

Mentor-Protégé Guidebook For Industry and Acquisition Professionals

October 2015

v 2.1



Small Business Development: Industrial Solutions for the Warfighter

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Department of the Navy's Mentor-Protégé Program Procedures

1. Preface

All information contained in this document is supported and is in accordance with the Defense Federal Acquisition Regulation Supplement (DFARS) 219.71 and DFARS Appendix I. Also, for more information about the DoD Mentor-Protégé Program, visit its home page at <http://www.acq.osd.mil/osbp/sb/programs/mpp/index.shtml>.

2. Purpose

The following procedures are for guidance in developing, submitting, processing, and administering the Department of the Navy's (DON) Reimbursable and Credit Mentor-Protégé Agreements (MPA). These procedures also cover incremental funding of agreements, extensions/realignment of milestones of current agreements, and reporting requirements for current and graduated agreements.

3. Background

The Department of Defense (DOD) Pilot Mentor-Protégé Program was established under Section 831 of Public Law 101-510, the National Defense Authorization Act for Fiscal Year 1991 (10 U.S.C. 2302 note). The purpose of the Program is to provide incentives for DOD contractors to assist small businesses, in enhancing their capabilities and increasing their participation in government and commercial contracts.

4. Types of Agreements

Mentors receive compensation for their costs associated with Mentor-Protégé Agreements in the form of credit or direct reimbursement.

Reimbursable - A reimbursable agreement provides monetary reimbursement **only** for the cost of developmental assistance incurred by the Mentor firm and provided to a Protégé firm in accordance with the approved agreement.

Credit - Credit agreements allow a Mentor to receive credit toward subcontracting goals for costs incurred. Mentors interested in initiating credit agreements should contact Defense Contract Management Agency (DCMA) Office of Small and Disadvantaged Business Utilization Office (SADBU) directly as all credit agreements are sponsored by DCMA SADBU. For the DCMA homepage, go to <http://www.dcma.mil>. The Point of Contact (POC) for credit Mentor-Protégé Agreements is:

DCMA Small Business Mentor-Protégé Division

Mentor-Protégé Division Chief

DCMA Small Business Operations Center
600 N. Pearl Street, Suite 1630
Dallas, TX 75201-2843
Phone: (214) 573-2168
Fax: (214) 670-9293

Hybrid – A hybrid agreement is agreement that is a combination of both the reimbursable agreement and the credit agreement. For a typical Mentor-Protégé agreement term that consists of three years, the first 2 years are constructed as a credit agreement and the final year as a reimbursable agreement.

5. General Responsibilities

The Department of Defense, Office of Small Business Programs (DoD OSBP) – Is the ultimate approval authority on Mentor applications, Mentor-Protégé Agreements, endorsements, contract modifications, funding requests and agreement cancellations and terminations.

The Director, Secretary of the Navy, Office of Small Business Programs (SECNAV OSBP) - is the approval authority of all DON Mentor-Protégé Agreements.

The SECNAV OSBP Mentor Protégé Program Manager (MPP PM) - provides overall administration and the day-to-day management of the DON Mentor-Protégé Program.

The Head of the Contracting Activity (HCA) – is the endorsing activity responsible for the administration and management of their respective Mentor-Protégé Agreements.

The Associate Director (AD), OSBP (within the HCAs) – will coordinate with SECNAV OSBP and other departments within their activity to ensure regulatory requirements are met. The Associate Director will ensure an endorsement letter acknowledging this agreement is added to an existing contract, under their respective HCA, which will acknowledge endorsement.

The Contracting Officer (within the HCAs) – is responsible for modifying existing contracts to incorporate approved Mentor-Protégé Agreements, issuing modifications for funding, extensions, de-obligation of unused or excess funds and management of agreement deliverables

The Defense Contract Management Agency (DCMA) - will conduct annual performance reviews on the progress and accomplishments of the approved Mentor-Protégé Agreements.

6. Eligibility to Participate

Both the Mentor and the Protégé must meet the established eligibility requirements to participate in the program. Mentors and Protégés are solely responsible for finding their counterpart. Legislatively, DoD OSBP's participation in the partnering of Mentors and Protégés is prohibited. Therefore, firms participating in this program are strongly encouraged to explore existing business relationships in an effort to establish a Mentor-Protégé relationship.

The Mentor.

1. To be eligible to participate as a Mentor, the entity must be other than a small business that is a prime contractor to DoD with an active subcontracting plan or a graduated 8(a) firm that provides documentation of its ability to serve as a Mentor.
2. The Mentor must be eligible for receipt of a Federal contract.
3. Approval for DON Mentor-Protégé Agreements will not be granted if the Mentor firm is currently debarred or suspended from contracting with the Federal Government pursuant to FAR 9.4 or have any open investigations.
4. Mentor firms establish eligibility by completing and **submitting a Mentor Application** (<http://www.acq.osd.mil/osbp/sb/programs/mpp/resources.shtml>) to SECNAV OSBP or the DoD OSBP Mentor Protégé Program Manager for approval as a Mentor firm under the Program.

The Protégé.

1. Prior to processing a Mentor-Protégé Agreement, the Mentor and endorsing activity (or HCA) must ensure the small business is eligible to participate as a Protégé.
2. To be eligible to participate, the small business must meet one of the eligibility requirements and maintain that status for the life of the agreement, such as:
 - a. Small Disadvantaged Business (SDB)
 - b. Women-owned small business (WOSB)
 - c. HUBZone small business (HUBZone)
 - d. Service-disabled veteran-owned small business (SDVOSB)
 - e. A business employing the severely disabled
 - f. A business owned and controlled by an Native American tribe
 - g. A business owned and controlled by a Native Hawaiian organization
3. The small business must be eligible for receipt of a Federal contract and has been selected by the Mentor firm to participate in the program.
4. Approval for DON Mentor-Protégé Agreement will not be granted if the Protégé firm is currently debarred or suspended from contracting with the Federal Government pursuant to FAR 9.4 or have any open investigations.

5. Mentor firms may rely in “good faith” on a written representation that the small business meets the eligibility requirements, except for a Protégé’s status as a SDB firm. A separate written self-certification of their small business status must be provided with the Mentor-Protégé Agreement.
6. SDB firms must comply with the provisions contained in FAR 52.219-22, Small Disadvantaged Business Status, and be certified by the SBA as an SDB. If the SBA SDB certification expires before the end of the agreement period, the agreement and contract modification may still be written for the entire agreement period with conditions indicating that funding is subject to the Protégé’s SDB recertification.

7. General Procedures

STEP 1 – Mentors Choosing Protégés

The Mentor is solely responsible for selecting a Protégé that they believe will be a good candidate for a successful relationship with a demonstrable Return on Investment (ROI). Mentors should consider the following when selecting a Protégé:

1. A previous, established relationship must exist between the Mentor and Protégé.
2. Protégé’s geographic proximity to the Mentor.
3. How the assistance aligns with the Protégé’s strategic vision.
4. Protégé’s attitude regarding being mentored.
5. Commitment to the relationship by both parties.
6. Capabilities of the Protégé and how they coincide with the Mentor.
7. Stability of the Protégé’s management and financial status.
8. Protégé’s past performance.
9. Results of any contract/subcontract work between the Mentor and Protégé.
10. Subcontracting expectations.

A Mentor may have several DoD Mentor-Protégé relationships; however, a Protégé may have only one DoD Mentor at any given time.

STEP 2 – Choosing a DON Prime Contract to House the Mentor-Protégé Agreement

The DON Mentor-Protégé Program **requires** the Mentor to have an existing DON contract. Mentor-Protégé Agreements are formalized by adding a separately priced cost reimbursable contract line item number (CLIN) to an existing DON contract for the developmental assistance cost, which is approved by the DOD OSBP Director. The Mentor identifies one of their existing DON prime contracts.

In selecting the right contract for the Mentor-Protégé Agreement to be housed, **keep in mind** that:

- (1) Mentor-Protégé Agreement must be added:

- as a **no fee line item** to an existing contract; or
 - as a **task order** to a negotiated Indefinite Delivery type contract (Blanket Purchase Agreements (BPA), or Basic Ordering Agreements (BOA). Seaport-e contracts are not acceptable contracts types for use under the Mentor-Protégé Program
- (2) Agreements **may be** added to a contract that does not have an adequate period of performance remaining to cover the entire period of the Mentor-Protégé Agreement. In this case, it is acceptable for the contracting officer to move the Mentor-Protégé Agreement to another contract so that the expired contract may be closed. Such action must be coordinated with SECNAV OSBP and the HCA's Office of Small Business Programs.
 - (3) Agreements cannot exceed 3 years from the date of inclusion in the task order or contract modification that incorporated the approved Mentor-Protégé Agreement as a separate cost reimbursable line item on a DON prime contract. Requests for an extension of the agreement for a period not to exceed an additional 2 years may be approved upon request with appropriate justification that details the unusual circumstances that warrant a term in excess of 3 years. **A site visit** of the Protégé's facilities by SECNAV OSBP and/or HCA may be required before extensions are approved.
 - (4) It is strongly recommended that the proposed agreement period be established for 60 to 90 days less than a full 3-year period to allow for a possible extension in the event the milestones cited in the agreement are not met.
 - (5) **Agreements cannot exceed the Protégé's SDB certification period.** If a Protégé's certification expires before the end of the agreement period, the Mentor may submit the cost proposal for the entire period; however, the contracting officer must include a condition in the contract stating that any cost extension of the agreement or annual funding is contingent upon the Protégé's SDB recertification by SBA.
 - (6) Based upon processing and approval cycles, soft dates such as "30 days after contract modification" should be utilized throughout the agreement.

Step 3 – Informal Introductory Briefing

Once the prime contract has been chosen, the Mentor and Protégé **must** schedule an Informal Introductory Briefing with the SECNAV OSBP MPP PM, the HCA's AD OSBP, HCA Program Manager, and HCA Contracting Officer about developing the Mentor-Protégé Agreement. This informal introductory briefing should be a broad representation of the proposed concept and objectives of what the MPA intends to achieve. DON's decision and feedback will be provided **no later** than a week after the briefing. Include at least the following:

- (1) Background of the Protégé.
- (2) Background on the Mentor's experience in mentoring other formal MPAs.
- (3) Identified concept and objectives of the proposed MPA.
- (4) Proposed Mentor technical and administrative transfers.
- (5) Benefits to the Mentor, Protégé and DON of the proposed agreement.
- (6) Estimated time of completion.
- (7) Rationale of why the HCA should sponsor the agreement.

STEP 4 – The Mentor-Protégé Agreement

A separate Mentor-Protégé Agreement must be submitted for each Mentor-Protégé relationship. The Mentor-Protégé Agreement must specify how the developmental program will:

1. Increase the Protégé's ability to participate in DoD, Federal, and /or commercial contracts and subcontracts;
2. Increase small business subcontracting opportunities in industry categories.
3. Indicate how this plan will address the Protégé's identified needs to enhance their ability to perform successfully under contracts or subcontracts within DON and other federal agencies.

All DON Mentor-Protégé Agreements must contain the following **four sections** with each one separately identified:

- (1) **The Mentor-Protégé Agreement** - as defined in DFARS Appendix I, Section I-107
(a) All elements of Section I-107 MUST be addressed separately.
- (2) **Benefits Statement/Return on Investment document** – that clearly identifies the benefits and/or the ROI of this agreement to the DON and/or DoD.
- (3) **Technical Proposal** - that details the developmental program described in the Mentor-Protégé Agreement DFARS Appendix I, Section I-107 (f).

A very strong technical proposal is imperative and is considered the most important element of the agreement and it will be used as part of the evaluation criteria contained in Section 8 of this Guidebook, entitled "Evaluation Process for Mentor-Protégé Agreements". The technical proposal should include the following:

- ✓ An easy to follow Cost Proposal.
- ✓ Identification of labor hours associated with each task.

- ✓ A breakdown of the labor hours and dollar values associated with technology transfer, which should be approximately 70% of the total proposed cost.
- ✓ A breakdown of the labor hours and dollar values associated with the business development tasks, which should be approximately 30% of the total proposed cost.
- ✓ A Milestone Chart (with soft dates) with appropriate metrics to measure progress and completion of each major developmental task.

Examples of technology transfer and business development include, but are not limited to:

Technology Transfer:

Accounting Systems, ISO Certifications, Software Certifications, Office Automation, and Program Management associated with technology transfer, Manufacturing Processes, and Quality Process Improvements

Business Development:

Marketing, processes related to Human Resources and Company Policies, Procedures and Administration

IMPORTANT PLEASE NOTE: As stated in DFARS Appendix I, Section I-106(f), *“Developmental assistance provided under an approved mentor-protégé agreement is distinct from, and must not duplicate, any effort that is the normal and expected product of the award and administration of the mentor firm’s subcontracts. Costs associated with the later must be accumulated and charged in accordance with the contractor’s approved accounting practices; they are not considered developmental assistance costs eligible for reimbursement under the Program”.*

(4) **Cost proposal** - of the technical proposal **presented in 12-month increments**. Cost proposals must comply with the following:

- ✓ The cost proposal shall include a base year and priced options for any additional years of effort proposed, not to exceed 3 years.
- ✓ A separate cost summary page divided into 12-month periods.
- ✓ Labor/salary reimbursement must be for employees on the Mentor’s payroll only. **Protégé salaries and consultant costs are unallowable.**
- ✓ Do not include any type of fee or profit.
- ✓ Incidental costs or other than direct costs (ODCs) **cannot exceed 10%** of the total cost of the proposal. Examples of incidental costs include: travel, training, equipment and software, etc. **To calculate the 10%:** divide the incidental costs into the total proposed costs (total proposed cost includes labor, overhead, G&A, **and** incidental costs).

- ✓ No capital equipment is allowed to be purchased under this Mentor-Protégé Agreement. Any equipment that would normally be depreciated will be considered as capital equipment.
- ✓ The **only** Protégé expenses to be reimbursed by the government are for travel expenses relating to training, **not** marketing.
- ✓ All proposed costs must track to each developmental assistance category outlined in the technical proposal.

Tasks to be completed by Historically Black Colleges or Universities or Minority Institutions (HBCUs/MIs), Procurement Technical Assistance Centers (PTACs), or Small Business Development Centers (SBDCs) are allowable and **are not included in incidental costs**. The use of these resources for training is **strongly encouraged**. The total HBCU/MIs, PTACs, or SBDCs cost should not exceed 30% of the total cost of the proposal.

Websites:

HBCUs: <http://www.ed.gov/edblogs/whhbcu/one-hundred-and-five-historically-black-colleges-and-universities/>

PTACs: <http://www.aptac-us.org/new/>

SBDCs: <http://www.sba.gov/content/small-business-development-centers-sbdc>

- ✓ The percentages for incidental costs and HBCU/MIs, PTACs, or SBDCs are to be clearly displayed per year as well as the total for all years.

The total amount that may be reimbursed to a Mentor per year may not exceed \$1,000,000.

The amounts listed in the Customary Limits column below are specifically for the DON Mentor-Protégé Program.

| | Customary Limits |
|---|------------------|
| Non-Manufacturing Per Year | \$175K - \$250K |
| Non-Manufacturing Per Agreement | \$750K |
| Manufacturing Per Year | \$750K |
| Manufacturing Per Agreement | \$2.25M |
| MPA Extensions/Realignment of Milestone at cost Per Year | Up to \$250K |

Non-Manufacturing agreements - are agreements where an end product is not produced or delivered by the Protégé.

Manufacturing agreements - are agreements where an end product is produced or delivered by the Protégé.

8. Evaluation Process for Mentor-Protégé Agreements

Proposed Mentor-Protégé Agreements should first be forwarded by the Mentor to the HCA AD, OSBP for review and endorsement. Once the MPA is submitted to the respective HCA, Mentors should allot 30 – 60 days for the HCA to evaluate the MPA. HCAs should provide the results of its evaluation by the end of that evaluation period. Some HCAs have specific evaluation timeframes and deadlines so be sure to check with the HCA’s AD for their timetable. The HCA’s Associate Director will forward endorsed Mentor-Protégé Agreements for evaluation to the SECNAV OSBP MPP PM by close of business on the following cut off dates:

| *Submittal and Evaluation Time Table | |
|---|--|
| Note: Table is by fiscal year | |
| MPA Submittal Timeframes | HCA Evaluation Timeframes |
| Dec 1 st – 31 st | Jan 1 st – Feb 28 th |
| March 1 st – 31 st | April 1 st – May 31 st |
| Aug 1 st – 31 st | Oct 1 st – Nov 30 th |

Proposed Mentor-Protégé Agreements submitted late will be held for evaluation at the next cut-off date.

Proposed Mentor-Protégé Agreements will be evaluated and forwarded to the DCMA Small Business Mentor-Protégé Division and DoD OSBP Mentor-Protégé Program Manager for approval and funding or rejected within 60 days after the above cut off dates. Notification of rejection will be sent to the Mentor and the HCA’s AD.

Rejected agreements may be revised and resubmitted a maximum of two additional times.

Proposed agreements will be evaluated based on the following criteria in **descending order of importance:**

- (1) Merit of the technology transfer to the Protégé firm;
- (2) Perceived benefit/value of the agreement to Navy and/or DoD;
- (3) Perceived benefit/value of the agreement to Protégé
- (4) Percentage of hours associated with technology transfer;
- (5) Subcontracting opportunities available to the Protégé;
- (6) Utilization of HBCUs/MIs, PTACs, SBDCs; and
- (7) Proposed cost.

DON small business, acquisition and program personnel will evaluate all proposed agreements.

9. DON's Procedures for Processing New Agreements

- ✓ Ensure that the Mentor is an approved DoD Mentor prior to proposal submission.
http://www.acq.osd.mil/osbp/sb/programs/mpp/participants/active_agreements.shtml
- ✓ Mentor has completed a preliminary assessment of the developmental needs of the Protégé firm.
- ✓ Mentor coordinates with the endorsing HCA's AD, Office of Small Business Programs and provides an **Informal Introductory Briefing** to the HCA's Mentor-Protégé Evaluation Team consisting of the HCA's small business, acquisition and program personnel. The SECNAV OSBP MPP PM should be included as a participant to this briefing.
- ✓ Upon concurrence of the merits of the proposed agreement by the HCA's Mentor-Protégé Evaluation Team, the Mentor will receive preliminary approval to further develop a formal Mentor-Protégé Agreement.
- ✓ Ensure the Mentor has an existing DON prime contract that meets the requirements contained in Section 7, Step 2 above, that will permit the addition of a separately priced cost reimbursable contract line item number (CLIN) for the developmental assistance costs.
- ✓ To assist the Mentor and Protégé in the development of the formal agreement, a Mentor-Protégé Program Agreement Template may be accessed electronically from the DoD Mentor-Protégé website at:
<http://www.acq.osd.mil/osbp/sb/programs/mpp/resources.shtml>
- ✓ Once the Mentor-Protégé Agreement is formalized, the Mentor must submit the agreement to the HCA's AD for review by the HCA's Mentor-Protégé Evaluation Team, which comprises of HCA contracting and Program personnel.
- ✓ Upon completion of the HCA's Mentor-Protégé Evaluation Team review, the HCA's AD will forward the proposed agreement to the SECNAV OSBP MPP PM with the following attachments:
 - (1) Endorsement letter from the HCA's Associate Director, OSBP
 - (2) Endorsement letter from the HCA's Contracting Office
 - (3) DON MP New Agreement Checklist (Can be found in Appendix-A of this Guidebook)
- ✓ Once approved by the SECNAV OSBP MPP PM, the agreement will be forwarded with an Endorsement letter to the DoD OSBP Mentor-Protégé Program Manager for approval.

- ✓ If the agreement is approved and funded by DoD OSBP, a copy of the approval letter and funds will be forwarded to SECNAV OSBP, in turn, SECNAV OSBP will initiate the transfer of funds to the HCA when funds have been provided.
- ✓ Once the funding is received by the HCA, the Contracting Officer should issue a modification to the contract adding the funding and the Contract Data Requirements List (CDRL) for the reporting requirements. The agreement will be added as a separately priced cost reimbursable line item to the appropriate existing Navy contract. The Mentor-Protégé Agreement and the Technical Proposal portions excluding the Cost Proposal should be added to the contract as an attachment. A special contract clause should be added stating all Government-furnished Property (GFP) purchased under this CLIN shall be abandoned in place at the Protégé's facility upon completion of the agreement in accordance with FAR 52.245-1 entitled "Government Property".
- ✓ All approved agreements will have the base year funded and will contain priced options for any additional years of effort proposed.

10. Procedures for Annual Funding

To be considered for option year funding, both the Mentor and Protégé must be satisfied with the progress of the agreement and agree to continue the agreement for an additional year.

- ✓ The Mentor must submit a letter signed by both the Mentor and Protégé requesting the agreement be continued for an additional year. The letter must include:
 - (1) Explanation of the milestones that were met with the previous funding, the milestones that were not met, and why, corrective action planned, and the planned accomplishments with the next increment of funding.
 - (2) Funding expended to date.
 - (3) The most recent DOD Mentor Protégé Agreement Semi-Annual Report (Can be found in Appendix-D)
 - (4) Updated agreement, developmental assistance, milestones, metrics, and revised cost proposal, if applicable.
- ✓ Mentors must submit the request for incremental funding when 75% of funds have been expended.
- ✓ The letter must be submitted to the HCA Small Business Office with a copy to SECNAV OSBP for review.
- ✓ Upon completion of the HCA Small Business Office review, the Incremental Funding Request is forwarded to the DoD OSBP with the following attachments:

- (1) Endorsement letter from the HCA Small Business Office.
 - (2) Current self-certification of business status if not certified by SBA.
- ✓ After approval and funding is provided to the endorsing HCA, DoD OSBP will forward a copy of the approval letter to advise the HCA Small Business Office. The contracting officer should issue a contract modification to add the additional funding to the contract.

11. Procedures for Processing Agreement Extensions/Realignment of Milestones

- ✓ The Mentor must submit a formal request to extend the agreement if the established milestones in the Mentor-Protégé Agreement cannot be met within the period of performance and/or if the Mentor needs to realign or add milestones upon re-evaluation of the Protégé Needs Assessment.
- ✓ Requests may be either at cost or no additional cost; but in either case, **the total agreement period cannot exceed 3 years**. Requests for an extension of the agreement for a period not to exceed an additional 2 years maybe approved upon request with appropriate justification that details the unusual circumstances that warrant a term in excess of 3 years.
- ✓ **To avoid a gap in the agreement period of performance, a Mentor must submit extension requests as soon as they suspect an extension will be necessary to meet the agreed upon milestones.** The Mentor must include a letter signed by both the Mentor and Protégé requesting the extension and/or realignment/addition of milestones with a justification explaining why it is necessary. The letter must include:
 - a. Funding expended to date;
 - b. Milestones accomplished;
 - c. Milestones not accomplished with explanation;
 - d. Any new milestones proposed;
 - e. Formal modification/addendum to the agreement signed by both parties (include updates to developmental assistance, milestones, metrics, and cost proposal, if applicable); and
 - f. Justification for additional cost, if any.
- ✓ The extension and/or realignment/addition of milestones request must be submitted to the HCA AD, Office of Small Business Programs for review.
- ✓ If the HCA AD, Office of Small Business Programs approved the request it is submitted by the HCA AD to the Director of the SECNAV OSBP for review and approval.

- ✓ If the request is for no additional cost to DON and it is approved, the SECNAV OSBP will forward the extension/realignment approval package to DoD OSBP for their records. If the request is at cost, then the SECNAV OSBP will send the request package to DoD OSBP for their approval and for the additional funding requested.
- ✓ Once approved, the SECNAV OSBP MPP PM will provide written notification to the HCA AD, Office of Small Business Programs. Upon receipt, the contracting officer should issue a contract modification to incorporate the changes and/or extend the agreement.
- ✓ All requests for extensions and/or realignment of milestones may require a site visit of the Protégé's facilities by the SECNAV OSBP MPP PM, or designee, prior to approval.

12. Procedures for Cancellation/Termination of Agreements

If the agreement is terminated prior to the scheduled completion date, a formal notification must be submitted in accordance with the procedures described in DFARS, Appendix I-111.

- ✓ A letter signed by both the Mentor and Protégé, must be submitted to the HCA AD, Office of Small Business Programs with copies to the DOD OSBP, DCMA, and Contracting Officer.
- ✓ Once the letter is received by the HCA, the Contracting Officer will generate a contract modification on the contract that holds the Mentor-Protégé Agreement, to de-obligate all remaining funds from the agreement. These funds are then returned to the SECNAV OSBP.
- ✓ After the funds are received by the SECNAV OSBP, those funds are then returned to DOD OSBP.

13. Reporting, Program Reviews and Helpful Templates

Reporting requirements for each Mentor and Protégé are described in the DFARS, Appendix I-112.

Monthly Expenditure Reports - Monthly Expenditure Reports are required to be submitted to the SECNAV OSBP MPP PM with a copy sent to the HCA AD, Office of Small Business Programs by the 5th of each month by the Mentor. This report will be included as a CDRL requirement when issuing the contract modification for the Mentor-Protégé Agreement. **Repeated failure to provide this report may result in denial of the next funding option.** This report can be found in Appendix-C of this Guidebook.

Semi-annual Reports – Mentors must report on the progress made under active Mentor-Protégé Agreements semiannually for the periods ending March 31st and September 30th throughout the Program participation term of the agreement. The September 30th report must address the entire fiscal year. **Reports are due 30 days after the close of each reporting period.** This report must be submitted to SECNAV OSBP MPP PM and the DCMA Administrative Contracting Officer for review. **Inaccurate and late reports will have a**

negative impact on the decision to approve funding. This report can be found in Appendix-D of this Guidebook.

Program Management Reviews (PMRs) – Face-to-face meetings or teleconferences will be held twice a year **in March and August**, between the SECNAV OSBP MPP PM, HCA AD 's Office of Small Business Programs, Mentor, Protégé, DCMA and HBCU/MI as appropriate to ascertain program's progress. Both Mentor and Protégé will have to present on the follow:

- In Power-Point form
 - 1) Progress and/or Accomplishments in the following areas:
 - a) Employment
 - b) Revenue
 - c) Milestones
 - d) Participation in DOD contracts
 - e) Customer Base
 - f) Certifications
 - g) Capabilities
 - h) Innovations
 - i) Locations/Facilities
 - 2) Challenges
 - 3) Lessons Learned
 - 4) Path Forward

Annual Performance Reviews - are conducted by the DCMA with the Mentor. These reviews must verify data provided on the semi-annual reports.

Close-out Review - Face-to-face meetings or teleconference that are held a month after the end of the MPA. It is conducted between the SECNAV OSBP MPP PM, HCA AD's Office of Small Business Programs, Mentor, Protégé, DCMA and HBCU/MI as appropriate to ascertain agreement's successes. Both Mentor and Protégé will have to present on the follow:

- In Power-Point form
 - 1) Progress and/or Accomplishments in the following areas:
 - a) Employment
 - b) Revenue
 - c) Milestones
 - d) Participation in DOD contracts
 - e) Customer Base
 - f) Certifications
 - g) Capabilities
 - h) Innovations
 - i) Locations/Facilities
 - 2) Challenges
 - 3) Lessons Learned
 - 4) Planned future projects, trainings, contracts and subcontracts

Post-Program Reviews (PPRs) – are face-to-face meetings (preferred) or teleconferences conducted with to assess the effectiveness of the Mentor Protégé relationship. These reviews are conducted between the SECNAV OSBP MPP PM and the Protégé firm. The PPRs are conducted each year for the following two (2) fiscal years after the end of the agreement. During these reviews the Protégé will have to present on the following:

- In Power-Point form
 - 1) Progress in the following areas:
 - a) Employment
 - b) Revenue
 - c) Participation in DOD contracts
 - d) Customer Base
 - e) Certifications
 - f) Capabilities
 - g) Innovations
 - h) Locations/Facilities
 - 2) Challenges
 - 3) Lessons Learned
 - 4) Recommendations for DON to enhance their Mentor-Protégé Program.
 - a) Each fiscal year of the Program Participation term; and
 - b) Each of the two (2) fiscal years following the expiration of the Program participation term.

In addition to the Power-Point, the protégé will have to complete the DON Post-Program Review Report that is located in Appendix-E of this Guidebook.

DON Mentor-Protégé Agreement Tracking Sheet – This document is a helpful tool that will assist HCAs to keep track of the necessary and pertinent data related to each individual Mentor-Protégé Agreement through the life of the agreement. It tracks such information as points of contact, funding requests, contract modifications, and Monthly Expenditure Reports. It can be found in Appendix-B of this Guidebook.

DON Mentor-Protégé Program Procedures Flowchart – This flowchart is for all stakeholders of a Mentor-Protégé Agreement. It provides a broad look at the responsibilities, levels of approval and the process. It can be found in the Appendix-F of this Guidebook.

APPENDIX

A - E

APPENDIX - A
DON MENTOR-PROTÉGÉ NEW AGREEMENT CHECKLIST
 (Click the image or [here](#))



DON Mentor-Protégé New Agreement Checklist

* HCA USE ONLY

HCA Information

HCA: _____

HCA AD: _____

HCA's MPP PM: _____

's MPP PM Email: _____

's MPP PM PH#: _____

HCA's CO: _____

HCA's CO Email: _____

HCA CO PH#: _____

MPA Holders Eligibility

Mentor: _____

| YES | NO |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |

Previously Approved Mentor?

Is the Mentor currently debarred ,suspended or have any open Investigations?

Past Performance Issues?

If so please specify:

Protégé: _____

| YES | NO |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> |

WOSB

Service-Disabled Veteran-Owned

HubZone

APPENDIX - B
DON MENTOR-PROTÉGÉ AGREEMENT TRACKING SHEET
 (Click the Image or [here](#))

| | |
|--|--|
| DON Mentor-Protégé Agreement Tracking Sheet | |
| *For HCA Use ONLY | |

Endorsing HCA: _____ MPA Between _____


| Points of Contact (POCs) | | | | | |
|--------------------------|---------------|---------------|----------------|----------------|---------------------|
| | Mentor POC #1 | Mentor POC #2 | Protégé POC #1 | Protégé POC #2 | Contracting Officer |
| Name: | | | | | |
| Address: | | | | | |
| Work Phone: | | | | | |
| Mobile Phone: | | | | | |
| Email: | | | | | |
| Fax: | | | | | |

| | Agreement Specifics | Comments |
|-----------------------------------|---------------------|----------|
| Submittal Date: | | |
| Approval Date: | | |
| Duration of Agreement: | | |
| Period of Performance Start Date: | | |
| Period of Performance End Date: | | |
| Total Value of Agreement: | | |
| Contract Number: | | |

| Funding | | | | | |
|--------------------|------|--------|---|---|---|
| | Date | Amount | Approved/Denied | Purpose | |
| Funding Requested: | | \$ - | Approved <input type="checkbox"/> Denied <input type="checkbox"/> | Base Y <input type="checkbox"/> OY <input type="checkbox"/> OY <input type="checkbox"/> | Milestone Realignment <input type="checkbox"/> Termination <input type="checkbox"/> |
| Contract Mod Sent: | | \$ - | Input Contract Mod # | | |
| Funding Received: | | | | | |
| Comments: | | | | | |
| De-Obligate | | \$ - | | Base Y <input type="checkbox"/> OY <input type="checkbox"/> OY <input type="checkbox"/> | Milestone Realignment <input type="checkbox"/> Termination <input type="checkbox"/> |
| Comments: | | | | | |
| Funding Requested: | | \$ - | Approved <input type="checkbox"/> Denied <input type="checkbox"/> | Base Y <input type="checkbox"/> OY <input type="checkbox"/> OY <input type="checkbox"/> | Milestone Realignment <input type="checkbox"/> Termination <input type="checkbox"/> |
| Contract Mod Sent: | | \$ - | Input Contract Mod # | | |
| Funding Received: | | | | | |
| Comments: | | | | | |
| De-Obligate | | \$ - | | Base Y <input type="checkbox"/> OY <input type="checkbox"/> OY <input type="checkbox"/> | Milestone Realignment <input type="checkbox"/> Termination <input type="checkbox"/> |
| Comments: | | | | | |

APPENDIX - C MONTHLY EXPENDITURE REPORT TEMPLATE

(Click on link or [here](#))



Department of the Navy Mentor - Protégé Program Monthly Report

Mentor: _____

Protégé: _____

Agreement Period of Performance: _____

Total Value of Agreement: _____

Reporting Month: _____

Submitted by: _____ Date: _____


| | Base Year | Option Yr 1 | Option Yr 2 |
|----------------------------------|-----------|-------------|-------------|
| Amount funded: | | | |
| Amount expended this month: | | | |
| Total expenditures for the year: | | | |
| Unexpended for the year: | 0 | 0 | 0 |

| Developmental Tasks per Mentor-Protégé Agreement | Date | | Actual End Date | Estimate of Actual % Complete as of |
|--|-------------------|---------------------|-----------------|-------------------------------------|
| | Actual Start Date | Addressed (mm/yyyy) | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |
| Task # - Task Name | | | | |

Comments: _____

APPENDIX – D DOD SEMI-ANNUAL REPORT

(Click on the image or [here](#))

| DoD MENTOR-PROTÉGÉ PROGRAM SEMIANNUAL REPORT | |  |
|--|--|---|
| INSTRUCTIONS | | |
| <ol style="list-style-type: none"> 1. Reporting requirements: Reports are due for all active agreements, both reimbursable and credit (including agreements with zero activity during the report period). 2. Reports are due not later than 30 days following the end of each semiannual reporting period (30 Apr or 31 Oct). 3. Official start date is the date of the contract/modification signed. For credit agreements, the Official start date is the date of the signed DCMA Approval Letter. Developmental assistance costs may only be incurred after receipt of an approval letter from DCMA. 4. An attachment may be included to provide additional information or explanation of any data items on this form or to provide pertinent information about the agreement that is not addressed on this form. | | |
| Last Day of This Report Period (3/31 or 9/30): <input style="width: 100px;" type="text"/> (mm/dd/yyyy) <small>(All reports cover a 6-month period ending on either 31 Mar or 30 Sep)</small> | | |
| Section A - General Information | | |
| Agreement Number/Task Order/Delivery Order: <input style="width: 600px;" type="text"/> (Reimbursable Only) | | |
| Type of Agreement: <input type="checkbox"/> Reimbursable <input type="checkbox"/> Credit | | |
| Period of Performance (Official Dates IAW Contract/Modifications or DCMA Credit Mentor-Protégé) Start Date: <input style="width: 100%;" type="text"/> End Date: <input style="width: 100%;" type="text"/> | Months of Performance Through End of Current Report Period <input style="width: 100%;" type="text"/> | |
| Mentor Firm Name: <input style="width: 100%;" type="text"/> Street Address1: <input style="width: 100%;" type="text"/> Street Address2: <input style="width: 100%;" type="text"/> City: <input style="width: 100%;" type="text"/> State: <input style="width: 100%;" type="text"/> ZIP: <input style="width: 150px;" type="text"/> CAGE: <input style="width: 100px;" type="text"/> DUNS: <input style="width: 100%;" type="text"/> | Mentor Firm POC Name: <input style="width: 100%;" type="text"/> Title: <input style="width: 100%;" type="text"/> Phone: <input style="width: 100%;" type="text"/> Fax: <input style="width: 100%;" type="text"/> Email: <input style="width: 100%;" type="text"/> | |
| Protégé Firm Name: <input style="width: 100%;" type="text"/> Street Address1: <input style="width: 100%;" type="text"/> Street Address2: <input style="width: 100%;" type="text"/> City: <input style="width: 100%;" type="text"/> State: <input style="width: 100%;" type="text"/> ZIP: <input style="width: 150px;" type="text"/> CAGE: <input style="width: 100px;" type="text"/> DUNS: <input style="width: 100%;" type="text"/> | Protégé Firm POC Name: <input style="width: 100%;" type="text"/> Title: <input style="width: 100%;" type="text"/> Phone: <input style="width: 100%;" type="text"/> Fax: <input style="width: 100%;" type="text"/> Email: <input style="width: 100%;" type="text"/> B Category(ies): (e.g. SDB, SDVOSB, WOSB, etc.) <input style="width: 100%;" type="text"/> | |
| Defense Agency Sponsor <input type="checkbox"/> Air Force <input type="checkbox"/> Army <input type="checkbox"/> Navy <input type="checkbox"/> DCMA <input type="checkbox"/> DIA <input type="checkbox"/> DLA <input type="checkbox"/> MDA <input type="checkbox"/> NGA <input type="checkbox"/> NSA <input type="checkbox"/> Other (specify) <input style="width: 100px;" type="text"/> | Defense Procurement Contracting Officer (PCO) (if Reimbursable) DCMA Mentor-Protégé Division Chief POC (if Credit) Name: <input style="width: 100%;" type="text"/> Street Address1: <input style="width: 100%;" type="text"/> Street Address2: <input style="width: 100%;" type="text"/> City: <input style="width: 100%;" type="text"/> State: <input style="width: 100%;" type="text"/> ZIP: <input style="width: 100px;" type="text"/> Phone: <input style="width: 100%;" type="text"/> Fax: <input style="width: 100%;" type="text"/> Email: <input style="width: 100%;" type="text"/> DoDAAC: <input style="width: 100%;" type="text"/> | |

APPENDIX – E
DON PROTÉGÉ POST-AGREEMENT REPORT
 (Click on the image or [here](#))

DON Post-Program Review Report



*Completed by Proteges only

Report Date:

INSTRUCTIONS:

1. Reporting requirement - reports are due for all completed, and/or terminated agreement terms, even if no activity has occurred.
2. Reporting cutoff activity captured - each year after agreement completion for 2 consecutive years
3. The report must address a complete year.
4. The first report is due 1 year & 1 month after agreement completion (e.g. agreement completion date 4/30/03, report is due 5/31/04).
 The second report is due 1 year after the first report due date (e.g. 1st report due date is 5/31/04, the 2nd report is due 5/31/05).
5. Baseline information comes from the Mentor-Protégé Agreement.
6. Baseline revenue is the most recent full year revenue prior to the agreement completion.
7. This form has been created in MS Excel; 8 pt Arial font.
8. All dollar values are expressed in whole dollars, cents omitted.

PROTÉGÉ Information:

| | | | |
|--------------------------------|----------------------|-----------------------|----------------------|
| Organization Name: | <input type="text"/> | Contact Name: | <input type="text"/> |
| Address: | <input type="text"/> | Title: | <input type="text"/> |
| City: | <input type="text"/> | Telephone: | <input type="text"/> |
| State: | <input type="text"/> | FAX: | <input type="text"/> |
| Zip: | <input type="text"/> | Email Address: | <input type="text"/> |
| URL: | <input type="text"/> | | |
| Industry: | <input type="text"/> | | |
| Congressional District: | <input type="text"/> | | |

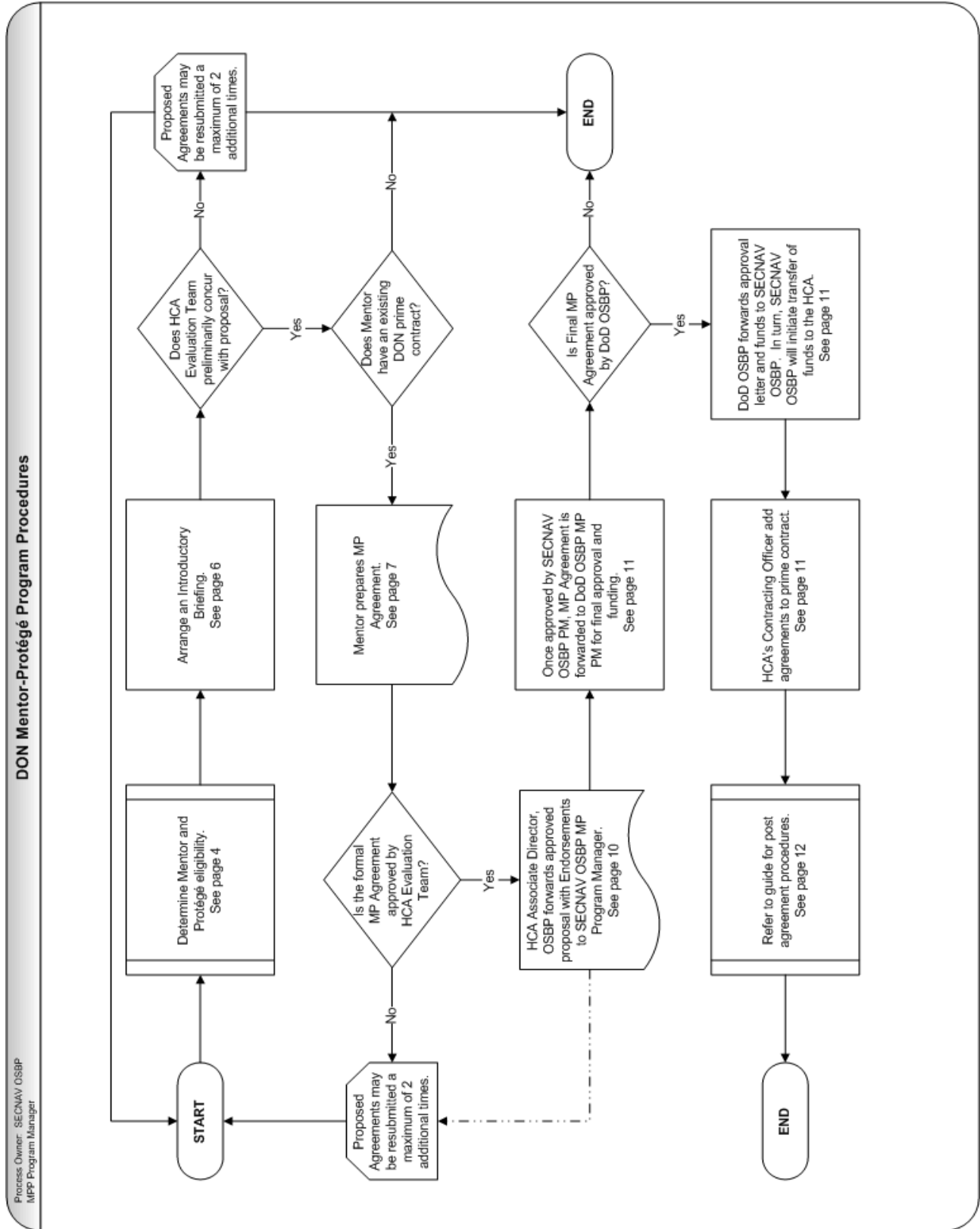
MENTOR Information:

| | | | |
|---------------------------|----------------------|-----------------------|----------------------|
| Organization Name: | <input type="text"/> | Contact Name: | <input type="text"/> |
| Address: | <input type="text"/> | Title: | <input type="text"/> |
| City: | <input type="text"/> | Telephone: | <input type="text"/> |
| State: | <input type="text"/> | FAX: | <input type="text"/> |
| Zip: | <input type="text"/> | Email Address: | <input type="text"/> |
| URL: | <input type="text"/> | | |

AGREEMENT Information:

| | |
|-------------------------------|----------------------|
| Contract Number: | <input type="text"/> |
| Agreement Type: | <input type="text"/> |
| Agency Sponsor: | <input type="text"/> |
| Period of Performance: | |
| Start Date: | <input type="text"/> |
| End Date: | <input type="text"/> |
| Actual Months: | <input type="text"/> |

APPENDIX - F DON MENTOR-PROTÉGÉ PROGRAM PROCEDURES FLOWCHART



Mentor-Protégé Guidebook For Industry and Acquisition Professionals



Small Business Development: Industrial Solutions for the Warfighter

October 2015

v 2.1

<http://www.secnav.navy.mil/smallbusiness/Pages/mentor-protege.aspx>



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