

SUBCONTRACTING PLAN (Model Template)

*While this model template has been designed to be consistent with FAR 19.7, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this template may be cause for either a delay in acceptance or the rejection of a bid or offer where the clause is applicable.

(TO BE SUBMITTED BY LARGE BUSINESSES)

(CONTRACTOR'S NAME)
(ADDRESS)

(Solicitation or Contract Number)

(Title of the Project and Location)

(Date Prepared)

Type of Report (Individual, Commercial, Master)

PLAN SUBMITTED BY:

Signature: _____ Date: _____

Printed Name: _____

Title: _____

REVIEWED:

Small Business Specialist

Date

REVIEWED:

Small Business Administration
Procurement Center Representative

Date

ACCEPTED:

Procuring Contracting Officer

Date

SUBCONTRACTING PLAN

The following, together with any attachments, is submitted as a Subcontracting Plan to satisfy the requirements of Federal Acquisition Regulations SUBPART 19.7. The following goals are established for the Base Period and/or all Bid Items including all option periods. This contract ☐ does ☐ does not contain option periods. (Use Attachment (1) for showing the breakdown of the base year and option periods.) Percentages may be rounded to nearest tenth of a percent.

1. a. Total Contract Value \$ _____
(including options)
- b. Total Subcontracted \$ _____ % of 1.a.
(inclusive of all planned subcontracting to all businesses, regardless of size)

2. The following dollars and percentage goals are applicable to the contract cited above.

- a. Large Business (LB) \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to subcontractors who are large business concerns.

- b. Small Business (SB) \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns^{**}; contracts awarded under the AbilityOne Program (formerly Javits Wagner O'Day Act Contracts (JWOD)) to NISH and NIB; and awards to Alaskan Native Corporations (ANCs) and Indian Tribes that are not small businesses and that are not certified by the SBA as Small Disadvantaged Businesses (SDBs) where you are either subcontracting directly to the ANC or Indian Tribe or where you have been designated to receive their SB and SDB credit. For further clarification on subcontracting with ANCs and Indian Tribes, see FAR 19.703(c) & FAR 52.219-9. (**This number includes all small businesses, including Small, SDB, WOSB, HUBZone, VOSB, SDVOSB concerns, and HBCU/MI.) (Include 2c., 2d., 2e., 2f., 2g., 2h., 2i., 2j., and 2k. below). Attach supporting rationale for goals less than _____%.

Notes: (1) Lines 2.a + 2.b = 100% of Line 1.b.

(2) Lines 2.c, 2.d, 2.e, 2.f, 2.g, 2.h, 2.i, 2.j, and 2.k are calculated against Line 1.b, the total value of overall subcontracting dollars.

(3) Subcontracts to companies that qualify in multiple categories of SB must be reported under each category. For example: if you are planning to subcontract \$100,000 to company ABC, a woman-owned small disadvantaged business that is also a certified HUBZone SB, you will report \$100,000 on line 2b (SB), 2c (HUBZone SB), 2d (WOSB) and 2e (SDB).

(4) The sum of 2c through 2k does not automatically equate to the value of 2b.

(5) Designated HUBZone Small Businesses and SDB firms must be certified by SBA.

c. HUBZone SB \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to subcontractors who are qualified HUBZone (Historically Underutilized Business Zone) small business concerns certified by SBA. Attach supporting rationale for goals less than _____. (Included in 2b., above, as a subset.)

d. Woman-Owned SB \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to subcontractors who are Women Owned Small Business concerns (WOSB). Attach supporting rationale for goals less than _____. (Included in 2b., above, as a subset.)

e. Small Disadvantaged Business \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns owned and controlled by Socially and Economically Disadvantaged individuals (SDB) certified by SBA. (Include in this category the planned subcontracting dollars to HBCU/MI shown in 2h. below, and the planned subcontracting dollars to ANCs and Indian Tribes shown in 2j below.) Attach supporting rationale for goals less than _____. (Included in 2b., above, as a subset.)

f. Veteran-Owned SB \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns owned and controlled by Veterans (VOSB). (Include in this category the planned subcontracting dollars to SDVOSB shown in 2g below.) Attach supporting rationale for goals less than _____. (Included in 2b., above, as a subset.)

g. Service-Disabled Veteran-Owned SB \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns owned and controlled by Service-Disabled Veterans (SDVOSB). Attach supporting rationale for goals less than _____. (Included in 2b. and 2f., above, as a subset.)

h. Historically Black Colleges & Universities/Minority Institutions \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to Historically Black Colleges and Universities or Minority Institutions (HBCU/MI) as identified in FAR 26. (Included in 2b. and 2e., above, as a subset.)

i. AbilityOne (Formerly JWOD) \$ _____ % of 1.b.

Total planned subcontracting dollars under this contract will go to AbilityOne participating Nonprofit Agencies (sometimes referred to community rehabilitation programs, work centers, industries, or rehabilitation facilities). Per DFARS 219.703, subcontracts awarded to qualified non-profit agencies for the blind or severely disabled may be counted toward the small business subcontracting goal. (Included in 2b., above, as a subset.)

j. Alaskan Native Corporations & Indian Tribes

\$ _____ % of l.b.

Total planned subcontracting dollars under this contract will go to Alaskan Native Corporations (ANCs) and Indian Tribes that have not been certified by SBA as Small Disadvantaged Businesses (SDBs) where you are either subcontracting directly to the ANC or Indian Tribe or where you have been designated to receive their SDB credit. (See FAR 19.703 & FAR 52.219-9) (Included in 2b. and 2.e., above, as a subset.)

k. Alaskan Native Corporations & Indian Tribes

\$ _____ % of l.b.

Total planned subcontracting dollars under this contract will go to Alaskan Native Corporations (ANCs) and Indian Tribes that are not small businesses where you are either subcontracting directly to the ANC or Indian Tribe or where you have been designated to receive their SB credit. (See FAR 19.703 & FAR 52.219-9) (Included in 2b., above, as a subset.)

3. The following principal products and/or services will be subcontracted under this contract. Additional sheets may be added as required.

a. Products/services planned for subcontracting to LB concerns:

List firm commitments below:

<u>Name of Firm</u>	<u>Products or Services</u>
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b. Products/services planned to be subcontracted to SB concerns:

List firm commitments below:

<u>Name of Firm</u>	<u>Products or Services</u>
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c. Products/services planned to be subcontracted to HUBZone SB concerns:

List firm commitments below:

<u>Name of Firm</u>	<u>Products or Services</u>
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d. Products/services planned to be subcontracted to WOSB concerns:

List firm commitments below:

<u>Name of Firm</u>	<u>Products or Services</u>
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e. Products/services planned for subcontracting to SDB concerns:

List firm commitments below:

<u>Name of Firm</u>	<u>Products or Services</u>
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f. Products/services planned for subcontracting to VOSB concerns:

List firm commitments below:

Name of Firm

Products or Services

g. Products/services planned for subcontracting to SDVOSB concerns:

List firm commitments below:

Name of Firm

Products or Services

h. Products/services planned for subcontracting to HBCU/MIs:

List firm commitments below:

Name of Firm

Products or Services

i. Products/services planned for subcontracting to AbilityOne organizations (formerly JWOD):

List firm commitments below:

Name of Firm

Products or Services

- j. Products/services planned for subcontracting to ANCs and Indian Tribes that have not been certified by SBA as Small Disadvantaged Businesses (SDBs). (See 2.j above for explanation):

List firm commitments below:

Name of Firm

Products or Services

- k. Products/services planned for subcontracting to ANCs and Indian Tribes that are not small businesses. (See 2.k above for explanation.)

List firm commitments below:

Name of Firm

Products or Services

(ATTACH ADDITIONAL PAGES IF ADDITIONAL SPACE IS REQUIRED)

4. The following method was used to develop the above subcontracting goals. Include a statement explaining how the products and services to be subcontracted were established, how the areas to be subcontracted to SB, SDB, WOSB, HUBZone, VOSB, SDVOSB concerns, HBCU/MIs, AbilityOne program participants, ANCs and Indian Tribes were determined, and how their capabilities were determined.

5. Source lists utilized in making the determinations in 4, above are as follows:

6. Indirect and overhead costs ☐ have ☐ have not been included in the goals specified in 1 and 2 above. If "have" is checked, explain the method used in determining the proportionate share of indirect and overhead costs to be allocated as subcontracts to SB, SDB, WOSB, HUBZone SB, VOSB, and SDVOSB concerns, and HBCU/MI, and the products and services planned:

7. The following employee will administer the subcontracting program:

NAME: _____

ADDRESS: _____

TELEPHONE NO.: _____ FAX NO.: _____

EMAIL: _____

TITLE: _____

This individual's specific duties, as they relate to the firm's subcontracting plan, are general overall responsibility for this company's Small Business Program. This person should have knowledge of the federal small business programs and be knowledgeable about federal procurement practices. If the prime decides to change the person in this position, they must notify the Contracting Officer and the Deputy for Small Business. The administrator is responsible for the development, preparation and execution of this subcontracting plan, and for monitoring performance relative to contractual subcontracting requirements contained in this plan, including, but not limited to:

- a. Developing and maintaining bidders lists of SB, SDB, WOSB, HUBZone SB, VOSB, SDVOSB concerns, AbilityOne program participants, HBCU/MIs, ANCs, and Indian Tribes (hereafter referred to as the small business community) from all possible sources.
- b. Ensuring that procurement packages are structured to permit the small business community to participate to the maximum extent possible.
- c. Assuring inclusion of the small business community in all solicitations for products or services, which they are capable of providing.
- d. Reviewing solicitations to remove statements, clauses, etc., which may tend to restrict or prohibit the small business community participation.
- e. Ensuring periodic rotation of potential subcontractors on bidders lists.
- f. Ensuring that the bid proposal review board documents its reasons for not selecting low bids submitted by the small business community.
- g. Ensuring the establishment and maintenance of records of solicitations and subcontract award activity.
- h. Attending or arranging for attendance of company counselors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.

- i. Conducting or arranging for the motivational training for purchasing personnel pursuant to the intent of P.L. 95-507.
- j. Monitoring attainment of proposed goals.
- k. Preparing and submitting required periodic subcontracting reports.
- l. Coordinating contractor's activities during the conducting of compliance reviews by Federal agencies.
- m. Coordinating the conduct of contractor's activities involving its small business subcontracting program.
- n. Additions to (or deletions from) the duties specified above are as follows:

8. The following efforts will be taken to assure that the small business community will have an equitable opportunity to compete for subcontracts.

- a. Outreach efforts will be made by identifying:
 - Contacts with minority and small business trade associations.
 - Contacts with business development organizations.
 - Attendance at small and minority business procurement conference and trade fairs.
- b. Sources will be requested from the *Central Contractor Registration (CCR)* website available at <http://www.ccr.gov/> on the Internet.
Automated data base sources to be used, other than CCR, will be as follows.

- c. The following internal efforts will be made to guide and encourage buyers:
 - (i) Workshops, seminars and training programs will be conducted.
 - (ii) Activities will be monitored to evaluate compliance with this subcontracting plan.
 - (iii) Arrange interviews with the small business community.
- d. Describe how your small business data base, source lists, guides, and other data will be maintained and utilized by buyers in soliciting subcontracts; e.g., rotation of firms in the data base, keeping data base current and useful, etc.

- e. Additions to (or deletions from) the above listed efforts are as follows:

10. The offeror (contractor) agrees that the FAR clause 52.219-8 entitled "Utilization of Small Business Concerns " will be included in all subcontracts which offer further subcontracting opportunities, and all subcontractors, except SB concerns, who receive subcontracts in excess of \$550,000 (\$1,000,000 for Construction) will be required to adopt and comply with subcontracting plan similar to this one. Such plans will be reviewed by comparing them with the provisions of P.L. 95-507 and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small and small disadvantaged subcontractors, and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to review subcontracting program progress.
11. The offeror (contractor) agrees to submit such periodic reports and cooperate in any studies or surveys as may be required by the contracting agency or the Small Business Administration in order to determine the extent of compliance by the offeror (contractor) with the subcontracting plan and with FAR clause 52.219-8.
12. The offeror (contractor) agrees to:
 - a. Submit the Individual Subcontract Report (ISR) and the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS) at <http://www.esrs.gov>, following the instructions in the eSRS and FAR Clause 52.219-9;

1 st reporting period – Oct 1 through March 31	Submit NLT 30 April
2 nd reporting period – Oct 1 through September 30	Submit NLT 30 October

A separate "Final" ISR is required at contract completion.

Upon award of the contract, the identity of the individual(s) responsible for acknowledging receipt or rejecting the ISR and the SSR will be provided to the awardee.

- b. Ensure that its large business subcontractors with subcontracting plans agree to submit the ISR and/or the the SSR using the eSRS;
- c. Provide its prime contract number and 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 large business subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their reports; and
- d. Require that each large business subcontractor with a subcontracting plan provide the prime contract number and its own DUNS number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to its large business subcontractors with subcontracting plans.

****Note 1: If contract value is \$500,000,000 or more and the solicitation includes Clause 52.204-10, Reporting Subcontract Awards, ensure additional reporting requirements are met in eSRS in accordance with this clause.***

13. The offeror (contractor) agrees to maintain at least the following types of records to document compliance with this subcontracting plan:
- a. Source lists, guides and other data identifying concerns in the small business community.
 - b. Organizations contacted to locate firms in the small business community.
 - c. On a contract-by-contract basis, records on all subcontract solicitations over \$100,000, indicating for each solicitation;
 - (i) whether concerns in the small business community were solicited, and if not, why not; and
 - (ii) reasons for the failure of the solicited concerns in the small business community to receive the subcontract award.
 - (iii) written designations from ANCs or Indian Tribes, in accordance with FAR 19.703, if applicable.
 - d. Records to support other outreach efforts, e.g., contacts with small business trade associations, business development organizations, and attendance at small business procurement conferences and trade fairs, and frequency of accessing CCR.

*****END OF PLAN*****

The original copy of this plan is included in the file and made a material part of the contract.

Copy to:
Small Business Specialist
SBA PCR

May 2008

Base Period and Option Year Subcontracting Goals
Solicitation ____ (Insert Contract Number) ____

	<u>Base Period</u>	<u>Option Period 1</u>	<u>Option Period 2</u>	<u>Option Period 3</u>	<u>Option Period 4</u>	<u>Total All Periods</u>
1. <u>Total Contract</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
2. <u>Total Subcontracted</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 1)</u>	% _____	% _____	% _____	% _____	% _____	% _____
3. <u>To LB</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
4. <u>To SB & NISH/NIB</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
5. <u>To HUBZone SB</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
6. <u>To WOSB</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
7. <u>To SDB</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
8. <u>To VOSB</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
9. <u>To SDVOSB</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
10. <u>To HBCU/MI</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
11. <u>To AbilityOne</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	\$ _____

12. <u>To ANCs/Indian Tribes, Not SDBs</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____
13. <u>To ANCs/Indian Tribes, Not SBs</u>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<u>(% of Line 2)</u>	% _____	% _____	% _____	% _____	% _____	% _____

Attachment (1)