



Small Business Subcontracting Plan

The following is a suggested model for use when developing Subcontracting Plans for the Lab as required by Federal Acquisition Regulation (FAR) Subpart 19.7 and 52.219-9. While this Model Plan has been designed to be consistent with regulatory requirements, other formats of a Subcontracting Plan may be acceptable. **However, failure to include essential information as exemplified in this Model may be cause for either a delay in acceptance or the rejection of an offer when a Subcontracting Plan is required. Further, the use of this Model is not intended to waive other requirements that may be applicable under regulation.**

BASIC INFORMATION

State Offeror/Subcontractor Name, Address, Telephone & Facsimile (Fax) Numbers, and Electronic Mail Address (e-mail):

Subcontract Number

Subcontract Amount

Period of Performance

Item/Service

The following, along with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements FAR Clause 52.219-9, *Small Business Subcontracting Plan*.

TERMS AND DEFINITIONS

The following terms, abbreviations, or acronyms are used throughout this form:

- **VOSB / SD-VOSB** – Veteran-Owned Small Business concern / Service-Disabled Veteran-Owned Small Business concern
- **HUBZone** – Historically Underutilized Business Zone.
- **SDB** – Small Disadvantaged Business concern.
- **WOSB** – Women-Owned Small Business concern.
- **Indirect Cost** – Overhead activities may be used to supplement direct charge activities. Offerors/Subcontractors are encouraged to use indirect (overhead) costs to meet Goals when direct cost subcontracting opportunities are restrictive.
- **LB** – Large Business Concern

Type of Plan (check one)

Individual Contract Plan-Individual contract Plan, as used in this subpart, means a subcontract plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror's planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purpose may be allocated on a prorated basis to the contract.

Master Plan-Master Plan, as used in this subpart, means a subcontracting plan that contains all of the required elements of the individual plan, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.

Commercial Products Plan-Commercial Plan, as used in subpart, means a subcontracting plan that covers the offeror's fiscal year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division plant, or product line). The contractor must provide a copy of the approved plan. NOTE: A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial/items.

¹ Subcontractors are required to submit separate Dollar and Percentage Goals for each Socioeconomic categories in Part I B. SLAC National Accelerator Laboratory will **not** accept "zero" dollar or "zero" Percentage Goals.

² Exclude: (1) subcontracts involving performance outside the U.S. or its outlying areas and (2) purchases to a corporation, company, or subdivision that is an affiliate of the subcontractor.

³ Place here Total Estimated Dollar Value and Percentage of planned Subcontracting with all Small Business categories, below.



Small Business Subcontracting Plan

PART I - SUBCONTRACTING GOALS (MANDATORY) (See Footnote 1)

A. State estimated dollar value of TOTAL planned subcontracting – including SB and LB (See Footnotes 2&3):\$ _____

B. State separate Dollar Goal and Percentage Goal for each of the SB concerns. Percentages should be *expressed as a percentage of the total dollars planned to be subcontracted*. The Offeror or Subcontractor shall include all subcontracts that contribute to Lab subcontract performance.

SB	\$	%
SDB	\$	%
WOSB	\$	%
HUBZone SB	\$	%
VOSB	\$	%
SD-VOSB	\$	%
LB	\$	%

C. Describe principal types of supplies and services to be subcontracted to each of the SB concern categories:

SB	
SDB	
WOSB	
HUBZone SB	
VOSB	
SD-VOSB	

¹ Subcontractors are required to submit separate Dollar and Percentage Goals for each Socioeconomic categories in Part I B. SLAC National Accelerator Laboratory will **not** accept “zero” dollar or “zero” Percentage Goals.
² Exclude: (1) subcontracts involving performance outside the U.S. or its outlying areas and (2) purchases to a corporation, company, or subdivision that is an affiliate of the subcontractor.
³ Place here Total Estimated Dollar Value and Percentage of planned Subcontracting with all Small Business categories, below.



Small Business Subcontracting Plan

SMALL BUSINESS SUBCONTRACTING PLAN

D. Describe method(s) used to develop the above Subcontracting Goals:

(attach additional sheets of paper, as necessary)

E. Were indirect costs included in establishing these Goals? Yes No

If yes, describe the method(s) used to determine the proportionate share of indirect costs to be allocated to SB concerns.	SB	
	SDB	
	WOSB	
	HUBZone SB	
	VOSB	
	SD-VOSB	

PART II - SUBCONTRACTING PROCEDURES (MANDATORY)

A. Indicate position (program administrator) within the corporate structure, as well as the duties and responsibilities, of the employee who will administer and monitor the compliance of Offeror/Subcontractor's Small Business Subcontracting Program: (Reference FAR Part 52.219-9, *Small Business Subcontracting Plan*, [See Paragraphs 9-11] for specific duties as they relate to the firm's Subcontracting Program and include any additional duties the Offeror/Subcontractor has designated).

Name & Title:	
Address:	
Telephone/E-mail:	

Description of duties:

(attach additional sheets of paper, as necessary)

B. Indicate methods used to identify potential sources for solicitations, such as the following (not all inclusive):

- Maintenance of company source list or supplier management program.
- Conducting market surveys to identify new sources.
- Contacting minority and small business trade associations.
- Contacting business development organizations and local chambers of commerce.
- Attending Small Business procurement conferences and trade fairs.
- Utilizing Veteran service organizations.
- Utilizing the Central Contractor Registration (CCR/Dynamic Small Business Search).
- Utilizing Federal government development centers such as DoD's Procurement Technical Assistance Center (PTAC), SBA's Small Business Development Center (SBDC), Department of Commerce's Minority Business Development Center (MBDC), or the National Minority Purchasing Council Vendor Information Services.
- Other: _____

(attach additional sheets of paper, as necessary)



Small Business Subcontracting Plan

SMALL BUSINESS SUBCONTRACTING PLAN

C. Describe methods used to assure that SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns are provided an equitable opportunity to compete for the lower-tier subcontracts:

(attach additional sheets of paper, as necessary)

PART III – SUBCONTRACTING PLAN MANAGEMENT (MANDATORY)

The Offeror/Subcontractor certifies, by signature on this Plan, that the following procedures regarding management of this Subcontracting Plan will be enacted and maintained:

- A. Offeror/Subcontractor will assist SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate participation by such concerns.
- B. Where the lists of potential lower-tier subcontractors are excessively long, Offeror/Subcontractor will make a reasonable effort to give all SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns an opportunity to compete over a period of time.
- C. Offeror/Subcontractor will provide adequate and timely consideration of the potentialities of SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns in all “make or buy” decisions.
- D. Offeror/Subcontractor will counsel and discuss subcontracting opportunities with representatives of SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns.
- E. Offeror/Subcontractor will provide notice to lower-tier subcontractors concerning penalties and remedies for misrepresentation of business status as SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns, for the purpose of obtaining a lower-tier subcontract that is to be included as part or all of a Goal contained in the Subcontractor’s Subcontracting Plan.
- F. Offeror/Subcontractor will establish and maintain the following types of records to demonstrate procedures that have been adopted to comply with the requirements and Goals in this Plan. The records shall include at least the following on a plant-wide or company-wide basis, unless otherwise indicated:
 1. Description(s) of Offeror/Subcontractor’s efforts to locate sources that are SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns and to award subcontracts to them;
 2. Source lists (e.g., CCR/Dynamic Small Business Search), guides, and other data that identify SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB concerns;
 3. Records of each subcontract solicitation resulting in an award of more that \$100,000.00, 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 why the award was not made to a small business concern.



Small Business Subcontracting Plan

SMALL BUSINESS SUBCONTRACTING PLAN

PART III – SUBCONTRACTING PLAN MANAGEMENT (CONTINUED)

4. Records of outreach efforts to contact such activities as: (a) trade associations, (b) small business development organizations, and (c) conferences and trade fairs to locate SB, VOSB, SD-VOSB, HUBZone, SDB, and WOSB business sources.

5. 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; and

6. Records on a lower-tier subcontract-by-subcontract basis, supporting information for award data submitted by the Subcontractor to the Laboratory, including the name, address, and business size of each lower-tier subcontractor. (Subcontractors having Commercial Plans need not comply with this requirement).

PART IV – LOWER-TIER SUBCONTRACTOR FLOW DOWN CLAUSE (MANDATORY)

Offeror/Subcontractor certifies that the following procedures regarding management of this Subcontracting Plan will be enacted:

- A. Offeror/Subcontractor agrees to include the provisions under FAR 52.219-8, *“Utilization of Small Business Concerns,”* in all lower-tier subcontracts that offer further lower-tier subcontracting opportunities.

- B. Offeror/Subcontractor agrees to ensure that all large business subcontractors receiving a lower-tier subcontract in excess of \$550,000.00 or \$1,000,000.00 for construction must adopt and comply with a Small Business Subcontracting Plan similar to the Plan required by FAR 52.219.9, *“Small Business Subcontracting Plan,”* as well as **PART V**, below. (See FAR 19.704(a)(4) and FAR 19.708(b)).

PART V – REPORTING AND COOPERATION (MANDATORY)

A new electronic reporting system, the eSRS, has been implemented. This system will eliminate paper submission and processing of the SF 294s, *“Individual Subcontracting Reports”* (ISRs) and the SF 295s, *“Summary Subcontracting Reports”* (SSRs), replacing them with an electronic method to collect and process small business subcontracting data.

Offeror/Subcontractor gives assurance of: (1) cooperation in any studies or surveys that may be required; (2) submission of any periodic reports which will allow the Laboratory to determine the extent of compliance by the Offeror/Subcontractor with its Subcontracting Plan; and (3) submission of the ELECTRONIC *“Subcontracting Report for Individual Contracts,”* or *“Individual Subcontracting Report”* (ISR, formerly Standard Form [SF] 294), and the ELECTRONIC *“Summary Subcontract Report”* (SSR, formerly SF 295) in accordance with the **paragraphs below regarding MANDATORY electronic submission of these Reports.**

Reporting Period	Type of Report Due	Due Date
Oct 1 - Mar 31	ISR (formerly the SF 294)	Apr 30
Apr 1 - Sept 30	ISR (formerly the SF 294)	Oct 30
Oct 1 - Sept 30	SSR (formerly the SF 295)	Oct 30
Subcontract Completion	ISR (formerly the SF 294)	30 days after completion

Special instructions for the Commercial Products Plan: The *“Summary Subcontracting Report”* or SSR (formerly the SF 295 Report) is due on October 30th each year for the previous fiscal year ended September 30th.

Special Instructions for the Electronic Subcontracting Reporting System (eSRS): The requirement for the submittal of paper versions of the Standard Form (SF) 294, *“Subcontracting Reports for Individual Contracts,”* and SF 295, *“Summary Subcontract Report,”* as provided in FAR 52.219-9(j) is hereby deleted and is replaced with the electronic submittal of data under the Electronic Subcontract Reporting System.



Small Business Subcontracting Plan

SMALL BUSINESS SUBCONTRACTING PLAN

PART V – REPORTING AND COOPERATION (CONTINUED)

The Offeror/Subcontractor's Subcontracting Plan shall include assurances that the Offeror/Subcontractor will: (1) submit the "Individual Subcontracting Report(s)" (ISRs) and "Summary Subcontracting Report(s)" (SSRs) under the eSRS and (2) ensure that its subcontractors agree to submit Individual Subcontracting Reports and Summary Subcontracting Reports **at all tiers**, in eSRS.

The Subcontractor shall provide such information that will allow applicable lower tier subcontractors to fully comply with the statutory requirements of FAR 19.702.

Subcontractor shall utilize SLAC National Accelerator Laboratory Prime Contract No.: DE-AC02-76-SF0015 for the eSRS submissions.

Any questions regarding Subcontractor submittal of ISR (SF 294) and SSR (SF 295) or eSRS can be addressed to the following office: Ms. Pamela Wright-Brunache, SLAC Small Business Plan Program Administrator, SLAC National Accelerator Laboratory, 2575 Sand Hill Road, MS 01, Menlo Park, California, 94025. Ms. Wright-Brunache's telephone number is: (650) 926-2440 FAX number is: (650) 926-5355 and e-mail address is: pdwb@slac.stanford.edu. Additionally, for more information on eSRS, please visit: <http://esrs.gov> or <http://acquisition.gov>.

PART VI - AGREEMENT AND APPROVAL SIGNATURES

A. Offeror/Subcontractor's Agreement and Certification:

Offeror/Subcontractor signature Typed name and title Date

(As stated in 15 U.S.C. 637(d)(8), any contractor or subcontractor failing to comply in good faith with the requirements of the Subcontracting Plan is in material breach of its contract).

Comments:

SLAC NATIONAL ACCELERATOR LABORATORY USE ONLY

B. SLAC Procurement Representative:

Procurement Representative signature Typed name and title Date

Comments:

C. Small Business & Supplier Management Office:

Signature Typed name and Title Date

Comments: