



DEPARTMENT OF THE ARMY
U.S. ARMY MEDICAL COMMAND
OFFICE OF THE ASSOCIATE DIRECTOR FOR SMALL BUSINESS
2107 17TH STREET, SUITE 70
FORT SAM HOUSTON, TEXAS 78234-5070

REPLY TO
ATTENTION OF

MCAD-SB

1 April 2005

MEMORANDUM FOR CHIEFS, MEDCOM HCAA REGIONAL CONTRACTING OFFICES

SUBJECT: Subcontracting Plan Guide (issued 8 Dec 04)

1. The purpose of this memorandum is to amend page 4, paragraph 7.b. of the Subcontracting Plan Guide. Revise as follows:

delete 52.219-15 and replace with 52.219-16

2. Our point of contact is Mrs. Nancy Villarreal, U.S. Army Medical Command Office of the Associate Director for Small Business DSN 421-4415, Commercial (210) 295-4415, or E-mail Nancy.Villarreal@amedd.army.mil.


DAN E. SHACKELFORD
Associate Director
for Small Business



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
U.S. ARMY MEDICAL COMMAND
HEALTH CARE ACQUISITION ACTIVITY
2107 17TH STREET, SUITE 69
FORT SAM HOUSTON, TEXAS 78234-5069

MCAA

8 December 2004

MEMORANDUM FOR CHIEFS, MEDCOM HCAA CONTRACTING CENTER/RCOs

SUBJECT: Subcontracting Plan Guide

In support of our commitment to small business goals, the enclosed guide, developed by the Office of the Associate Director for Small Business, is provided for your use. You will comply with FAR, DFARS and AFARS requirements. Please review with your contracting officers and contract specialists to ensure compliance.

Encl

A handwritten signature in black ink, appearing to read "Ned Stephens, Jr.", written in a cursive style.

NED STEPHENS, JR.
Lieutenant Colonel, MS
Principal Assistant Responsible
for Contracting



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
U.S. ARMY MEDICAL COMMAND
OFFICE OF THE ASSOCIATE DIRECTOR FOR SMALL BUSINESS
2107 17TH STREET, SUITE 70
FORT SAM HOUSTON, TEXAS 78234-5070

MCAD-SB

MEMORANDUM FOR CHIEFS, MEDCOM HCAA REGIONAL CONTRACTING OFFICES

SUBJECT: Subcontracting Plan Guide

1. The purpose of this guide is to provide procedures for managing subcontracting plans in accordance with FAR Part 19.7, DFARS 219.7 and AFARS 5119.7.

2. Any contractor receiving a contract for more than the simplified acquisition threshold must agree in the contract that small business (SB), small disadvantaged business (SDB), veteran-owned small business (VOSB), service-disabled veteran-owned small business (SDVOSB), HUBZone small business (HUBZone), and woman-owned small business (WOSB) concerns will have the maximum practicable opportunity to participate in contract performance consistent with efficient contract performance. An acceptable written subcontracting plan is required for each solicitation expected to exceed \$500,000 (\$1,000,000 for construction), including all options, and that has subcontracting possibilities, unless

- a. The apparently successful offeror is a small business concern,
- b. The contract is for personal services,
- c. The contract or contract modification will be performed entirely outside of the United States and its outlying areas, or
- d. The contract modification is within the scope of the contract and the contract does not contain the clause at FAR 52.219-8, Utilization of Small Business Concerns (or equivalent).

3. The subcontracting plan must be made a material part of the contract at time of award. Any apparently successful offeror who fails to submit a subcontracting plan acceptable to the contracting officer within the time limit prescribed by the contracting officer will be ineligible for award.

4. Subcontracting plans should be realistic, challenging, and achievable, with positive percentage and dollar goals for subcontracting.

5. There are three types of subcontracting plans:

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SUBJECT: Subcontracting Plan Guide

a. Individual - 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. Indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.

b. Commercial - includes goals, covers the offeror's entire fiscal year and 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). A commercial subcontracting plan is approved by the agency awarding the offeror its first prime contract requiring a subcontracting plan.

c. Master - contains all required elements of an individual plan except goals and may be incorporated into individual plans provided the master plan has been approved. Goals specific to the solicitation must be submitted and approved prior to contract award. Master plans are effective for a three-year period.

6. Subcontracting Plans have 11 detailed requirements (FAR 19.704):

a. Separate percentage goals, expressed in terms of percentages of total planned subcontracting, to each group (SB, SDB, WOSB, HUBZone, SDVOSB and VOSB). A small disadvantaged business goal of less than 5% must be approved 2 levels above the contracting officer. The goal for use of SDB concerns shall include goals for subcontracts with:

i. Historically black colleges and universities and minority institutions (HBCU/MI). (DFARS Part 219.704(a)(1)) Subcontracts with HBCU/MI do not have to be included in the small disadvantaged business goal in commercial subcontracting plans.

ii. Hispanic Serving Institutions (HSI), (AFARS 5119.704(a))
and

iii. Tribal Council Universities (AFARS 5119.704(a)).

b. Total dollars planned to be subcontracted and total dollars planned to be subcontracted to each group;

c. Description of the principal types of supplies and services planned to be subcontracted to each group;

d. Description of the method used to develop each of the goals;

e. Description of the method used to identify potential subcontracting sources;

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f. Statement as to whether or not the offeror included indirect costs in establishing subcontracting goals, and a description of the method used to determine the proportionate share of indirect costs to be incurred with each group;

g. Name of the Subcontracting Plan Administrator and description of duties;

h. Description of efforts that company will make to ensure that all small businesses will have an equitable opportunity to compete for subcontracts;

i. Assurances that company will "flow-down" subcontracting requirements to its subcontractors;

j. Assurances that company will

i. Cooperate in any studies or surveys,

ii. Submit periodic reports as required by the contract,

iii. Submit Standard Forms 294 and 295, and

iv. Ensure that its subcontractors agree to submit SF 294 and SF 295.

k. A description of the types of records the company will maintain to demonstrate its compliance with the Plan.

7. Prior to contract award the contracting officer must

a. Determine whether a proposed contractual action requires a subcontracting plan:

i. Is the prime contractor other than small business?

ii. Will the estimated total dollar value, including options, exceed \$500,000 (\$1,000,000 for construction)? (FAR 19.702(a))

iii. Are there subcontracting opportunities? If it is determined that there are no subcontracting possibilities, the determination must be approved at a level above the contracting officer and placed in the contract file. (FAR 19.705-2(c))

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SUBJECT: Subcontracting Plan Guide

b. Include the requirement for a subcontracting plan in the solicitation and identify the subcontracting plan as an evaluation factor (sample at encl 1), and ensure appropriate contract clauses are in the solicitation (i.e. 52.219-08, 52.219-09, 52.219-15, etc). The subcontracting plan can be required with the offeror's proposal or at any time prior to award that allows sufficient time for reviews, negotiations and approvals.

c. Provide to the Small Business Administration (SBA) Procurement Center Representative (PCR) any solicitation requiring submission of a subcontracting plan with a reasonable period of time to review and to submit advisory findings to the contracting officer before the solicitation is issued.

d. Upon receipt of subcontracting plan, the contracting officer is to review it for adequacy, ensuring that the required information, goals, and assurances are included. If procurement is a non-commercial item AFARS Appendix DD shall be utilized to score the subcontracting plan (AFARS Part 5119.705-4(d)(i)). Enclosure 2 to this Guide is Appendix DD reformatted, with PARC approval, to facilitate record keeping. The Individual Subcontracting Plan Checklist (encl 3) will be completed to document the reviews conducted by the Contracting Officer, the Small Business Specialist and the PCR.

i. Score subcontracting plans in the context of the particular procurement. For instance, in smaller dollar value contracts, it may be impracticable or not cost effective for offerors to take the type of actions that may be appropriate in contracts for larger dollar values. However, in such cases, offerors must still address each element of the guide and discuss what they intend to do regarding each element. Contracting officers shall then assign appropriate point scores.

ii. The evaluation guide and scoring system shall not be modified without the approval of the PARC. This approval authority may not be delegated.

e. For commercial items utilize only the Individual Subcontracting Checklist and Review (encl 3). Ensure it is reviewed and signed by the Contracting Officer, the agency Small Business Specialist and the PCR.

f. A copy of the completed evaluation shall be included in the contract file.

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g. In negotiated acquisitions, the contracting officer shall determine whether the plan is acceptable based on negotiation of each element of the plan. Subcontracting goals should be set at a level that the parties reasonably expect can result from the offeror expending good faith efforts. The contracting officer shall take care to ensure that the offeror has not submitted unreasonably low goals. Particular attention should be paid to identifying steps that, if taken, would be considered a good faith effort. No goal should be increased if it is apparent that a higher goal will significantly increase the Government's cost or seriously impede contract performance.

h. Notify the agency small business specialist of the opportunity to review the proposed contract to include the plan and supporting documentation (i.e. Subcontracting Plan Evaluation or the Individual Subcontracting Plan Checklist and Review). The Contracting Officer and SADBUS shall complete and sign the documentation prior to submitting the Plan to the PCR for review and approval. The SADBUS and PCR shall be afforded at least five working days to review the material and submit advisory recommendations to the contracting officer prior to final negotiations.

i. Ensure that an acceptable plan is incorporated into and made a material part of the contract prior to award of the contract.

8. After a contract or contract modification containing a subcontracting plan is awarded, the contracting officer who approved the plan is responsible for the following:

a. Notifying the SBA of the award by sending a copy of the award document to the Area Director, Office of Government Contracting, in the SBA area office where the contract will be performed, or where the contractor's headquarters is located if a commercial plan is involved.

b. Giving the assigned PCR (if any) a copy of the final subcontracting plan that was incorporated into the contract or contract modification.

c. Ensuring that Standard Forms 294 and 295 are submitted on time, and are complete and accurate.

d. Taking action to enforce the terms of the contract including initiating action to assess liquidated damages if such action is warranted. Any contractor that fails to make a "good faith effort" to achieve the goals in its Subcontracting Plan may be found in material breach of contract and terminated for default, or liquidated damages may be imposed.

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SUBJECT: Subcontracting Plan Guide

9. Our point of contact is Mrs. Nancy Villarreal, U.S. Army Medical Command Office of the Associate Director for Small Business DSN 421-4415, Commercial (210) 295-4415, or E-mail nancy.villarreal@cen.amedd.army.mil.

3 Encls



DAN E. SHACKELFORD
Associate Director for
Small Business

Part VI: SUBCONTRACTING PLAN.

1. If the offeror is a large business, it must submit a subcontracting plan as required under FAR 19.702(a) (1) and must contain separate parts for the base year and for each option year. If the offeror is a large business and fails to submit a subcontracting plan, it will be ineligible for award.

2. Each large business concern shall submit a Subcontracting Plan, which upon award and approval by the contracting officer, will be incorporated into the contract. The offeror shall document clear, detailed, logical and realistic approaches in its Subcontracting Plan for establishment, oversight, and quality assurance of subcontracts and the Government's acquisition and contracting goals pertinent to this solicitation. Current goals are: Not less than 40% of the total contract value for small business, which includes 5% for Small and Disadvantaged Businesses, 5% for Woman-Owned Small Businesses, 3% for HUBZone Small Businesses, 3% for Service Disabled Veteran Owned Small Businesses, 3% for Veteran Owned Small Businesses, and 5% for HBCU/MI. The offeror shall list and describe any subcontracts to be used to perform the requirements of the PWS.

(a) Identification of the separate percentage goals for using small business, HUBZone small business, small disadvantaged business, service disabled veteran-owned small business, veteran-owned small business, woman-owned small business concerns, and HBCU/MI as subcontractors.

(b) A statement of the total dollars planned to be subcontracted to small business, HUBZone small business, small disadvantaged business, service disabled veteran-owned small business, veteran-owned small business, woman-owned small business concerns, and HBCU/MI.

(c) A description of the principal types of supplies and services to be subcontracted and an identification of the types planned for subcontracting to small business, small disadvantaged business, service disabled veteran-owned small business, veteran-owned small business, woman-owned small business concerns, and HBCU/MI.

(d) A description of the method used to develop the subcontracting goals.

(e) A description of the method used to identify potential sources for solicitation purposes.

(f) A statement as to whether or not the offeror included indirect costs in establishing subcontracting goals, and a description of the method used to determine the proportionate share of indirect costs to be incurred with small business, HUBZone small business, small disadvantaged business, service disabled veteran-owned small business, veteran-owned small business, woman owned small business concerns, and HBCU/MI.

(g) The name of an individual employed by the offeror who will administer the offeror's subcontracting program and a description of the duties of the individual.

(h) A description of the efforts the offeror will make to ensure that small business, HUBZone small business, small disadvantaged business, service disabled veteran-owned small business, veteran-owned small business, woman-owned small business concerns, and HBCU/MI have an equitable opportunity to compete for subcontracts.

(i) Assurances that the offeror will include the clause at 52.219-8, Utilization of Small Business Concerns (see FAR 19.708(a)) in all subcontracts that offer further subcontracting opportunities and that the offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$500,000.00 to adopt a plan that complies with the requirements of the clause at 52.219-9, Small Business Subcontracting Plan (see FAR 19.708(b)).

Assurances that the offeror will:

- Cooperate in any studies or surveys as may be required. Submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan.
- Submit Standard Form (SF) 294 (Subcontracting Report for Individual Contracts) and SF 295 (Summary Subcontract Report) following the instructions on the forms or as provided in agency regulations.
- Ensure that its subcontractors agree to submit SF 294 and SF 295.

(j) A description of the types of records that will be maintained concerning procedures adopted to comply with the requirements and goals in the plan, including establishing source lists, and a description of the offeror's efforts to locate small business, HUBZone small business, small disadvantaged business, service disabled veteran-owned small business, veteran-owned small business, woman-owned small business concerns, and HBCU/MI and to award subcontracts to them.

Factor ____: Subcontracting Plan.

Subcontracting plans submitted by any large business concern will be evaluated in accordance with the requirements under FAR Subpart 19.704. If a large business concern fails to submit a subcontracting plan with its proposal, it will be ineligible for award. The subcontracting plan will be evaluated for establishment, oversight, and quality assurance of subcontracts and goals pertinent to this solicitation

Subcontracting Plan Evaluation Guide

Part 1 – Introduction

1. Contractor:

Company: _____
Division: _____
Address: _____
City: _____
State: _____
ZIP Code: _____
Telephone: _____

2. Subcontracting Plan Administrator:

Name: _____
Title: _____
Address: _____
City: _____
State: _____
ZIP Code: _____
Telephone: _____
Email: _____

3. Plan Type:

Individual

Commercial

Master

If this is a Master Plan, items 12.b. through 12.j. do not apply

4. Place of Contract Performance:

Same as Item 1. Above

Other:

Location: _____
Address: _____
City: _____
State: _____
ZIP Code: _____
Telephone: _____

5. Solicitation Number:

Contract Number: _____ (Plan MUST be approved before contract award)

6. Contract Period:

_____ to _____ (Including options)

7. Estimated Contract Value:

_____ \$0.00 (Including options)

Base Period: _____

Option 1: _____

Option 2: _____

Option 3: _____

Option 4: _____

Option 5: _____

8. Description of Supplies or Services:

9. Contracting Officer:

Name: _____
Office: _____
Telephone: _____

Part 2 -- Scoring System

	Point Range	Points Assigned
<p>1. <i>Policy statement or evidence of internal guidance to company buyers recognizing commitment to P.L. 99-661, Section 1207, and P.L. 100-180, Section 806.</i></p> <p>0 No written policy statement in plan.</p> <p>1-2 Plan includes a general policy, but no evidence of recognition of special emphasis being placed on subcontracting with SDBs, HBCUs and MIs as a result of P.L.s.</p> <p>3-5 Definitive corporate and management commitment evidenced in individual plan and master plan by specifically referencing the P.L.s.</p>	0-5	
<p>2. <i>Efforts to broaden SB and SDB active vendor base. (FAR 19.704(a), 52.219-9(d), DFARS Subpart 219.5, 219.704(a)(1), 219.705 and 252.219-7003)</i></p> <p>0 Description of efforts merely parrots requirements of FAR to maintain listing of vendors.</p> <p>1-2 Contains evidence that effort is directed at increasing subcontracts to SBs and SDBs for non-complex and general housekeeping supplies or services normally awarded to firms already in existing vendor base.</p> <p>3-10 Addresses efforts to increase the number of SB and SDB sources awarded subcontracts, establishes plans to use competition restricted to SDBs and gives details about how plans to use competition restricted to SDBs will be accomplished. (DFARS 219.705-4 and Subpart 219.5)</p> <p>Note: <i>After</i> scoring the plan to this point, if zero points have been assigned for Element 2, proceed to Item 3, Outreach. If one or more points have been assigned for this Element 2, proceed to evaluation of the subelements labeled “minus 2” and “minus 3” to determine if points assigned so far must be reduced. Do not reduce points already assigned to less than zero. (No negative points are to be entered under “Points Assigned” for any Element.) These negative scores are additive; if both of the subelements apply, then minus five points are assessed to reduce points already assigned under this element 2.</p> <p>minus 2 Includes efforts described above which rate 1-2 or 3-10 points but, when it would be appropriate, does not address effort to involve HBCUs and MIs in performing the contract for which the subcontracting plan is submitted. (DFARS 219.704(a)(1) and 219.705-4(d))</p> <p>minus 3 Includes efforts described above which rate 1-2 or 3-10 points but does not address effort to identify and overcome obstacles</p>	0-10	

	Point Range	Points Assigned
that may prohibit award to HBCU and MI sources currently in vendor base.		
<p>3. <i>Outreach (ongoing and planned actions) (FAR 19.704(a), 19.705-4, 52.219-9(d) and 52.219-9(e), DFARS 219.705).</i></p> <p>0 No mention of outreach.</p> <p>1-4 Describes efforts to work with organizations in FAR 52.219-9(d)(11)(iv) to identify potential sources for items not traditionally awarded to SB or SDB firms. (FAR 52.219-9(d)(11)(iv) and 52.219-9(e))</p> <p>5-10 Indicates intent to conduct reviews to determine the competence, ability, experience and capacity available in SB or SDB firms and to provide technical assistance to SBs and SDBs or explains why such reviews or technical assistance are not appropriate. (FAR 19.705-4(c) and 52.219-9(e)).</p> <p>Note: After scoring the plan to this point, if zero points have been assigned for Element 3, proceed to Item 4, Description of supplies and services. If one or more points have been assigned for this Element 3, proceed to evaluation of the subelement labeled “minus 3” to determine if points assigned so far must be reduced. Do not reduce points already assigned to less than zero. (No negative points are to be entered under “Points Assigned” for any Element.)</p> <p>minus 3 Fails to indicate the extent to which HBCU and MI participation will be considered and facilitated in performing the contract for which the subcontracting plan is submitted, or fails to indicate other efforts to increase HBCU and MI participation in future DoD acquisitions. (DFARS 219.705-4(d))</p>	0-10	
<p>4. <i>Describes supplies and services to be subcontracted and planned for subcontracting to SBs, SDBs, HBCUs and MIs. (FAR 19.705-4(d), 52.219-9(d)(3), 52.219-9(e) and DFARS 219.705).</i></p> <p>0 No mention.</p> <p>1-4 Generic list of routine supplies and services included in materials listing for the specific contract.</p> <p>5-7 Indicates intent to review major product/system components and key project elements of R&D, construction, service and spare parts contracts for subcontracting to SBs, SDBs, HBCUs and MIs. (FAR 19.705-4(d)(3) and (4), 52.219-9(e)(1) and (2) and DFARS 219.705)</p> <p>8-10 Substantive plan actually targets specific SBs, SDBs, HBCUs and MIs for review to determine their competence, ability, experience and capacity and identifies specific components or major portions of the acquisition for consideration of SB, SDB, HBCU or MI competition. Also, indicates intent to work with large business</p>	0-10	

	Point Range	Points Assigned
subcontractors for major subsystems or key project elements to ensure “flow down” of this philosophy. (FAR 19.705-4(d) and DFARS 219.705)		
<p>5. <i>Describes specific efforts, based on results of efforts described in Elements No. 3 and No. 4 to ensure that SB, SDB, HBCU and MI concerns have equitable opportunity to participate in acquisitions. (FAR 19.704(a), 19.705-4, 52.219-9(d) and DFARS 219.705).</i></p> <p>0 No mention.</p> <p>1-4 Description of efforts merely parrots FAR 19.704(a)(3) and (6) and 52.219-9(d)(8).</p> <p>5-8 Describes how the company intends to evaluate its own SB and SDB award performance and program effectiveness against the established goals, both company-wide and for the individual plan being negotiated. (FAR 19.704(a)(1) and (6) and 52.219-9(d)(11)(v))</p> <p>9-12 Includes SBs, SDBs, HBCUs and MIs by name as members of original team for producing specific major components or subassemblies, providing a major service or performing a significant portion of the effort. (DFARS 219.705-2(d))</p> <p>13-15 Describes special efforts to establish long-range relationships with SBs, SDBs, HBCUs and MIs, including leader-follower techniques, when appropriate. (FAR 19.705-4(d)(4) and DFARS 219.705-2(d))</p>	0-15	
<p>6. <i>Development of percentage goal is based on planned subcontracting that is challenging, yet realistic. (FAR 19.705-4(d), DFARS 219.704(a)(1) and 219.705-4).</i></p> <p>0 Fails to include a specific goal for subcontracting with SBs, SDBs, HBCUs and MIs or proposes zero percent goal without substantive justification</p> <p>1-5 Sets small business goal of less than 10 percent and/or SDB/HBCU/MI goal of two percent or less with no significant justification.</p> <p>6-10 Sets goals of less than 10 percent (SB) and 2 percent (SDB), but contractor shows evidence of reasonable effort, including use of set-asides, to involve SBs, SDBs, HBCUs or MIs in non-traditional areas.</p> <p>11-20 Sets goals of over 10 percent (SB) and 2 percent (SDB) and also identifies specific SB, SDB, HBCU or MI concerns planned to be subcontractors, including the item or service or effort to be</p>	0-40	

	Point Range	Points Assigned
<p>subcontracted. Indicates extent to which firms have participated in proposal preparation or otherwise indicates extent to which subcontracting to these firms may reasonably be assured. Goals are realistic in view of actions stated in other portions of the plan and make-or-buy plan, if applicable.</p> <p>21-30 Same as for 11-20 points, but proposed percent of goal is reasonable in comparison with prior experience, yet indicates reasonable effort to improve on past experience in terms of dollars, number of SDBs, HBCUs, and MIs involved, and movement into area without previous SDB, HBCU or MI involvement.</p> <p>31-40 Same as 21-30 points, but includes evidence that if SBs, universities or institutions other than HBCUs or MIs are performing on a major component or subassembly, providing a major service or performing on a key project element, SDBs, HBCUs and MIs will also be given an opportunity to perform. Also, the percentage of the SDB, HBCU, MI goal compares favorably with the percentage of SB goal, consistent with the Government-wide goals of 20 percent to SB with five percent to SDB, or is otherwise explained, and the plan includes a forecast for Improvement. (The SB and SDB goals in the subcontracting plan should approximate the ratio between the SB and SDB Government-wide goals.)</p>		
<p>7. <i>Past performance. Extent to which the company has historically been successful in establishing realistic, yet challenging goals and achieving them. Consider DCMC comments on prime contractor's justifications for prior failure to achieve goals. To avoid penalizing the contractor when there has been no previous defense contract, assign 10 points. (FAR 19.705-4(d)(1) and (d)(2)(iii), 19.706 and DFARS 219.706).</i></p>	0-10	
TOTAL SCORE:		
<p>Carefully consider the acceptability of any plan with a score of 70 or fewer points. Identify those areas where the plan is deficient, and discuss them with the offeror to try to get the deficiencies corrected. After discussions, if plans are still scored at 70 or fewer points and are determined acceptable, include the rationale for that determination in the contract file. Provide a copy of the determination and rationale to the local Small Business Specialist.</p>		

8. *Other regulatory and statutory requirements.*

If any of the following are answered "NO," the plan is not acceptable and must be revised to comply prior to award:

Does the plan have —	YES	NO
A. A separate goal for SB and SDB? (FAR 19.704(a)(1) and FAR 52.219-9(d)(1) and (2))		
B. A separate goal for the basic contract and, if applicable, each option? (FAR 19.704(c))		
C. The name of the company employee responsible for administration of plan and employee's duties? (FAR 19.704(a)(2) and 52.219-9(d)(7))		
D. A statement affirming intent to comply with subcontracting "flow down" provisions? (FAR 19.704(a)(4) and 52.219-9(d)(10))		
E. A statement affirming willingness to cooperate in studies and to provide reports? (FAR 19.704(a)(5) and 52.219-9(d)(10))		
F. A statement that indirect costs are either included or excluded from the proposed goals and, if included, how they will be prorated? (FAR 52.219-9(d)(6))		
G. A description of efforts to ensure that SBs and SDBs have an equitable opportunity to participate in the acquisition? (FAR 52.219-9(d)(8))		
H. A recitation of the types of records maintained to demonstrate procedures adopted to comply with the requirements and goal in the plan? (FAR 52.219-9(d)(11))		

Individual Subcontracting Plan Checklist and Review

If the contractor is participating in the Comprehensive Subcontracting Plan Test Program individual plans are NOT required.

The cumulative value of the basic contract and options is used to determine whether a subcontracting plan is required. Options require separate goals (FAR 52.2 19-9(c) and 19.704(c)).

Contractor:

Solicitation/Contract Number:

Contractor Address:

Type of Services:

Estimated Contract Value:

Buyer/PCO:

Office Symbol & Phone:

The PCO or buyer will complete the checklist and sign it to acknowledge their review and provide the original checklist to the SADBUS. The original checklist will be returned after the review is complete. Since the intent of the review is to assist the PCO in negotiating the subcontracting goals, the plans **shall be submitted BEFORE negotiations start**.

While the acceptability of goals is a judgment call by the PCO, Public Law 95-507 requires that the contractor make a good faith effort. Per DFARS 219.705-4(d) - a goal of zero indicates that no effort is being made.

If there is a current Master Subcontracting Plan in effect for this contractor, then items 4 through 11 do not apply.

Remember, when a Master Plan is put on contract it applies to the contract throughout its life — including modifications

Is this a commercial plan? Yes No (Far 19.704(d))

Use Y to denote that an item is OK. Use N to denote that it is not included, U for unacceptable. Use D to indicate Does Not Apply.

Does It Include:			PCO	SADBUS	SBA	Reference
1. Total Subcontracting Dollars:	% Indicated by contractor	\$				FAR 52.219-9(d)(2), 19.704(a)(2), 19.705
(Fill-in the goals listed in solicitation.)						
Total \$ to SB ()						FAR 52.219-9(d)(2), 19.704(a)(2), 19.705
Total \$ to SDB ()						FAR 52.219-9(d)(2), 19.704(a)(2), 19.705
Total \$ to WOSB ()						FAR 52.219-9(d)(2), 19.704(a)(2), 19.705
Total \$ to Service Disabled VOSB ()						FAR 52.219-9(d)(2), 19.704(a)(2), 19.705
Total \$ to Veteran OSB ()						FAR 52.219-9(d)(2), 19.704(a)(2), 19.705
Total \$ to HUBZone SB ()						FAR 52.219-9(d)(2), 19.704(a)(2), 19.705
2. Goals listed as a Percentage of total subcontract value.						FAR 52.219-9(d)(1), 19.704(a)(1), 19.705
3. A DESCRIPTION of the principal supplies/services to be subcontracted (This must include Large Business and non-profit work) with sufficient detail to evaluate whether or not a SB can do the work.						FAR 52.219-9(d)(3), 19.704(a)(3), 19.705 MUST INCLUDE LB AND NON-PROFIT SUBCONTRACTS
4. A description of the method used to develop goals						FAR 52.219-9(d)(4), 19.704(a)(4), 19.705
5. A description of the methods used to locate potential suppliers						FAR 52.219-9(d)(5), 19.704(a)(5), 19.705
6. Do the goals include indirect costs?						FAR 52.219-9(d)(6), 19.704(a)(6), 19.705
If they do, does the plan include a description of the cost allocation method?						FAR 52.219-9(d)(6), 19.704(a)(6), 19.705
7. Name and duties of plan administrator						FAR 52.219-9(d)(7), 19.704(a)(7), 19.705
8. Description of the efforts the offeror will make to assure that SBs have an equitable opportunity to compete for subcontracts						FAR 52.219-9(d)(8), 19.704(a)(8), 19.705
9. Flow Down assurances						FAR 52.219-9(d)(9), 19.704(a)(9), 19.705
Appropriate subcontract clauses will be used						FAR 52.219-9(d)(9), 19.704(a)(9), 19.705
Subcontractors will be required to submit a similar plan						FAR 52.219-9(d)(9), 19.704(a)(9), 19.705

Contractor:

Type of Review:

Does It Include:	PCO	SADBUS	SBA	Reference
10. Assurance prime contractor will submit required reports and cooperate in studies and surveys.				FAR 52.219-9(d)(10), 19.704(a)(10), 19.705
11. Recitation of types of records maintained to show compliance with plan				FAR 52.219-9(d)(11), 19.704(a)(11), 19.705
12. If the SDB goal for the basic contract is less than 5%, is approval at LEAST two levels above contracting officer attached?				DFARS 219.705-4
13. For modifications, if the contract's overall SDB goal is less than 5%, is the approval attached? (If it was below 5% before, and the reasons have not changed a new determination is not required)				DFARS 219.705-4
14. ACO Comments (If applicable)				FAR 19.706, DFARS 219.706(a)(i)

If the contractor is **not using** Dynamic Small Business Search and/or Sub-Net the Buyer/PCO should recommend that they use both to enhance outreach. Neither is mandatory. Both are available at no cost to users. They can be accessed at <http://www.ccr.gov/> and click on the "Dynamic Small Business Search" button. All of the search options and information that existed in PRO-Net will now be found on the CCR site.

Buyer/PCO Comments:

Buyer/PCO Signature and Date:

SADBUS Comments:

SADBUS Signature and Date:

SBA PCR Comments:

If box is checked, SBA does not have a copy of the current Master Subcontracting Plan on File. Please provide one.

SBA PCR Signature and Date:

Procurement Center Representative

SBA PCR will internally report this subcontracting plan, as submitted, as acceptable, not acceptable, modified on _____ to acceptable before award

SBA PCR may contact the PCO/Buyer regarding status of the subcontracting plan at time of award.

Please remember the Post-Award responsibilities of the Contracting Officer, which are listed in FAR 19.705-6
The Procurement Center Representative can give you the addresses of the appropriate Area Directors. (Ver. 11 -08-2002)