

SAMPLE

Small Business Subcontracting Plan

ALL of the following information, submitted in a similar format, shall constitute an acceptable subcontracting plan.

A. CONTRACTOR: _____

Type of Plan: Individual _____ Master _____
RFQ #: _____
Contract/P.O. #: _____
Period of Performance: _____
Total Contract Amount: \$ _____
Total Subcontract Amount: \$ _____ % _____ of Total Contract Amount

B. GOALS

Goals, expressed in terms of percentages of total planned subcontracting dollars, for the use of:

- Small Business;
- Small Disadvantaged Business (SDB);
- Woman-Owned Small Business (WOSB);
- HUBZone Small Business;
- Indian Tribe;
- Alaskan Native Corporation (ANC);
- Veteran-Owned Small Business (VOSB); and
- Service-Disabled Veteran-Owned Small Business (SDVOSB); concerns as subcontractors.

The Contractor shall include all subcontracts that contribute to contract performance. See example below of how this information should be presented.

A statement of total dollars planned to be subcontracted (**If the contract has option years an estimate of the full contract value with options needs to be reflected in the total dollars planned to be subcontracted**):

- for an individual contract plan; or the Contractor's total projected sales, expressed in dollars; and the total value of projected subcontracts to support the sales for a commercial plan;
- to SB concerns;
- to SDB concerns;
- to WOSB concerns;
- to HUBZone Small Business concerns;
- to Indian Tribe concerns;
- to ANC concerns;
- to VOSB concerns;
- to SDVOSB concerns;

A description of the principal types of supplies and services to be subcontracted, and an identification of the types planned for subcontracting:

- to SB concerns;
- to SDB concerns;
- to WOSB concerns;
- to HUBZone Small Business concerns;
- to Indian Tribe concerns;
- to ANC concerns;
- to VOSB concerns;
- to SDVOSB concerns;

A description of the method used to identify potential sources for solicitation purposes (e.g., existing company source lists, the Central Contractor Registration database (CCR), Dynamic Small Business Search (DSBS), veterans service organizations, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, HUBZone, small disadvantaged, and women-owned small business trade associations).

A firm may rely on the information contained in CCR and DSBS as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a Small Business; SDB; WOSB; HUBZone; Indian Tribe; ANC; VOST and; SDVOSB source list. Use of CCR and DSBS as its source list does not relieve a firm of its responsibilities (e.g., outreach, assistance, counseling, or publicizing subcontracting opportunities) of the FAR clause.

A statement as to whether or not the Contractor included indirect costs in establishing subcontracting goals, and a description of the method used to determine the proportionate share of indirect costs to be incurred with:

- SB concerns;
- SDB concerns;
- WOSB concerns;
- HUBZone Small Business concerns;
- Indian Tribe concerns;
- ANC concerns;
- VOSB concerns;
- SDVOSB concerns;

PROPOSED GOALS:

TOTAL SUBCONTRACT AMOUNT \$ _____

AWARDS TO:

SMALL BUSINESSES	\$	%
SMALL DISADVANTAGED BUSINESS	\$	%
WOMAN-OWNED SMALL BUSINESS	\$	%
HUB-ZONE SMALL BUSINESS	\$	%
INDIAN TRIBE	\$	%
ALASKAN NATIVE CORPORATION	\$	%

VETERAN-OWNED SMALL BUSINESS	\$ _____	%
SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS	\$ _____	%

C. SUBCONTRACTING PROGRAM ADMINISTRATOR

The name of the individual employed by the Contractor who will administer the Contractor’s subcontracting program, address, phone number, e-mail, and a description of the duties of the individual. See below for an example of how this information should be presented.

- NAME OF INDIVIDUAL TO ADMINISTER PLAN:
- ADDRESS:
- CITY, STATE, ZIP:
- PHONE:
- E-MAIL:
- DESCRIPTION OF DUTIES:

A description of the efforts the Contractor will make to assure that SB, WOSB, HUBZone, Indian Tribe, ANC, VOSB, and SDVOSB concerns have an equitable opportunity to compete for subcontracts.

(e.g., ensure flow down of appropriate clauses in subcontracts; assure inclusion of SB, WOSB, HUBZone, Indian Tribe, ANC, VOSB, SDVOSB concerns in solicitations where appropriate; participate in trade fairs, conferences, SBA, MED events specifically directed toward offering opportunities for participants to do business with the contractor...)

D. FLOWDOWN CLAUSES

Assurances that the Contractor will include the FAR 52.219-8 clause entitled “Utilization of Small Business Concerns” in all subcontracts that offer further subcontracting opportunities, and that the Contractor will require all subcontractors (except SB concerns) that receive subcontracts in excess of \$550K (\$1 million for construction of any public facility) to adopt a plan similar to the plan that complies with the requirements of the FAR clause.

E. REPORTS

Assurances that the Contractor will:

- Cooperate in any studies or surveys as may be required;
- Submit periodic reports so that the government can determine the extent of compliance by the Contractor with the subcontracting plan;
- Submit electronically into the electronic Subcontracting Reporting Systems (eSRS) (www.esrs.gov) the semi-annual Individual Subcontract Report (ISR), and/or annually the Summary Subcontract Report (SSR), **in accordance with the paragraph (I) of the FAR 52.219-9 clause**. The reports shall provide information on subcontract awards to SB concerns, SDB concerns, WOSB concerns, HUBZone small business concerns, Indian Tribe concerns, ANC concerns, VOSB concerns, SDVOSB concerns, and Historically Black Colleges and

Universities and Minority Institutions. Reporting shall be in accordance with the instructions of the FAR 52.219-9 clause or as provided in agency regulations;

- Explain why they have zero (\$0) amounts on their ISR and/or SSR reports, and;
- Ensure that its subcontractors agree to submit ISR and/or SSR reports using eSRS;

F. MAINTAIN RECORDS

A description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the Contractor’s efforts to locate SB, SDB, WOSB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

- Source lists (e.g., CCR), guides, and other data that identify SB, SDB, WOSB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB concerns.
- Organizations contacted in an attempt to locate sources that are SB, SDB, WOSB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB concerns.
- Records on each subcontract solicitation resulting in an award of more than \$100K indicating:
 - whether SB concerns were solicited and if not, why not;
 - whether SDB concerns were solicited and if not, why not;
 - whether WOSB concerns were solicited and if not, why not;
 - whether HUBZone small business concerns were solicited and, if not, why not;
 - whether Indian Tribe concerns were solicited and if not, why not;
 - whether ANC concerns were solicited and if not, why not;
 - whether VOSB concerns were solicited and, if not, why not;
 - whether SDVOSB concerns were solicited and, if not, why not; and
 - if applicable, the reason an award was not made to a SB concern.
- Records of any outreach efforts to contact:
 - trade associations;
 - business development organizations;
 - conferences and trade fairs to locate; SB, SDB, WOSB, HUBZone small businesses, Indian Tribe, ANC concerns; and
 - VOSB and SDVOSB service organizations.
- Records of internal guidance and encouragement provided to buyers through:
 - workshops, seminars, training, etc., and
 - monitoring performance to evaluate compliance with the program’s requirements.
- On a contract-by-contract basis, records to support award data submitted by the Contractor to the government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

G. OUTREACH EFFORTS

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

- Assist SB, SDB, WOSB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB, 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; SB, SDB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB 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; SB, SDB, WOSB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB concerns in all "make-or-buy" decisions.
- Counsel and discuss subcontracting opportunities with representatives of; SB, SDB, WOSB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB firms.
- **Confirm that a subcontractor representing itself as a HUBZone small business concern is identified as a certified HUBZone small business concern by accessing the Central Contractor Registration (CCR) database or by contacting SBA.**
- Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as; SB, SDB, WOSB, HUBZone small business, Indian Tribe, ANC, VOSB, and SDVOSB concerns 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.

DEFINITIONS:

(FAR: Subpart 19.7 – The Small Business Subcontracting Program: 19.701 Definitions)

"Alaska Native Corporation (ANC)" means any Regional Corporation, Village Corporation, Urban Corporation, or Group Corporation organized under the laws of the State of Alaska in accordance with the Alaska Native Claims Settlement Act, as amended (43 U.S.C. 1601, *et seq.*) and which is considered a minority and economically disadvantaged concern under the criteria at 43 U.S.C. 1626(e)(1). This definition also includes ANC direct and indirect subsidiary corporations, joint ventures, and partnerships that meet the requirements of 43 U.S.C. 1626(e)(2).

"Electronic Subcontracting Reporting System (eSRS)" means the Government wide, electronic, web-based system for small business subcontracting program reporting.

"Failure to make a good faith effort to comply with the subcontracting plan" means willful or intentional failure to perform in accordance with the requirements of the subcontracting plan, or willful or intentional action to frustrate the plan.

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“Indian tribe” means any Indian tribe, band, group, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act (43 U.S.C.A. 1601 et seq.), that is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs in accordance with 25 U.S.C. 1452(c). This definition also includes Indian-owned economic enterprises that meet the requirements of 25 U.S.C. 1452(e).

“Individual contract 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 Contractor’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 the required elements of an individual contract plan, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.

“Subcontract” 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, contract modification, or subcontract.

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