

**SECTION L – ATTACHMENT C - INSTRUCTIONS FOR SMALL BUSINESS  
SUBCONTRACTING PLAN**

Federal Acquisition Regulation (FAR), paragraph 19.708 (b) prescribes the use of the clause at FAR 52.219-9 entitled “Small Business Subcontracting Plan.” The following is a suggested model for use when formulating such subcontracting plan. While this model plan has been designed to be consistent with FAR 52.219-9, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this model may cause a delay in plan review and approval. The use of this model is not intended to waive other requirements that may be applicable under FAR 52.219-9. “Subcontract,” as used in this clause, means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.

MODEL SUBCONTRACTING PLAN OUTLINE

Contractor: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Solicitation Number: DE-RP52-06NA27344

Item/Service: Management and Operation of the Lawrence Livermore National Laboratory and associated activities

Amount of Contract for Combined FY 2008: Estimated \$ \_\_\_\_\_

Period of Contract Performance: \_\_\_\_\_

Type of Plan (Check One)

\_\_\_\_\_ Individual Plan (All elements developed specifically for this contract and applicable for the full term of this contract.)

\_\_\_\_\_ Master Plan (Goals developed for this contract; all other elements standard; must be renewed every three years.) (See FAR 52.219-9(f)(1)-(3)).

\_\_\_\_\_ Commercial Plan (Contractor sells large quantities of off-the-shelf commercial items to many Government agencies. Plans/goals are negotiated by a lead agency on a company-wide basis rather than for individual contracts. Plan effective only during the year for which it is approved. The Contractor must provide a copy of the lead agency approval). (See FAR 19.704(d) and 52.219-9(g)).

I. Goals

The Contractor shall submit its proposed subcontracting goals 60 days prior to the beginning of each fiscal year during the term of this contract, or by such other date as authorized in writing by the Contracting Officer. This submittal shall include goals for Small Business concern (SB), Veteran-owned Small Business concern (VOSB), Service-disabled Veteran-owned Small Business concern (SDVOSB), HUBZone Small Business concern (HubSB), Small Disadvantaged Business concern (SDB), and Women-owned Small Business concern (WOSB), collectively referred to as “small business concerns”. It is easier in the document than ensuring all the categories are mentioned. The goals will negotiate once each fiscal year and will be set forth by letter as agreed to by the Contractor and Contracting Officer.

The proposed goals shall be based upon the estimated budget and commercial purchases, including those for Large Business concerns (LB), which will be derived from the current fiscal year budget. Goals may be changed within the first six months of each fiscal year by agreement between the Contracting Officer and the Contractor if there is a cancellation or an addition of program or project funding. Goals for the utilization of SB, VOSB, SDVOSB, HubSB, SDB, and WOSB subcontractors shall be submitted as follows unless otherwise required by the Contracting Officer.

The goals shall be expressed in both dollars and percentages for LB, SB, VOSB, SDVOSB, HubSB, SDB, and WOSB.

A. The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars) are applicable to the contract period Year One.

1. The total estimated dollar value of all planned subcontracting (to all types of business concerns) under this contract is \$ \_\_\_\_\_ (100%)

a. LB Concerns. Total estimated dollar value and percent of planned subcontracting with large businesses (all business concerns classified as “other than small”) (% of 1. above):  
\$ \_\_\_\_\_ and \_\_\_\_\_ %.

- b. SB Concerns. Total estimated dollar value and percent of planned subcontracting with small businesses (include SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns) (% of 1. above):  
\$ \_\_\_\_\_ and \_\_\_\_\_%
- c. VOSB Concerns. Total estimated dollar value and percent of planned subcontracting with veteran-owned small businesses (% of 1. above): \$ \_\_\_\_\_ and \_\_\_\_\_%. This amount is included in the amount shown under A.1.b, above, as a subset.
- d. SDVOSB Concerns. Total estimated dollar value and percent of planned subcontracting with service-disabled veteran-owned small businesses (% of 1. above): \$ \_\_\_\_\_ and \_\_\_\_\_%. This amount is included in the amount shown under A.1.b, above, as a subset.
- e. HubSB Concerns. Total estimated dollar value and percent of planned subcontracting with HUBZone small businesses (% of 1. above): \$ \_\_\_\_\_ and \_\_\_\_\_%. This amount is included in the amount shown under A.1.b, above, as a subset.
- f. SDB Concerns. Total estimated dollar value and percent of planned subcontracting with small disadvantaged businesses (% of 1. above): \$ \_\_\_\_\_ and \_\_\_\_\_%. This amount is included in the amount shown under A.1.b, above, as a subset.
- g. WOSB Concerns. Total estimated dollar value and percent of planned subcontracting with small women-owned businesses (% of 1. above): \$ \_\_\_\_\_ and \_\_\_\_\_%. This amount is included in the amount shown under A.1.b, above, as a subset.

B. A description of all the types of products and/or services that will be acquired under this contract is necessary to determine how the subcontracted dollars are to be spent.

- 1. The following principal products and/or services will be subcontracted under this contract, and the types of businesses supplying them are as follows:

<u>Subcontracted Product/Service</u>	<u>Business Size (Other, SB, VOSB, SDVOSB, SDB, HubSB, SDB, WOSB)</u>	<u>Subcontract % Description or Dollar Amount</u>
_____	_____	_____
_____	_____	_____

(Attachment may be used if additional space is required.)

2. Include a description of the method used to develop the subcontracting goals for SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns; i.e., explain the method and state the quantitative basis (in dollars) used to establish the percentage goals; how the areas to be subcontracted to SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns were determined; and how the capabilities of SB, VOSB, SDVOSB, HubSB, SDB, and WOSB were determined. Include any source lists used in the determination process.

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3. Indirect cost have \_\_\_\_\_ have not \_\_\_\_\_ been included in the dollar and percentage subcontracting goals stated above. (Check one)
4. If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns.

II. PROGRAM ADMINISTRATOR

The subcontracting plan is to be administered by the contractor to assure that the provisions of applicable law and the plan are implemented and performed. Any change in the name of the program administrator will be communicated without delay to the Contracting Officer by letter and will not require an immediate contract modification. Such change(s), if any, will be included in the next applicable supplemental agreement Contract modification.

The name, title, position within the corporate structure, and duties and responsibilities of the employee who will administer the contractor's subcontracting program.

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone #: \_\_\_\_\_  
Facsimile #: \_\_\_\_\_  
E-Mail: \_\_\_\_\_

Duties: Has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing individual subcontracting plans and monitoring performance relative to the requirements of this particular plan. The actual duties of how

the administrator will carry out the requirements of this individual plan should be stated here.

These duties may include, but are not limited to, the following activities:

- Developing and maintaining bidders lists of SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns from as many sources as possible.
- Ensuring that procurement packages are structured to permit participation of SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns to the maximum extent possible.
- Ensuring inclusion of SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns whose capabilities coincide with solicitations requiring their products or services.
- Reviewing solicitations to identify and remove any statements, clauses, etc., which may restrict or prohibit participation of SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns.
- Ensuring that proper documentation provided by bid proposal board if selection not made to SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concern that provided low bid.
- Ensure establishment and maintenance of records of solicitations and subcontract award activity.
- Attending or arranging for attendance of company counselors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
- Monitoring achievement of proposed goals.
- Preparing and submitting semi-annual and annual subcontract reports.
- Coordinating contractor's activities prior to and during conduct of Federal agency compliance reviews.
- Other duties include:

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III. EQUITABLE OPPORTUNITIES AND OUTREACH EFFORTS

Describe efforts the Offeror will make to ensure that SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns will have an equitable opportunity to compete for and secure subcontracts. These efforts may include, but are not limited to, the following activities:

A. Outreach efforts to obtain sources:

1. Contacting minority and small business trade associations;
2. Contacting business development organizations;
3. Attending small and minority business procurement conferences and trade fairs;
4. Requesting sources from the Central Contractor Registration (CCR);
5. Utilizing newspapers and magazine ads to encourage new sources.
6. Other participation in efforts or activities to expand the socioeconomic database for this contract.
7. Utilizing book references, catalogs, source lists, or other reference material to identify SB, VOSB, SDVOSB, HubSB, SDB, and WOSB sources before the acquisitions are placed by the buying activities.
8. Additional Efforts \_\_\_\_\_  
\_\_\_\_\_

B. Internal efforts to guide and encourage purchasing personnel:

1. Presenting workshops, seminars, and training programs on requirements of this plan;
2. Establishing, maintaining, and using SB, VOSB, SDVOSB, HubSB, SDB, and WOSB source lists, guides, and other data for soliciting subcontracts;
3. Monitoring activities to evaluate compliance with the subcontracting plan; and
4. Additional Efforts \_\_\_\_\_

IV. SUBCONTRACTING PLAN FLOWDOWN

The contractor agrees to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns," in all subcontracts that offer further subcontracting opportunities. All subcontractors, except small business concerns, which receive subcontracts in excess of \$500,000 (\$1,000,000 for construction) must adopt and comply with a plan similar to the plan required by FAR 52.219-9 "Small Business Subcontracting Plan" (FAR 19.704). The prime contractor cannot alter this requirement.

V. REPORTS AND SURVEYS

The contractor gives assurance of:

- A. Cooperation in any studies or surveys that may be required by the contracting agency, or the U.S. Small Business Administration (SBA).
- B. Submission of periodic reports, which show compliance with the subcontracting plan.
- C. The Contractor shall submit the Standard Form (SF) 294, "Subcontracting Report for Individual Contracts," and SF-295, "Summary Subcontract Report," using the Government's Electronic Subcontract Reporting Systems (eSRS). The Contractor shall submit the SF-294 and SF-295 reports electronically to a single, government wide system, which can be accessed at the following website: [www.esrs.gov](http://www.esrs.gov). The eSRS is a single reporting tool for all subcontracting plan accomplishments, will streamline the reporting process, and provide the Government with immediate access to the Contractor's subcontracting data. The Contractor shall be responsible for inputting accurate and complete reports into the eSRS. Contractor reporting of SF-294 and SF-295 accomplishments using the eSRS will commence upon receipt of written notification from the Contracting Officer's Representative.
- D. Ensuring that large business subcontractors with subcontracting plans agree to submit Standard Forms 294 and 295, version 10/2001 or any other version as determined necessary by the Contracting Officer to comply with DOE/NNSA internal procedures/practices.

<u>Reporting Period</u>	<u>Report Due</u>	<u>Due Date</u>
Oct 1 - Mar 31	SF 294	April 30 <sup>th</sup>
Apr 1 - Sep 30	SF 294	Oct 30 <sup>th</sup>
Oct 1 - Mar 31	SF 295	April 30 <sup>th</sup>
Oct 1 - Sep 30	SF 295	Oct 30 <sup>th</sup>

Addresses for submitting SF 294 and SF 295: The completed original written reports shall be submitted to (1) the cognizant contracting officer elsewhere identified in the contract; (2) a courtesy copy to NNSA Service Center Small Business Program Manager at the following address: U.S. Department of Energy, NNSA Service Center, Small Business Program Office, Office of Business Services, P. O. Box 5400, Albuquerque, NM 87185; and, (3) a courtesy copy to the cognizant SBA Procurement Center Representative.

VI. RECORDS AND PROCEDURES

The following is a recitation of the types of records and procedures the contractor will maintain to demonstrate compliance with the requirements and goals in the subcontracting plan. These records will include, but are not limited to the following:

- A. If the prime contractor is not using CCR as its source for SB, VOSB, SDVOSB, HubSB, SDB, and WOSB concerns, list the names of guides and other data identifying such vendors;
- B. Organizations contacted in an attempt to locate SB, VOSB, SDVOSB, HubSB, SDB, and WOSB sources;
- C. On a contract-by-contract basis, records on each subcontract solicitation resulting in an award of more than \$100,000 indicating whether SB, VOSB, SDVOSB, SDB, and WOSB concerns were solicited, and if not, why not; and if applicable, the reason that the award was not made to a small business concern;
- D. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
- E. Records to support internal guidance and encouragement provided to buyers through (1) workshops, seminars, training programs, incentive awards; and (2) monitoring of activities subcontract award data including the name, address, and business size of each subcontractor (this item is not required on a contract-by-contract basis for company or division-wide commercial plans);
- F. On a contract-by-contract basis, records to support subcontract award data including the name, address, and the business size of each subcontractor (this item is not required on a contract-by-contract basis for company or division-wide commercial plans); and
- G. Additional Records:

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Request for Proposal No. DE-RP52-06NA27344

This subcontracting plan was submitted by:

Signed: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Phone No.: \_\_\_\_\_

PLAN CONCURRED ON BY: \_\_\_\_\_

Lillian Retallack  
NNSA Service Center  
Small Business Program Manager

Date: \_\_\_\_\_

PLAN ACCEPTED BY: \_\_\_\_\_

NNSA Contracting Officer

Date: \_\_\_\_\_