

SUBCONTRACTING PLAN FORM (Dec 2011)

The attached subcontracting plan form has been adapted from material in Appendix 9 of the Small Business Administration's Standard Operating Procedure 60 03 6, "Subcontracting Assistance Program" (<http://www.sba.gov/sops/6003/sop60036.pdf>) and DOE Acquisition Letter 2006-01. It may be completed and submitted as your proposed Small Business Subcontracting Plan.

Failure to include essential information in a Small Business Subcontracting Plan submitted to the Company may be cause for either a delay in acceptance or the rejection of an offer when a subcontracting plan is required.

The following guidance is offered to help expedite completion of the Subcontracting Plan process as well as the required semiannual reporting process:

- Using the attached subcontracting plan form will greatly accelerate the plan's approval process.
- If you do not use the attached form, your subcontracting plan must be in compliance with FAR 19.704 (Subcontracting Plan Requirements).
- It is recommended that, if possible, your plan goals reflect the minimum goals expected by the SBA for federal government subcontracting:
 - Small Business 23%
 - Woman Owned Small Business 5%
 - Small Disadvantaged Business 5%
 - HUBZone Small Business 3%
 - Veteran Owned Small Business 3%
 - Service Disabled Veteran Owned Small Business 3%
- Progress against subcontracting plan goals is reported semi-annually for the periods ending March 31 and September 30 via the Electronic Subcontracting Reporting System (eSRS) at www.esrs.gov . Reports are due 30 days after the close of each reporting period.
- The goals approved in the subcontracting plan, or any revision, are to be the same goals inputted into the eSRS.
- The person to approve your eSRS report is to be Keith S. Joy, joyks@ornl.gov.
- During eSRS reporting, any lack of progress against goals should be explained in the Remarks section.
- Performance against your subcontracting plan goals will be monitored and tracked by the ORNL Small Business Programs Office and may be used as part of the Subcontractor Performance Evaluation process.

SMALL BUSINESS SUBCONTRACTING PLAN

Offeror: _____

Address: _____

Solicitation or Subcontract Number: _____

Supplies or services: _____

Estimated cost or price of contract (including options): \$ _____

Period of Performance (include option years): From: _____ To: _____

1. Type of Plan [see definitions in paragraph (b) of the Small Business Subcontracting Plan clause]

Individual Plan

Master Plan

2. Goals

State separate dollar and percentage subcontracting goals in the following format. For an offer with options, provide separate statements for the basic quantity or period and for each option.

A. Total planned subcontracting dollars: \$ _____. (For commercial plans, paragraph A should instead show the dollar amount of total projected sales and the total dollar amount of projected subcontracts to support the sales.)

B. Total estimated dollar value and percent of planned subcontracting with all small business concerns. The figures include veteran-owned small business concerns (VOSB), service-disabled veteran-owned small business concerns (SDVOSB), HUBZone small business concerns (HSB), small disadvantaged business concerns (SDB), and women-owned small business concerns (WOSB):

\$ _____ and _____ % of 2.A above.

C. Total estimated dollar value and percent of planned subcontracting with VOSB:

\$ _____ and _____ % of 2.A above.

D. Total estimated dollar value and percent of planned subcontracting with SDVOSB:

\$ _____ and _____ % of 2.A above.

E. Total estimated dollar value and percent of planned subcontracting with HSB:

\$ _____ and _____ % of 2.A above.

F. Total estimated dollar value and percent of planned subcontracting with SDB:

\$ _____ and _____ % of 2.A above.

G. Total estimated dollar value and percent of planned subcontracting with WOSB:

\$ _____ and _____ % of 2.A above.

3. We plan to subcontract the following principal types of supplies and services to SB, VOSB, SDVOSB, HSB, SDB, and WOSB as indicated:

| <u>Types of Supplies and Services</u> | <u>SB</u> | <u>VOSB</u> | <u>SDVOSB</u> | <u>HSB</u> | <u>SDB</u> | <u>WOSB</u> |
|---------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

4. We developed the subcontracting goals in 2B through 2G above by the following methods:
 [Explain how (i) the capabilities of SB, VOSB, SDVOSB, HSB, SDB, and WOSB and (ii) the types of supplies and services to be subcontracted to them were determined. Identify any source lists used.]

5. We identified potential sources for solicitation purposes by the following methods:
 [Explain the use made of: your existing source lists; Central Contractor Registration (CCR) Database; veterans service organizations; the National Minority Supplier Development Council; the Minority Business Development Centers of the Department of Commerce; SB, VOSB, SDVOSB, HSB, SDB, and WOSB trade associations; and contact with local chambers of commerce and Federal agencies' Small Business Offices.]

6. Indirect costs were were not included in the subcontracting goals.
 [If indirect costs were included, describe the method used to determine the proportionate share of indirect costs to be allocated as subcontracts to SB, VOSB, SDVOSB, HSB, SDB and WOSB.]

7. The employee who will administer our subcontracting program is:

Name: _____

Title: _____

Address: _____

Telephone: _____

The administrator's duties include:

- A. Preparing subcontracting plans;
- B. Assisting in developing SB, VOSB, SDVOSB, HSB, SDB, and WOSB source lists;
- C. Attending or arranging for the attendance of company counselors at business opportunity workshops, Minority Business Enterprise seminars, trade fairs, procurement conferences, etc;

- D. Ensuring that SB, VOSB, SDVOSB, HSB, SDB, and WOSB are made aware of subcontracting opportunities and how to prepare acceptable offers;
- E. Conducting or arranging training for purchasing personnel on small business matters;
- F. Monitoring performance under subcontracting plans and assisting in making any adjustment necessary to achieve goals;
- G. Preparing and submitting required subcontract reports;
- H. Coordinating activities during compliance reviews by Federal agencies; and
- I. Other duties:

8. We will make the following efforts to ensure that SB, VOSB, SDVOSB, HSB, SDB, and WOSB have an equitable opportunity to compete for subcontracts:

- A. Outreach efforts to obtain sources:
 - 1. Contacting minority and small business trade associations;
 - 2. Contacting veterans service organizations;
 - 3. Contacting business development organizations;
 - 4. Attending small and minority business procurement conferences and trade fairs;
 - 5. Using CCR and other SBA and Federal agency resources; and
 - 6. Conducting market surveys to identify new sources.
- B. Internal efforts to guide and encourage purchasing personnel:
 - 1. Presenting workshops, seminars, and training programs;
 - 2. Establishing and maintaining SB, VOSB, SDVOSB, HSB, SDB, and WOSB source lists, guides, and other data for soliciting subcontracts; and
 - 3. Monitoring compliance with the subcontracting plan.

C. Additional efforts: _____

9. We will include the "Utilization of Small Business Concerns" clause in all subcontracts exceeding the simplified acquisition threshold that offer further subcontracting opportunities. We will also require subcontractors (other than small business concerns) that receive subcontracts in excess of \$500,000 (\$1 million for construction of a public facility) to adopt a subcontracting plan that complies with the requirements of the Small Business Subcontracting Plan clause.

10. We will:
- A. Cooperate in any studies or surveys that may be required;
 - B. Submit periodic reports that show compliance with the subcontracting plan;
 - C. Submit Individual Subcontract Reports and/or Summary Subcontract Reports, using the Electronic Subcontract Reporting System (eSRS), in accordance with the instructions on the web site <http://www.esrs.gov> or as provided in agency regulations and the Small Business Subcontracting Plan clause;
 - D. Ensure that subcontractors with subcontracting plans agree to submit Individual Subcontract Reports and Summary Subcontract Reports using eSRS;
 - E. Provide our contract number, DUNS number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their reports; and
 - F. Require that each subcontractor with a subcontracting plan provide the contract number, its own DUNS number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports to its subcontractors with subcontracting plans.

11. We will maintain the following types of records on a company-wide division-wide basis:

- A. Source lists, guides, and other data that identify SB, VOSB, SDVOSB, HSB, SDB, and WOSB;

- B. Records that identify organizations contacted in an attempt to locate SB, VOSB, SDVOSB, HSB, SDB, and WOSB sources;
- C. Records on each subcontract solicitation resulting in an award of more than \$100,000 indicating: (1) whether SB were solicited, and if not, why not; (2) whether VOSB were solicited, and if not, why not; (3) whether SDVOSB were solicited, and if not, why not; (4) whether HSB were solicited, and if not, why not; (5) whether SDB were solicited, and if not, why not; (6) whether WOSB were solicited, and if not, why not; and (7) if applicable, the reason that the award was not made to a small business concern;
- D. Records of outreach efforts, e.g., contacts with trade associations, business development organizations, or veterans service organizations and attendance at conferences and trade fairs;
- E. Records of internal guidance and encouragement provided to buyers through: (1) workshops, seminars, training, etc., and (2) monitoring performance to evaluate compliance with the program's requirements; and
- F. On a contract-by-contract basis, records to support subcontract award data, including the name, address, and business size of each subcontractor.

This subcontracting plan was submitted by:

Signature: _____

Typed Name: _____

Title: _____

Date Prepared: _____

Phone No.: _____