

Sample of Information Required for Small Business Subcontracting Plans

NOTES:

- **Prior to development of this subcontracting plan, please read FAR Clause 52.219-9 – Small Business Subcontracting Plan (January 2011).**
- **It is the Prime Contractors responsibility to ensure that all small business concerns included in this subcontracting plan are eligible. The Central Contractor's Registration (CCR) is the only source for certification of Small Disadvantaged Business and HUBZone Small Business concerns.**
- **Prime Contractors are encouraged to post sources sought notices for subcontracting opportunities on <http://web.sba.gov/subnet/> Small businesses can review this web site to identify opportunities in their areas of expertise. The use of SUB-Net fulfills the requirements set forth in Federal Acquisition Regulation (FAR) 5.206, Notice of Subcontracting Opportunities, for contractors and subcontractors to post notices and thereby increase competition for subcontracts.**
- **A list of currently known business concerns owned and controlled by socially and economically disadvantaged individuals and/or women-owned small business concerns that have indicated an interest in participating in highway construction is available at <http://www.ccr.gov>**

DATE:

CONTRACTOR:

ADDRESS:

SOLICITATION NUMBER:

PROJECT NAME/NUMBER:

The following, together with any attachments, is hereby submitted as a Small Business Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 as implemented by FAR Clause 52.219-9.

1. The total estimated dollar value of all planned subcontracting (to all types of business concerns, including large businesses) for supplies or services required for performance of the contract to be awarded under the solicitation cited above is \$
2. The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars from 1. above) are applicable to the contract to be awarded under the solicitation cited above.
 - (a) **Small business concerns:** % of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns. Subcontracts awarded to an ANC or Indian tribe shall be counted towards the subcontracting goals for small business and small disadvantaged business (SDB)** concerns.
 - (b) **Veteran-owned small business concerns:** % of total planned subcontracting dollars under this contract will go to subcontractors who are veteran-owned small business concerns. This percentage is included in the percentage shown under 2(a), above.

- (c) **Service-disabled veteran-owned small business concerns:** % of total planned subcontracting dollars under this contract will go to subcontractors who are service-disabled veteran-owned small business concerns. This percentage is included in the percentage shown under 2(a), above.
- (d) **HUBZone small business concerns:** % of total planned subcontracting dollars under this contract will go to subcontractors who are HUBZone small business concerns. This percentage is included in the percentage shown under 2(a), above.
- (e) **Small disadvantaged business concerns**:** % of total planned subcontracting dollars under this contract will go to subcontractors who are small disadvantaged business concerns. This percentage is included in the percentage shown under 2(a), above.
- (f) **Women-owned small business concerns:** % of total planned subcontracting dollars under this contract will go to subcontractors who are women-owned small business concerns. This percentage is included in the percentage shown under 2(a), above.

3. The following dollar values correspond to the percentage goals shown in 2. above.

- (a) Total dollars planned to be subcontracted to small business concerns (including ANC and Indian tribes): \$
- (b) Total dollars planned to be subcontracted to veteran-owned small business concerns: \$
This amount is included in the amount shown under (a), above.
- (c) Total dollars planned to be subcontracted to service-disabled veteran-owned small business concerns: \$
This amount is included in the amount shown under (a), above.
- (d) Total dollars planned to be subcontracted to HUBZone small business concerns: \$
This amount is included in the amount shown under (a), above.
- (e) Total dollars planned to be subcontracted to small disadvantaged business concerns including ANC and Indian tribes): \$
This amount is included in the amount shown under (a), above.
- (f) Total dollars planned to be subcontracted to women-owned small business concerns: \$
This amount is included in the amount shown under (a), above.

4. Principal supplies and/or services to be subcontracted for the contract to be awarded under the solicitation cited above are listed below along with the distribution to small, veteran-owned, HUBZone, small disadvantaged, women-owned small business, or large business concerns:

TYPE OF SUPPLIES AND/OR SERVICES	PROPOSED SUBCONTRACTOR (include name & address)	TYPE OF CONCERN (SB, SDB, WOSB, HUB, VET/SDVET, LB)	ESTIMATED DOLLAR VALUE

5. The following method was used in developing subcontract goals (*e.g.*, existing company source lists, the Central Contractor Registration database (CCR), 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). :

6. The following methods were used to identify potential sources for solicitation purposes:

7. Indirect costs (check one below):

[] have been [] have not been included in the goals specified in Item 2. If so, describe the method used to determine the proportionate share of indirect costs to be incurred with small, veteran-owned, service-disabled veteran-owned, HUBZone, small disadvantaged and women-owned business concerns.

8. The following individual will administer the subcontracting program:

Name:

Title:

Address and Telephone:

This individual's specific duties, as they relate to the firm's subcontracting program, are as follows:

9. The following efforts will be taken to assure that small business, veteran-owned, service-disabled veteran owned, HUBZone small business, small disadvantaged business and women-owned business concerns will have an equitable opportunity to compete for subcontracts :

10. _____[insert firm name] agrees that the clause entitled "Utilization of Small Business Concerns" will be included in all subcontracts which offer further subcontracting opportunities; and all subcontractors (except small business concerns) who receive subcontracts in excess of \$650,000 (\$1.5 million for construction of any public facility) with further subcontracting possibilities will be required to adopt and comply with a subcontracting plan similar to this one. Such plans will be reviewed by comparing them with the provisions of FAR 52.219-9, and assuring that all

minimum requirements of an acceptable subcontracting plan has been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved and the availability of potential small business subcontractors. Once approved and implemented, plans will be monitored through the submission of periodic reports, periodic visits to subcontractors facilities to review applicable records, and subcontracting program progress.

11. _____ [Insert Firm's Name] agrees to:

- (i) Cooperate in any studies or surveys as may be required;
- (ii) Submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan;
- (iii) Submit the Individual Subcontracting Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with the paragraph (l) of this clause using the Electronic Subcontracting Reporting System (eSRS) at <http://esrs.gov>. The reports shall provide information on subcontract awards to small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, women-owned small business concerns, and Historically Black Colleges and Universities and Minority Institutions. Reporting shall be in accordance with this clause, or as provided in agency regulations;
- (iv) Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS;
- (v) Provide its prime contract number, its DUNS number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their reports; and
- (vi) Require that each subcontractor with a subcontracting plan provide the prime 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.

12. _____ [Insert Firm's Name] agrees to maintain records concerning procedures that have been adopted to comply with the requirements and goals in the plan. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

- (i) Source lists (*e.g.*, CCR), guides, and other data that identify small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.
- (ii) Organizations contacted in an attempt to locate sources that are small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns.
- (iii) Records on each subcontract solicitation resulting in an award of more than \$150,000, indicating -
 - (A) Whether small business concerns were solicited and if not, why not;
 - (B) Whether veteran-owned small business concerns were solicited and, if not, why not;
 - (C) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;
 - (D) Whether HUBZone small business concerns were solicited and, if not, why not;
 - (E) Whether small disadvantaged business concerns were solicited and if not, why not;
 - (F) Whether women-owned small business concerns were solicited and if not, why not; and

(G) If applicable, the reason award was not made to a small business concern.

(iv) Records of any outreach efforts to contact --

- (A) Trade associations;
- (B) Business development organizations;
- (C) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, and women-owned small business sources; and
- (D) Veterans service organizations.

(v) Records of internal guidance and encouragement provided to buyers through --

- (A) Workshops, seminars, training, etc., and
- (B) Monitoring performance to evaluate compliance with the program's requirements.

(vi) On a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

NOTICE: The failure of the Contractor or subcontractor to comply in good faith with—

- (1) The clause of this contract entitled "Utilization Of Small Business Concerns;" or
- (2) An approved plan required by this clause, shall be a material breach of the contract.

PLAN PREPARED BY: _____

Date

TYPED NAME:

TITLE:

FIRM:

PLAN ACCEPTED BY: _____

Date

FHWA-CFLHD Contracting Officer