CODE	N/A	N/A	See Zip Code lookup table in Address Data.	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate that zip codes are in the NNNNNNNNN or NNNNN-NNNN format, and are saved in the NNNNNNNNN format.		[E] Verify that the field is populated for domestic SMALL BUSINESS records only.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
31	M&O, MOSRC (SAM.gov)	SUB_VENDOR_ADDRESS_COUNTRY_CODE	N/A	N/A	USA	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
32	M&O, MOSRC (ADDR)	SUB_VENDOR_CONGRESSIONAL_DISTRICT	N/A	N/A	See Congressional Code lookup table in Address Data.	[E] Only digits 0-9	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.		[E] Verify that the field is populated for domestic SMALL BUSINESS records only.	N/A	N/A
33	M&O, MOSRC (SAM.gov)	SUB_ANNUAL_REVENUE	0	999,999,999.99	N/A	[E] Digits 0-9; with commas allowed	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
34	M&O, MOSRC (SAM.gov)	SUB_NUMBER_OF_EMPLOYEES	0	999,999,999,999,999	N/A	[E] Digits 0-9; with commas allowed	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
35	M&O, MOSRC (SAM.gov)	SUB_GLOBAL_DUNS_NUMBER	N/A	N/A	N/A	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] 9-digit number, including leading 0's	N/A	[E] Verify that the field is populated for SMALL BUSINESS records only. Required for transactions dated on or before 4/3/22, optional after.	N/A	N/A
36	M&O, MOSRC (SAM.gov)	SUB_GLOBAL_VENDOR_NAME	N/A	N/A	N/A	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
37	M&O	SUB_PLACEMENT_OF_PERFORMANCE_COUNTRY_CODE	N/A	N/A	USA	N/A	[E] If not "USA", Field 59 should be "NO".	N/A	[E] Validate field max length constraints.	N/A	[E] Verify that the field is populated.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
38	M&O, MOSRC (ADDR)	SUB_POP_CONGRESSIONAL_DISTRICT	N/A	N/A	See Congressional Code lookup table in Address Data.	[E] Only digits 0-9	N/A	N/A	[E] Validate field max length constraints.		[E] Verify that the field is populated.	N/A	N/A
39	M&O	SUB_PLACE_OF_PERFORMANCE_STATE_CODE	N/A	N/A	See State Code lookup table in Address Data.	N/A	N/A	N/A	[E] Validate field max length constraints.	[W] Check if the state code is found in the "valid address" lookup.	[E] Verify that the field is populated.	N/A	N/A
40	M&O	SUB_POP_COUNTY_NAME	N/A	N/A	See County Name lookup table in Address Data.	N/A	N/A	N/A	[E] Validate field max length constraints.	[W] Check if the county is found in the "valid address" lookup.	[E] Verify that the field is populated.	N/A	N/A
41	M&O	SUB_PLACE_OF_PERFORMANCE_CITY	N/A	N/A	See City lookup table in Address Data.	N/A	N/A	N/A	[E] Validate field max length constraints.	[W] Check if the city is found in the "valid address" lookup.	[E] Verify that the field is populated.	N/A	N/A
42	M&O	SUB_PLACE_OF_PERFORMANCE_ZIP_CODE	N/A	N/A	See Zip Code lookup table in Address Data.	N/A	N/A	N/A	[E] Validate that zip codes are in the NNNNNNNNN or NNNNN-NNNN format, and are saved in the NNNNNNNNN format.	[W] Check if the ZIP code is found in the "valid address" lookup.	[E] Verify that the field is populated.	N/A	N/A

Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Types of Data Validations							
						Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
43	M&O, MOSRC (SAM.gov)	SUB_SDB_FLAG	N/A	N/A	NO YES	N/A	[W] Should be YES if Fields 50, 51, or 52 is YES.	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O - provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
44	M&O, MOSRC (SAM.gov)	SUB_FIRM_8A_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
45	M&O, MOSRC (SAM.gov)	SUB_SRDVOB_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
46	M&O, MOSRC (SAM.gov)	SUB_WOBS_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
47	M&O, MOSRC (SAM.gov)	SUB_ED WOSB_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
48	M&O, MOSRC (SAM.gov)	SUB_HU BZONE_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
49	M&O, MOSRC (SAM.gov)	SUB_VET ERAN_O WNED_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
50	M&O, MOSRC (SAM.gov)	SUB_ALA SKAN_NATIVE_CORPORATION	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
51	M&O, MOSRC (SAM.gov)	SUB_NATIVE_HAWAIIAN_ORGANIZATION	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
52	M&O, MOSRC (SAM.gov)	SUB_AMERICAN_INDIAN_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
53	M&O, MOSRC (SAM.gov)	SUB_ASIAN_PACIFIC_AMERICAN_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
54	M&O, MOSRC (SAM.gov)	SUB_BLACK_AMERICAN_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
55	M&O, MOSRC (SAM.gov)	SUB_HIS PANIC_A MERICA N_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
56	M&O, MOSRC (SAM.gov)	SUB_NAT IVE_AME RICAN_OW NED_F LAG	N/A	N/A	NO YES	N/A	[W] Should be YES if Fields 50, 51, or 52 is YES.	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
57	M&O, MOSRC (SAM.gov)	SUB_SUB CONT_AS IAN_AMER_FLAG	N/A	N/A	NO YES	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
58		SHARE_EXTERNAL_FLAG	N/A	N/A	NO YES HOLD	N/A	N/A	N/A	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A

						Types of Data Validations							
Field #	Source	SBA Field Name	Lower Limit	Upper Limit	Enumeration	Allowed Character Checks	Consistency Checks	Cross-System Consistency Checks	Format or Picture Checks	Lookup Checks	Presence Checks	Range Checks	Uniqueness Checks
59		SUBCONTRACT_BASE_FLAG	N/A	N/A	NO YES	N/A	N/A	N/A	[E] Validate field max length constraints.	[E] Verify that the reported value matches one of the values in the enumerated list.	[E] Verify that the field is populated for SMALL BUSINESS records only.	N/A	N/A
60	M&O	SUB_PRINCIPAL_UNSPSC_CODE	00000000	99999999	PUBLISHED LIST OF UNSPSC CODES.	N/A	[E] The UNSPSC Code must match the UNSPSC Description (populated by MOSRC).	N/A	[E] If present, UNSPSC code must be fully qualified (e.g. 8 digits) in NNNNNNNN format.	[E] If present, the value must match one of the valid UNSPSC codes. Note: UNSPSC codes may be updated over time.	[E] Verify that the field itself is present. It is not required to be populated.	N/A	N/A
62	M&O	SUB_UEI	N/A	N/A	N/A  Note: M&Os may enforce enumeration, based on their internal vendor tables.	N/A	N/A	[E] If the M&O relies on SAM.gov to fill in data fields (USE_SAM_FLAG = "Y"), then validate whether the DUNS / UEI matches a DUNS / UEI registered in SAM.gov.	[E] Validate field max length constraints.  [E] 12-digit alphanumeric	See Cross-System Consistency Check	[E] Verify that the field is populated. Required for transactions dated after 4/3/22.	N/A	N/A
63	M&O, MOSRC (SAM.gov)	SUB_ULTIMATE_PARENT_UEI	N/A	N/A	N/A	N/A	N/A	[W] If a matching DUNS / UEI is found in SAM, check consistency between the M&O-provided data and SAM.gov.	[E] 12-digit alphanumeric	N/A	[E] Verify that the field itself is present. It is not required to be populated.	N/A	N/A

## APPENDIX B: NAICS INDUSTRY SECTORS 42, 44, & 45 GUIDANCE

### Title

Alternative to using North American Industry Classification System codes for industry sectors 42—Wholesale Trade; 44/45—Retail Trade by Department of Energy prime contractors

The following guidance is for use by DOE prime contractors having subcontracting opportunities for supplies that may be fulfilled by vendors in the wholesale or retail trades. The information will address:

- Existing subcontracts awarded using NAICS industry sectors 42, 44, and 45
- Future subcontracts for supplies usually provided by wholesalers or retailers
- Direction to wholesaler and retailers concerning NAICS size representations and certifications either in writing or in SAM.gov

### References/Notes

- 13 CFR 121.201, Industry Sectors 42, 44 and 45 footnote -- (These NAICS codes shall not be used to classify Government acquisitions for supplies. They also shall not be used by Federal Government contractors when subcontracting for the acquisition for supplies. The applicable manufacturing NAICS code shall be used to classify acquisitions for supplies. A Wholesale Trade or Retail Trade business concern submitting an offer or a quote on a supply acquisition is categorized as a nonmanufacturer and deemed small if it has 500 or fewer employees and meets the requirements of 13 CFR 121.406.)
- Limitations on Subcontracting (FAR 52.219-14) and nonmanufacturer rule (FAR 19.001/13 CFR 121.406) – does not apply to subcontracts.

### Existing Subcontracts

Be advised that for these existing contracts small business credit should not be reported in the Electronic Subcontracting Reporting System (eSRS) or, for Management & Operating (M&O) contractors, into the Management and Operating Subcontract Reporting Capability (MOSRC).

Note: Prime contractors with awarded subcontracts using wholesale or retail trade NAICS codes will likely receive a negative finding during an SBA Small Business Compliance Review IAW SBA Standard Operating Procedure, SOP 60 03 6, Subcontracting Assistance Program.

### Future Subcontracts

For future product (not services) subcontracting requirements that can be fulfilled through wholesaler and/or retailer business concerns, the prime contractor will cite in the solicitation the most applicable manufacturing NAICS code or codes to classify acquisitions for supplies. Manufacturing codes are found at 13 CFR 121.201, Sectors 31 through 33. The subcontract solicitation will reflect the employee size standard for the most applicable code (e.g., 500, 750, 1000, etc.).

Prime contractors will first determine if one manufacturing NAICS code is predominate for the requirement – that is, 50 percent or more of the supplies can be attributed to a single code. If yes, use that code even if other supplies in the requirement fall under other codes.

If a supplies requirement does not have a predominate NAICS code, however, the supplies fall under a single manufacturing subsector, the solicitation should identify the generic code for that subsector. For example, a requirement for Nonmetallic Mineral Product Manufacturing may cover Flat Glass Manufacturing (327211) – 1000 employees; Glass Container Manufacturing (327213) – 1,250 employees; and Glass Product Manufacturing

(327215) – 1000 employees – none of which are predominate. In this case, the prime contractor should use All Other Miscellaneous Nonmetallic Mineral Product Manufacturing (327999) – 500 employees.

If a supplies requirement crosses multiple manufacturing subsectors with no one subsector being predominate, consider using All Other Miscellaneous Manufacturing (339999) – 500 employees.

Note: Prime contractors that use multiple award ordering agreements may consider structuring the agreements into smaller, discrete categories that allow for more accurate NAICS code representation.

#### **Wholesale and Retail Trade Business Concern Representation**

A wholesale and retail trade business concern (non-manufacturer) that desires to respond to a solicitation for product supplies may be classified as a small business under the assigned manufacturing NAICS code if the concern does not exceed 500 employees. Wholesale and retail trade business concerns (non-manufacturers) are allowed to represent/certify to the size standard related to the manufacturing NAICS code in order to respond to subcontracts for supplies per SBA guidelines – the vendor is not certifying to the actual manufacturing of the supplies.

Prime contractors can provide wholesale and retail trade vendors with the following guidance:

- Wholesale and retail trade vendors (non-manufacturers) that wish to respond to a subcontract requirement that identifies a manufacturing NAICS code are eligible to do so by providing a written and signed representation/certification for size standard associated with the manufacturing NAICS code identifying themselves as a small business if they meet the criteria above.
- SAM.gov identifies a vendor's size status for every NAICS – See process below.

#### **Determining a vendor's size status – All NAICS codes**

1. Go to "SAM.gov"
2. Click on "SEARCH RECORDS" found at the top task bar
3. Navigate to "Quick Search" and enter the vendor's DUNS / UEI Number or CAGE Code and click, "SEARCH" button
4. Click on "View Details" button for the vendor under the search results
5. In the left hand column under "Entity Registration", click on "Reps & Certs"
6. Scroll down to either "FAR 52.212-3: Offeror Representations and Certifications – Commercial Items" or "FAR 52.219-1: Small Business Program Representations" and click on the clause a. For 52.212-3 – Scroll down to section (c) that includes the vendor's NAICS code representation table and click on "VIEW MORE" below the table.
  - b. FOR 52.219-1 – Scroll down to section (c) "Representations" that includes the vendor's NAICS code representation table and click on "VIEW MORE" below the table.
7. A pop-up table appears entitled, "Small Business Status by NAICS Code" with NAICS Categories listed in the first column. Click on the NAICS Category that represents the first four digits of the NAICS code. All codes for that subsector appear
8. Find the appropriate six digit NAICS code and view the size standard and vendor's small business status