

The background of the slide is a stylized, wavy American flag with red and white stripes and a blue field with white stars.

# **DoD Northeast Regional Council**

## **Training for Small Business Professionals in Government and Industry**

# **Small Business Training**

## **Professional Small Business Program Training Series**

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# **Small Business Training**

## **Professional Small Business Program Training Series**

### **Appendices**

- A: The Basics of Subcontracting
- B: Small Business Goals 2023
  - DoD Checklist for Reviewing Subcontracting Plans
- C: Sample Small Business Participation Solicitation Language
- D: Identifying a Small Business/NAICS Codes
- E: Small Business Reporting in eSRS
- F: How to Use Search Engines
- G: Northeast Regional APEX Accelerators

# Small Business Training

## Professional Small Business Program Training Series

### Acronyms

ACO	Administrative Contracting Officer	EDWOSB	Economically Disadvantaged Women Owned Small Business
ANC	Alaskan Native Corporation	eSRS	Electronic Subcontracting Reporting System
CAGE	Contractor and Government Entity	FAQ	Frequently Asked Questions
CCR	Central Contractor Registry	FAR	Federal Acquisition Regulations
CEO	Chief Executive Officer	FPDS/NG	Federal Procurement Data System/Next Generation
CFR	Code of Federal Regulations	GAO	Government Accountability Office
CMR	Commercial Marketing Representative	GSA	General Services Administration
CO	Contracting Officer	GWAC	Government Wide Acquisition Contract
CSP	Comprehensive Subcontracting Plan	HBCUs	Historically Black Colleges and Universities
CVE	Center for Verification Enterprise	HUBZone	Historically Underutilized Business Zone
DBE	Disadvantaged Business Enterprise	IDIQ	Indefinite Delivery Indefinite Quantity
DCMA	Defense Contract Management Agency	ISR	Individual Subcontracting Report
DFAR	Defense Federal Acquisition Regulation Supplement	KO	Contracting Officer
DLA	Defense Logistics Agency	MAC	Multiple Award Contract
DoD	Department of Defense		
DSBS	Dynamic Small Business Search		

# Small Business Training

## Professional Small Business Program Training Series

MBE	Minority Business Enterprise	SBA	Small Business Administration
MI	Minority Institutions	SBLO	Small Business Liaison Officer
NAICS	North American Industrial Classification System	SBP	Small Business Professional
NDA	National Defense Authorization Act	SDB	Small Disadvantaged Business
NERC	Northeast Regional Council	SDVOSB	Service Disabled Veteran Owned Small Business
NIB	National Industries for the Blind	SF	Standard Form
NISH	National Industries for the Severely Handicapped	SSR	Summary Subcontracting Report
OSBU	Office of Small Business Utilization	SUB-Net	Subcontractor Network
OTSB	Other Than Small Business	UNICOR	Federal Prison Industries
PCR	Procurement Center Representative	USC	United States Code
PL	Public Laws	VA	Department of Veterans Affairs
SAM	System for Award Management	VOSB	Veteran Owned Small Business
SB	Small Business	WBE	Women's Business Enterprise
		WBENC	Women's Business Enterprise National Council
		WOSB	Woman Owned Small Business

# Module 1: Public Laws and Regulations

- This module contains information on the Public Laws (PL), Code of Federal Regulations (CFR), Federal Acquisition Regulation (FAR) and Defense Federal Acquisition Regulation Supplement (DFARS) which govern the requirements for Small Business Programs. These small business laws and regulations form the framework for what we do and why we do it.
- The module also contains information on the Small Business Incentive Programs as well as liquidated damages.



# Module 1: Public Laws and Regulations

## FAR 19.201(a) and 15 U.S.C. [United States Code] 637(d)(1)

- It is the policy of the Federal Government to provide maximum practicable opportunities in its acquisitions to Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, Historically Underutilized Business Zone small business, Small Disadvantaged Business and Women-Owned Small Business/Economically Disadvantaged Women-Owned Small Business.
- Such concerns must also have the maximum practicable opportunity to participate as subcontractors in the contracts awarded by any executive agency, consistent with efficient contract performance.

# Module 1: Public Laws and Regulations

- FAR Parts 19 and 52.219 as well as DFARS Parts 219 and 252.219 contain the requirements for the Small Business Program and for preparing Small Business Subcontracting Plans.



# Module 1: Public Laws and Regulations

## What is a Subcontract?

FAR 19.701:

- Any agreement (other than one involving an employer-employee relationship) entered into by a Government prime contractor or subcontractor calling for supplies and/or services required for performance of a contract, contract modification, or subcontract.

# Module 1: Public Laws and Regulations

## DoD Agency Goals set by Public Law [15 U.S.C. 644(g)(1)(A)]:

Small Business (SB)	22.43% * 28%**
Small Disadvantaged Business (SDB)	11.55% * 5%** 13% ***
Alaska Native Corp. (ANC) & Indian Tribes	Included in SDB goal
Women-Owned SB (WOSB)	5% **
HUBZone SB (HUBZone)	3% **
Service-Disabled VOSB (SDVOSB)	5% **

\* of the total value of all DOD prime contract awards.

\*\* of the total value of all DOD subcontract awards.

\*\*\* Executive Order 13985 cumulative awards to SDBs in FY 2024

Individual Agencies may require different goals - 2024 goals here.

The Small Business Act (Section 15(g), 15 U.S.C. 644(g) (1)) includes the various small business procurement goals. Appendix B

# Module 1: Public Laws and Regulations

## No order of Precedence for Government Contracting Officers

### [FAR 19.203(a)]

- 8(a) program
- EDWOSB & WOSB program
- HUBZone program
- SDVOSB program

#### Notes:

1. Above the simplified acquisition threshold the Contracting Officer shall first consider using the socioeconomic programs listed above before considering a small business set-aside.
2. The Simplified Acquisition Threshold (SAT), is currently \$250,000 and is defined in 41 U.S.C. Section 134.

# Module 1: Public Laws and Regulations

## Good Faith Effort

### 13 CFR 125.3(b)(3)

- Efforts to provide the maximum practicable subcontracting opportunities for small business concerns may include, as appropriate for the procurement, one or more of the following actions:

# Module 1: Public Laws and Regulations

- Breaking out contract work items into economically feasible units, as appropriate, to facilitate small business participation;
- Conducting market research to identify small business subcontractors and suppliers through all reasonable means, such as performing online searches via the System for Award Management (SAM) (or any successor system), SBA's Dynamic Small Business Search, posting Notices of Sources Sought and/or Requests for Proposal on the Small Business Administration's (SBA's) SUB-Net, participating in Business Matchmaking events, and attending pre-bid conferences;
- Providing interested small businesses with adequate and timely information about the plans, specifications, and requirements for performance of the prime contract to assist them in submitting a timely offer for the subcontract;
- Soliciting small business concerns as early in the acquisition process as practicable to allow them sufficient time to submit a timely offer for the subcontract;

# Module 1: Public Laws and Regulations

- Negotiating in good faith with interested small businesses;
- Directing small businesses that need additional assistance to SBA;
- Assisting interested small businesses in obtaining bonding, lines of credit, required insurance, necessary equipment, supplies, materials, or services;
- Utilizing the available services of small business associations; local, state, and Federal small business assistance offices; and other organizations; and
- Participating in a formal mentor-protégé program with one or more small-business protégés that results in developmental assistance to the protégés.

# Module 1: Small Business Incentive Programs

## Indian (Native American) Incentive Program (FAR 26.1, 52.226-1, DFARS 226.103, 252.226-7001)

- The Indian Incentive Program is a Congressionally sponsored program that provides a rebate of 5% of the total amount subcontracted to an Indian-Owned Economic Enterprise, Indian Organization, Alaskan Native Corporation, or Native Hawaiian small business concern back to the prime contractor in accordance with DFARS Clause 252.226-7001.
- DFARS Clause 252.226-7001 must be included in the contract to apply.
- The prime contract must be for \$500,000 or more.

# Module 1: Small Business Incentive Programs

## ▪ Mentor-Protégé Programs

Currently five federal agencies operate mentor protégé programs. Each of these programs has different requirements and benefits to mentor and protégé. Here are some key characteristics:

- SBA Mentor-Protégé – may form a joint venture that takes on the status of the protégé – i.e.: SDVOSB, WOSB, 8(a), HUBZone. In exchange for mentoring the protégé, the mentor may have enhanced access to set-aside contracts as the minority partner in the JV. Small businesses enjoy broad eligibility.
- DoD Mentor-Protégé – Mentor provides assistance to protégé and either has their costs reimbursed or receives credit for those costs toward their subcontracting goals. Small business eligibility is less broad (or clear).



# Module 1: Small Business Incentive Programs

Other MPPs – not based in statute.

- DHS Mentor-Protégé – Parties may benefit via source selection factor. Mentor may receive credit for costs of assistance.
  - DOE Mentor-Protégé – May be eligible for award fees. Subcontracts to proteges count toward subcontracting goals.
  - FAA Mentor-Protégé – Evaluation credits during source selection. Assistance costs may be included in indirect cost rates. Set-asides.
  - NASA Mentor-Protégé - Subcontracts to proteges count toward subcontracting goals. Assistance costs may be included in indirect cost rates. May be eligible for award fees.
  - DOT Mentor Protégé – Managed at the State level.
- Mentors and Protégés must execute a formal agreement that sets forth the type of developmental assistance that will be provided to the Protégé.

# Module 1: Small Business Incentive Programs

## DoD Mentor-Protégé Program (DFARS 219.7100 and Appendix I)

Public Law 101-510, the National Defense Authorization Act of 1991, as amended, established the DoD Pilot Mentor-Protégé Program.

- Provides incentives to prime contractors (mentors) to assist SDB, WOSB, HUBZone and SDVOSB firms (protégés) as well as qualified organizations employing the severely handicapped in enhancing their technical and business capabilities.
- Intended to increase SDB participation as subcontractors in Federal and commercial contracts.
- Fosters the establishment of long-term business relationships.
- Firms are eligible to be mentors if they are currently performing a contract with an approved subcontracting plan and are currently eligible for the award of Federal contracts.

# Module 1: Small Business Incentive Programs

## SBA Mentor-Protégé Program

SBA Mentors can be:

Large Businesses, Small Businesses, 8(a) firms in the transition stage of the program or graduated 8(a) firms.

- Protégé firms must be:
- Be a small business with industry experience. You can find out if your business qualifies as small by using the Size Standards Tool, or by referencing SBA's table of small business size standards. Both the tool and the table help you find the small business classification requirements according to individual NAICS codes.
- Be organized for profit or as an agricultural cooperative
- Have a proposed mentor prior to applying for the program

# Module 1: Liquidated Damages

## “Liquidated Damages - Subcontracting Plan”

- Failure to comply in good faith with a subcontracting plan is considered a material breach of the contract and could result in the imposition of liquidated damages to be paid by the contractor [FAR 19.702(c)].
- FAR 52.219-16 – Determines size of damages. The damages may equal the actual dollar amount by which the contractor missed each goal.
- Contractor must be given written notice of failure and permitted to demonstrate Good Faith efforts.
- **Failure** to respond to notice may be taken as admission that no valid explanation exists.

## **Module 2: Identifying a Small Business**

- The requirements for a Small Business to qualify as a specific recognized type for identification and reporting credit under Federal contracts.
- Definitions of the various sub-categories of Small Business and the certification requirements for HUBZone firms.
- The penalties for misrepresentation.

## Module 2: Identifying a Small Business

### What is a Small Business?

13 CFR 121.105(a) and FAR 52.219-28

- As defined by the Small Business Act, it is a business concern that:
  - Is organized for profit;
  - Has a place of business in the U.S.;
  - Operates primarily within the U.S. or makes a significant contribution to the U.S. economy through payment of taxes or use of American products, materials or labor; and
  - Qualifies under the criteria & size standards in 13 CFR Part 121 and FAR 52.219-28(d).

## Module 2: Identifying a Small Business

FAR 52.219-28 adds the following:

- Independently owned and operated; and
- Not dominant in the field of operations in which it is bidding on Government contracts.
- “Not dominant” means not exercising a controlling or major influence nationally in a kind of business activity in which a number of business concerns are primarily engaged.

## **Module 2: Identifying a Small Business**

### **How is a Business Determined to be Small?**

13 CFR 121.102

- The Small Business Administration (SBA) considers economic characteristics comprising the structure of an industry, including degree of competition, average firm size, start-up costs and entry barriers, and distribution of firm by size.
- Each size standard is associated with a specific NAICS code.
- A size standard represents the largest size that a business (including subsidiaries and affiliates) may be to remain classified as small.
- See Appendix D for NAICS code usage details.



## Module 2: Identifying a Small Business

### What is NAICS?

#### NAICS-- North American Industrial Classification System

- Common classification system for Canada, Mexico and U.S.
- Divides economy into 20 Sectors. Industries are grouped within Sectors by similar production processes.
- Table of Small Business Size Standards Matched to NAICS can be found on the SBA website (effective March 17, 2023)
  - [Table of size standards | U.S. Small Business Administration \(sba.gov\)](#)

## Module 2: Identifying a Small Business

- NAICS size standards are usually in terms of the number of employees or the average annual receipts and vary by industry.
- NAICS codes are reviewed every few years and may change; if so, the associated size standards may also change. Even if a NAICS code does not change, the size standard may.
- The Government Contracting Officer assigns the NAICS code to each prime contract.
- The Prime Contractor must assign the NAICS code to each subcontract.

## Module 2: Identifying a Small Business

How do you verify a subcontractor's small business size?

- **Prime Contractors acting in good faith** may rely on written representations by subcontractors regarding their small business status [FAR 19.703(b)]
- As part of good faith, prime contractors should require their vendors and suppliers to annually submit written certifications regarding their small business size status and to update those certifications if and when their size status changes.

## Module 2: Identifying a Small Business

- **Government Contracting Officers** should review the Online Representations and Certifications contained in the System for Award Management (SAM)
- Go to [SAM.gov](https://sam.gov) | Home Under “Search”, enter the contractor’s name, Unique Entity ID (UEI) number, or Contractor and Government Entity (CAGE) code.
- View the NAICS/size table provided in Representations and Certifications.

## Module 2: Identifying a Small Business

### When does a Small Business certify its size?

- A firm must go into SAM and the Dynamic Small Business Search (DSBS) annually to be identified as a small business or as one of the subcategories of small business.
- Firms must be small at the time of contract award.

**Recommendation:** For Government personnel, create your own SAM account so that you can view all of the contractor information because some firms opt out of public search. Non-government personnel must have a www.Login.gov account to log into and search SAM's Entity Information domain.

## Module 2: Identifying a Small Business

### Misrepresentation of Small Business Status

- If a business willfully misrepresents itself as a small business for purposes of soliciting or obtaining a Government contract, subcontract, cooperative agreement, cooperative research and development agreement, or grant, there is a **presumption of loss to the United States equal to the total amount expended** on the contract, subcontract, cooperative agreement, cooperative research and development agreement, or grant [13 CFR 121.108(a)].
- Example: UFC Aerospace and its former president, October 8, 2015, agreed to pay \$20M after admitting to falsely certifying as WOSB from 2001 until 2011.

## **Module 2: Identifying a Small Business**

### **What constitutes affirmative, willful and intentional certification of small business size and status [13 CFR 121.108(b)]?**

- Submission of a bid, proposal, application, or offer for a Federal procurement set aside or otherwise classified as intended for award to small business.
- Submission of a bid, proposal, application, or offer for a Federal procurement which in any way encourages a Federal agency to classify the bid or proposal, if awarded, as an award to a small business concern.
- Registration on any Federal electronic database for the purpose of being considered for award of a Federal procurement as a small business.

Note: If the misrepresentation was due to unintentional errors, technical malfunctions or other similar situations, liability may not apply.

## **Module 2: Identifying a Small Business**

### **Penalties for misrepresentation as a Small Business (including all subcategories) in order to obtain a prime contract or subcontract [15 U.S.C. 645(d)]**

- Fine of not more than \$500,000 or imprisonment for not more than 10 years or both;
- Administrative remedies prescribed by the False Claims Act and Program Fraud Civil Remedies Act of 1986;
- Suspension or debarment; and
- Ineligibility to participate in any program or activity conducted under Title 15 U.S.C. or the Small Business Investment Act of 1958 for up to 3 years.



## Module 2: Identifying a Small Business

### How is an SB Identified and Certified?

- An SB self-certifies.
- Does not exceed NAICS code size standard and is not owned by a large business. Size determination of a small business includes all affiliates. Size standard exception for ANCs and Indian tribes.

### How is an SDB Identified and Certified?

- An SDB self-certifies.
- Does not exceed size standard (except ANCs and Indian tribes), 51% owned and operated by a Socially and Economically Disadvantaged U.S. citizen as designated by the SBA.

## Module 2: Identifying a Small Business

### How is an 8(a) firm Identified and Certified?

- **Must be certified by the SBA.** The certification will show the entrance and projected exit date from the program.
- Does not exceed size standard (except ANCs and Indian tribes), 51% owned and operated by a Socially and Economically Disadvantaged U.S. citizen as designated by the SBA. The 8(a) program is a 9-year Business Development Program.
- Use SBA's Dynamic Small Business Search (DSBS) to verify (SBA - Dynamic Small Business Search). SAM does not show whether a firm is in the 8(a) program.

## Module 2: Identifying a Small Business

### How is a WOSB Identified and Certified?

- Must be certified by SBA for set-asides. May self-certify as a subcontractor.
- Program is for NAICS codes where WOSBs are underrepresented. SBA maintains a list of those eligible industries.
  - [Eligible NAICS for the Women-Owned Small Business Federal Contracting program | U.S. Small Business Administration \(sba.gov\)](#)
- Be small according to SBA size standards
- Be at least 51% owned and controlled by women who are U.S. citizens
- Have women manage day-to-day operations who also make long-term decisions
- In order for a WOSB to be deemed “economically disadvantaged” its owner must demonstrate economic disadvantage in accordance with the requirements set forth in the final rule.

## Module 2: Identifying a Small Business

### How is a WOSB Identified and Certified?

- For Federal agencies the contracting officer must confirm that the offeror:
  - Is registered in SAM; and
  - Is designated as a certified EDWOSB or WOSB concern in SAM (see 19.1505(d) for set aside procedures). Pending applications for certification are only in the Dynamic Small Business Search (DSBS) at [https://web.sba.gov/pro-net/search/dsp\\_dsbs.cfm](https://web.sba.gov/pro-net/search/dsp_dsbs.cfm)
- Prime contractors may accept a WOSB's self certification.

## Module 2: Identifying a Small Business

### How is a HUBZone Firm identified and Certified?

- **Must be certified by the SBA.**
- Does not exceed size standard, be located in a HUBZone, 35% of employees live in any HUBZone, 51% owned and controlled by U.S. citizens\*, certified by SBA and listed in SAM.
- Use SBA's Dynamic Small Business Search (DSBS) to verify ([SBA - Dynamic Small Business Search](#)). DSBS will show the date of HUBZone certification.

\*Indirect ownership newly permitted

## **Module 2: Identifying a Small Business**

### **Definition of HUBZone Empowerment (Public Law 105-135)**

- **What is a Historically Underutilized Business Zone?**
  - An area located within one or more qualified census tracts.
  - Qualified non-metropolitan counties (Rural Districts).
  - Lands within the external boundaries of an Indian Reservation.
  - Qualified Base Closure Areas.
  
- **HUBZones**
  - Have at least 140% higher unemployment than either the National or state-wide average (whichever is lower) or 80% lower median household income than the state-wide average or both (13 CFR 126.103).

## Module 2: Identifying a Small Business

### How is a VOSB Identified & Certified?

- Must be Certified using SBA's Veteran Small Business Certification (VetCert) [Veteran Small Business Certification \(sba.gov\)](https://www.sba.gov/vet-cert) .
- Does not exceed size standard, 51% owned and operated by one or more qualifying veterans or surviving spouse.
- A prime contractor may accept a subcontractor's written representations of its size and socioeconomic status.



## Module 2: Identifying a Small Business

### How is an SDVOSB Identified and Certified?

- Verification required from SBA's Veteran Small Business Certification (VetCert) [Veteran Small Business Certification \(sba.gov\)](https://www.sba.gov/veteran-small-business-certification).
  - Any small business concern that did not submit a complete SDVOSB certification application to SBA on or before December 31, 2023, is no longer eligible to self-certify for SDVOSB sole source contracts effective January 1, 2024
- Does not exceed size standard, 51% owned and operated by one or more veterans with active duty (other than for training) and a service-related disability (0-100%) as determined by VA or DoD.
- The 2024 National Defense Authorization Act (NDAA) will now require SDVOSB goaling and subcontracting credit to be VetCert qualified. Self-certification for goaling and subcontracting purposes will be allowed until December 22, 2024



## **Module 2: Identifying a Small Business**

### **Regulation regarding ANCs and Indian Tribes [43 U.S.C. 1626 and FAR 19.703(c)(1)(i)]**

Subcontracts with ANCs and Indian Tribes count towards goals for SB and SDB, regardless of their size or SBA certification status\*.

**\* This provision does not apply to Hawaiian Native owned firms.**

## Module 2: Identifying a Small Business

### Women-Owned Small Business Federal Contract Program [FAR 19.15]

- Applies **only** to Government Contracting Officers (COs) and enables them to set aside certain contracts for competition among Women-Owned Small Business (WOSB) or Economically Disadvantaged Women-Owned Small Business (EDWOSB) for the provision of goods and services to the Federal Government.
- Aimed at increasing access to Federal contracts to WOSB and EDWOSB.
- Limited to certain NAICS Codes where women are under-represented or substantially under-represented as designated by SBA (over 360 currently eligible).



## Module 2: Identifying a Small Business

- **Eligibility for WOSB:** Must be small business at least 51% unconditionally and directly owned and controlled by one or more women who are U.S. citizens.
- **Eligibility for EDWOSB:** Must be a WOSB that is at least 51% owned by one or more women who are “economically disadvantaged.”
  - A woman is presumed economically disadvantaged if she has a personal net worth of less than \$850,000 (with some exclusions), her adjusted gross yearly income averaged over the 3 years preceding the certification is less than \$450,000, and the fair market value of all her assets is less than \$6.5 million (with some exclusions) [13 CFR 127].

## Module 2: Identifying a Small Business

- **WOSB /EDWOSBs must be certified through SBA**  
on [WOSB.Certify.sba.gov](https://www.wosb.certify.sba.gov)
- May go through SBA-approved Third-Party Certifier for certification.
- **SBA has approved the following Third-Party Certifiers:**
  - El Paso Hispanic Chamber of Commerce
  - National Women Business Owners Corporation
  - U.S. Women's Chamber of Commerce
  - Women's Business Enterprise National Council (WBENC)

## Module 2: Identifying a Small Business

- The Government Contracting Officer is responsible to verify certification on the Dynamic Small Business Search [SBA - Dynamic Small Business Search](#).
- Note: Although EDWOSB is a subset of WOSB, the categories are not interchangeable. A WOSB set-aside eligible NAICS can not be set aside for EDWOSB. An EDWOSB, however, can bid on a WOSB set-aside.

## Module 2: Identifying a Small Business

- Contracting Officers will be able to award sole-source awards to WOSBs and EDWOSBs when:
  - The WOSB/EDWOSB is a responsible contractor with respect to performance of the requirement and the Contracting Officer does not have a reasonable expectation that 2 or more WOSBs or EDWOSBs will submit offers;
  - The anticipated contract price (including options) will not exceed \$7,000,000 for a contract assigned a NAICS for Manufacturing or \$4,500,000 for any other opportunity; and
  - In the estimation of the Contracting Officer, the award can be made at a fair and reasonable price [13 CFR 127.503].

## Module 2: Identifying a Small Business

<https://sites.ed.gov/whhbcu/>

### Historically Black Colleges & Universities and Minority Institutions (HBCUs/MIs) [DFARS 219-7004]

- HBCUs are defined by the Higher Education Act of 1965, as amended, as:  
“any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary [of Education] to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation.”
- The latest list of HBCUs can be obtained at: <https://sites.ed.gov/whhbcu/>

## Module 2: Identifying a Small Business

- Minority Institutions (MI) are organizations having significant minority enrollment.
- Designated minority groups include African Americans, Native Americans, Hispanic Americans, Asian Americans, and Pacific Islanders.
- The latest list of MIs can be obtained at:  
<http://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst-list-tab.html>



## Module 2: Identifying a Small Business

### The Javits-Wagner-O'Day Act (PL 92-28 and 41 CFR Part 51)

- Directs the Committee for Purchase from People who are Blind or Severely Disabled to designate one or more “central nonprofit agencies” to assist community-based nonprofit agencies serving people who are blind or have other significant disabilities participating in the **AbilityOne** Program.
- The Committee has designated **National Industries for the Blind (NIB)** and **SourceAmerica (formerly NISH)** to fulfill responsibilities as listed in 41 CFR Part 51-3.
- The AbilityOne Program provides people who are blind or who have other significant disabilities the opportunity to:
  - acquire job skills and training
  - receive good wages and benefits
  - gain greater independence and quality of life
  - Subcontracts to Ability One organizations may be counted by Prime contractors, but may not be counted by Federal agencies.

## Module 2: Identifying a Small Business

### LIMITATIONS ON SUBCONTRACTING FOR SMALL BUSINESSES

- This rule only applies to federal government contracts that are set-aside for small business (or set-aside for one of the small business subcategories).
- For services: Not more than 50% of the amount paid under the contract may be subcontracted\*
- For supplies (other than from a regular dealer in such supplies): Not more than 50% of the amount (less the cost of materials) \*
- For construction, not more than 85%\*; for construction trades not more than 75%\*

*\* Unless subcontracted a “similarly situated entity.” Such subcontracts may be counted toward the self performance requirement [15 U.S.C. 631 et seq.]*

## **Module 2: Identifying a Small Business**

**In set-aside situations, subcontracts to “similarly situated entities” may be used to satisfy the self-performance requirements established by Limitations on Subcontracting.**

**What is a “similarly situated entity”?**

- A similarly situated entity is a subcontractor that is of the same size and status as the prime small business.
- For example, if the prime small business is an SDVOSB, the similarly situated entity must also be an SDVOSB.

## Module 2: Identifying a Small Business

### The Non-Manufacturer Rule

- **Applies only to supply contracts set-aside for the small business categories.**
- Business that does not manufacture the products that are being sold is not subject to the manufacturing size standard for the contract.
- Business must not exceed 500 employees.
- Must supply only products manufactured by small business in the United States, or must obtain a waiver\*, unless below the simplified acquisition threshold, in which case products may be manufactured by any firm.
- Must take possession, and must be a regular dealer in similar products.

\*Individual waivers may be sought on a case by case basis. Class waivers exist for certain products and classes of products.

15 USC §§ 637(a)(14), 644(o); 13 CFR § 125.6; FAR §§ 52.219-14, 52.219-27

## Module 3: How Small Business Programs Work

- The key elements of a successful Small Business Subcontracting Program.
- The key elements of a successful Small Business Subcontracting Plan.
- A rating system used by DCMA is provided to assist in the assessment of your current program and the suggested levels for reaching an “Exceptional” rating.
- A Self-test for your Program

## **Module 3: How Small Business Programs Work**

**What should an effective small business subcontracting program include?**

### **Ten Key Elements:**

- 1. Management support.**
- 2. An active supplier diversity program**
- 3. Active & trained small business professional(s) (SBP, SBLO).**
- 4. Acceptable subcontracting plan(s).**
- 5. Meeting SB goals & objectives.**
- 6. An effective SB outreach program.**
- 7. Connections to SBA, a DoD Regional Council, and one or more APEX Accelerators.**
- 8. Procurement staff engagement.**
- 9. Connection to System for Award Management (SAM) & Dynamic Small Business Search.**
- 10. Accurate and on-time reporting.**

# **Module 3: How Small Business Programs Work**

## **15 Mandatory Elements Included in a Subcontracting Plan**

- 1. Goals (% based on total planned subcontracting \$ for each SB category)**
- 2. Total \$ to be subcontracted (overall & by category)**
- 3. Description of principal types of supplies/services to be subcontracted (total & by category)**
- 4. Description of methods used to develop subcontract goals**
- 5. Description of methods used to identify potential SB sources**
- 6. Explanation of the treatment of indirect costs (included/excluded)**
- 7. Named individual administrator of the subcontracting program (SBLO)**
- 8. Description of efforts that will be made to ensure equitable opportunity for SB**
- 9. “Flow down” clauses requiring lower-tier subcontracting plans**
- 10. Reporting requirements within eSRS**
- 11. Record-keeping: description / procedures / process**

## **Module 3: How Small Business Programs Work**

- 12. Assure a good faith effort is made to obtain material and services from Small Business Concerns used in the preparation of the bid or proposal**
- 13. Contractor will report to the Contracts Officer per a written explanation if Contractor fails to meet performance objectives**
- 14. Contractor will not interfere with a Sub-contractor in contacting a Contracts Officer on any issues concerning material, payments or the utilization of the Sub-contractor**
- 15. Assure that the Contractor will pay its small business Sub-contractors on time and within the agreed upon terms and conditions of the contract**



## **Module 3: How Small Business Programs Work**

- **The Defense Contract Management Agency (DCMA) and the Small Business Administration (SBA) use the following ratings to grade contractor Small Business Program Success:**
  - Exceptional
  - Very Good
  - Satisfactory
  - Marginal
  - Unsatisfactory
- The rating definitions are taken from the DCMA 640 “Review of Contractor’s Subcontracting Program”.

## Module 3: How Small Business Programs Work

### EXCEPTIONAL

- Exceeded the negotiated SB goal and 2 additional category goals on 90% or more of the subcontracting plans reported for the fiscal year under review. [Negotiated goals for rating purposes compares the percentage goals with the percentage achievements.]
- Has exceptional success with numerous specific initiatives to assist, promote and utilize SB, SDB, WOSB, HUBZone, VOSB, SDVOSB, ANCs and Tribal Native American concerns. [Examples include, but are not limited to, participating in a Mentor-Protégé program, performing compliance reviews at subcontractors' sites, administering a buyer incentive program, participating in trade fairs, promoting registration in the DSBS, and contacting suppliers to encourage SDB and HUBZone certification.]
- An exceptional rating signifies that the company has an exemplary program that could be used as a model by other contractors in similar industries.

## Module 3: How Small Business Programs Work

### VERY GOOD

- Met or exceeded all of its negotiated goals in 3 small business categories on 80% of the subcontracting plans reported for the fiscal year under review.
- Has moderate success with some initiatives to assist, promote and utilize SB, SDB, WOSB, HUBZone, VOSB and SDVOSB.
- Demonstrates focused efforts to go above and beyond the required elements of the program and provides documentation and success stories to support such efforts.
- Demonstrates existing policies and process that ensure 85% on-time and accurate submission of the required reports in eSRS as a prime contractor and 80% on-time submission of the reports from their subcontractors.

## Module 3: How Small Business Programs Work

### SATISFACTORY

- Always demonstrates a good-faith effort to meet all of its goals on subcontracting plans for the fiscal year being reviewed, but falls short of the threshold for a Very Good rating.
- Provides reasonable and supportable explanations why certain goals could not be achieved.
- Demonstrates compliance with the mandatory elements of their subcontracting plans and implementing regulations.
- ISR and SSR reports submitted accurately within 30 days after the end of applicable reporting periods 70% of the time.

## Module 3: How Small Business Programs Work

### MARGINAL

- Deficient in meeting key subcontracting plan elements or the contractor has failed to satisfy one or more requirements of a corrective action plan from the prior review.
- Fails to comply with the submission requirements in eSRS on the majority of their contracts with subcontracting plans and there is no evidence of flow-down to applicable subcontractors.
- There is evidence of corporate and/or senior management commitment to bring its program to an satisfactory level and has demonstrated a commitment to apply the necessary resources to do so.
- A corrective action plan is required, and the Administrative Contracting Officer(s) (ACO) and SBA Commercial Marketing Representatives [CMR(s)] must be notified.

## Module 3: How Small Business Programs Work

### UNSATISFACTORY

- Non-compliant with the contractual requirements of DFARS and FAR 52.219-8 and 52.219-9.
- Contractor's management shows little interest in bringing its program to an satisfactory level or is generally uncooperative [for example, recommendations made by SBA or DCMA on previous reviews have never been implemented].
- A corrective action plan is required, and the Administrative Contracting Officer(s) and SBA CMR(s) must be notified.

## **Module 3: How Small Business Programs Work**

### **Who is the Small Business Liaison Officer (SBLO)?**

#### Appointment

- The SBLO should have a signed Letter of Appointment defining the SBLO's roles and responsibilities.
- Reports directly to the Chief Executive Officer (CEO) or senior level management, has influence over all subcontracting activities, and can effectively implement the overall SB Program.
- Assures maximum opportunities are afforded to those entities outlined in the company policy statement.
- The cognizant DCMA & SBA Government Contracting Area Offices should be notified when a new SBLO is appointed.

## Module 3: How Small Business Programs Work

What is the SBLO responsible for in most organizations?

- **The SBLO is responsible for the entire SB program for the organization.**
  - Developing local procedures.
  - Developing source lists and guides to identify suppliers. Use of SAM, DSBS, APEX Accelerators, SBA, DCMA and other sources.
  - Ensuring updates to supplier base and that on-going efforts are being made to locate, utilize, and develop SB, SDB, WOSB, HUBZone, VOSB and SDVOSB vendors.
  - Attending and/or sponsoring procurement conferences.



## **Module 3: How Small Business Programs Work**

### **What is the SBLO responsible for in most organizations?**

- Briefing management and other personnel involved in the supply chain management on SB program.
- Conducting training for all personnel involved in the subcontracting effort.
- Completion of ISR semi-annually and the SSR annually.
- Networking with other industry SBLOs, PTACs, DCMA and SBA.

## Module 3: How Small Business Programs Work

**Important:** Small Business Programs are subject to monitoring and review by DCMA (and/or other government contracting agency such as the VA CO) and the SBA.

- DCMA offices provide performance data to Contracting Officers when evaluating the subcontracting plans prior to contract award.
- 5 year trend data is maintained on the contractor's overall performance.
- At contract completion, the Contracting Officer is provided a copy of the results of contractor's individual contract performance.
- Upon completion of the review, DCMA/SBA request an exit briefing with the CEO/President or senior management.
- A program rating will be assigned as a result of the review. The five categories were previously identified.

## **Module 3: How Small Business Programs Work**

### **Things to consider prior to review:**

- Request continuous input/feedback/reporting from these individuals so that you have the information readily available.
- Monitor your program from every aspect.
- Ensure that small business concerns have an opportunity to compete over a period of time; therefore, the search should be continuous.
- Encourage teams, with small business participation, to strengthen the Department of Defense (DoD) supplier base by increasing the competitiveness of small businesses.

# Module 3: How Small Business Programs Work

## Small Business Program Self-test

### **1. Management Support**

Mark Score Here: \_\_\_\_\_

1 = No management support.

3 = Management has minimal program knowledge.

5 = Management knows about the program.

7 = Management actively endorses the program.

9 = Management endorses, monitors and participates in the program.

### **2. An Active SBLO**

Mark Score Here: \_\_\_\_\_

1 = Our company does not have an SBLO.

3 = Our SBLO has not taken Small Business Professional Training.

5 = Our SBLO is has taken Small Business Professional Training and is involved with at least 5 of the success elements.

7 = Same as 5 but does 7 of the success elements.

9 = Same as 5 but does all 10 elements.

### **3. An Acceptable Subcontracting Plan**

Mark Score Here: \_\_\_\_\_

1 = My company does not have a subcontracting plan.

3 = Our subcontracting plan is not approved by the agency buying office.

5 = Our subcontracting plan is current and approved by the agency buying office.

7 = Same as 5 and we are actively working our plan.

9 = Same as 5 and we are meeting our plan goals.

10 = Same as 5 and we are exceeding our plan goals.

# Module 3: How Small Business Programs Work

## 4. Small Business Professional Training

Mark Score Here: \_\_\_\_\_

1 = My company does not have a training module for Small Business.

5 = We are scheduled to provide Small Business Professional Training in the next year.

10 = We regularly provide Small Business Professional Training.

## 5. Meeting SB Goals & Objectives

Mark Score Here: \_\_\_\_\_

1 = My company has no goals or objectives for small business.

3 = People are aware of subcontracting goals.

5 = Management has established company small business goals.

7 = Company goals are established and metrics reported.

9 = Same as 7; most goals are being met.

10 = Same as 7; all goals are being met or exceeded.

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# Module 3: How Small Business Programs Work

## 6. A Good Outreach Program

Mark Score Here: \_\_\_\_\_

- 1 = Our company does not do Outreach.
- 3 = Our company does limited Outreach.
- 5 = Our company has an active Outreach Program.
- 7 = Our company is active and has participated in one or more matchmaking events.
- 9 = Same as 7; we have connected to sources through this process.

## 7. Connection to SBA, DoD Regional Council and APEX Mark Score Here: \_\_\_\_\_

- 1 = What's an APEX Accelerator?
- 3 = How do I connect to the SBA and a Regional Council?
- 5 = Our company is active in our Regional Council.
- 7 = Same as 5, and we work with our state or regional APEX Accelerator.
- 9 = Same as 7 and we are on a Regional Council Sub-Committee.

## 8. Active Procurement Participation

Mark Score Here: \_\_\_\_\_

- 1 = Procurement staff is untrained.
- 3 = Procurement staff is aware.
- 5 = Procurement staff is active.
- 7 = Procurement staff is trained.
- 9 = Same as 7 and Procurement is meeting the goals.

# Module 3: How Small Business Programs Work

## 9. Connection to System for Award Management (SAM) & Dynamic Small Business Search (DSBS)

Mark Score Here: \_\_\_\_\_

1 = What are SAM & DSBS?

3 = How do I use SAM & DSBS?

5 = SAM & DSBS are used to verify certifications.

7 = Our database is checked against SAM & DSBS database regularly.

9 = Same as 7, and we are compliant.

## 10. Accurate and On Time reporting

Mark Score Here: \_\_\_\_\_

1 = Reporting...What reporting?

3 = What's an ISR?

5 = ISRs and SSRs are issued.

7 = Same as 5 and all data is accurate.

9 = Same as 7 and reports are issued on time.

Page Total: \_\_\_\_\_

Total from Page 1: \_\_\_\_\_

**Grand Total:** \_\_\_\_\_

10 – 40: Program has serious weaknesses and needs urgent attention; may be rated **unsatisfactory**..

41 – 55: Program may pass review with a **marginal** rating, but is unlikely to be sustainable.

56 – 75: Program may be **satisfactory**, but opportunities for improvement remain.

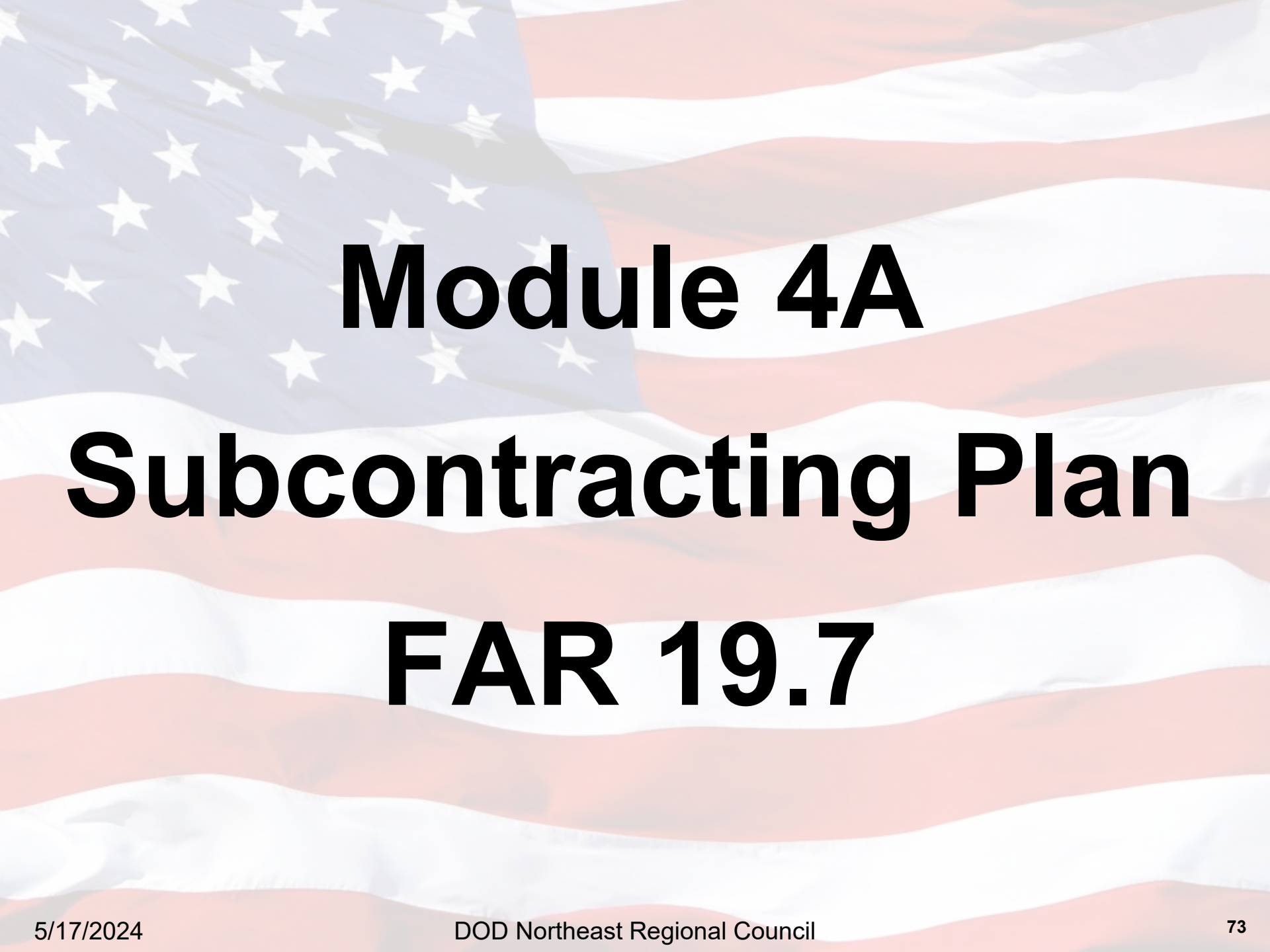
76 – 90: Program is likely to consistently rate **very good** or **outstanding**.

## Module 4: Small Business Subcontracting Plans and Small Business Participation

- This is a two-part module that discusses the differences between Subcontracting Plans and Small Business Participation (or Small Business Participation Commitment Document)
- Module 4A provides the information needed to prepare a **Subcontracting Plan (FAR 19.7)** as part of a contract. The required elements are covered as well as the calculation methods used in establishing the goals.
- Module 4B discusses the requirements when asked to provide a proposal that addresses **Small Business Participation (FAR 15)** for source selection.

**Remember: The subcontracting plan is contractual, per requirements in FAR 19.7; however, it is the responsibility of the Contracting Officer to make small business participation a commitment and contractual, as well.**



The background of the slide is a stylized, wavy American flag with red and white stripes and a blue field with white stars.

# **Module 4A**

# **Subcontracting Plan**

# **FAR 19.7**



## Module 4A: Preparing a Small Business Subcontracting Plan

### When are Subcontracting Plans Required ?

[FAR 19.702]

- For Government contracts or modifications expected to exceed \$750,000 (\$1,500,000 for construction) **AND** the apparent awardee is an Other Than Small Business (OTSB), AND subcontracting possibilities exist.
- U.S. Government Policy: SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB firms to have Maximum Practicable Opportunity to participate in performance of Federal contracts
- OTSBs are **legally required** to carry out this policy in subcontracting to the fullest extent consistent with efficient contract performance



## Module 4A: Preparing a Small Business Subcontracting Plan

- Subcontracting Plans are not required:
  - From small businesses
  - For personal services contracts
  - When performance is entirely outside the U.S. and outlying areas
  - For modifications within scope that do not contain FAR 52.219-8

FAR 19.705-2(c) - If it is determined that there are no subcontracting possibilities, the determination (a formal memo) shall include a detailed rationale, be approved at a level above the contracting officer, and be placed in the contract file.

**THERE MUST BE DISCUSSION BETWEEN THE APPARENT AWARDEE AND THE CONTRACTING OFFICER (AND PROJECT MANAGER) TO DETERMINE THIS!**

# Module 4A: Preparing a Small Business Subcontracting Plan

**An OTSB is any entity not classified as small, including:**

- Large Business
- State and Local Governments
- Federal Prison Industries (UNICOR)
- Public Utilities
- Foreign firms located and working entirely outside the United States  
(Note: Omit foreign spending from eSRS reports)
- Educational Institutions
- Non-profit Organizations
  - Per DFARS 219.703(a), NIB/NISH/AbilityOne/SourceAmerica may be counted toward the prime contractor's small business subcontracting goal.



## Module 4A: Preparing a Small Business Subcontracting Plan

**Remember: If you buy anything, it is a subcontract.**

- Per FAR 19.701, “subcontract” means any agreement (other than one involving an employer-employee relationship) entered into by a prime or a subcontractor calling for supplies and/or services required for performance of the contract, contract modification, or subcontract

### **EXCEPTION: [13 CFR 125.3(a)(1) (i)(B)]**

- If a prime contractor gives a first-tier subcontract to an affiliate, those dollars are omitted from the subcontracting base; the affiliate is considered to be part of the prime
- If a first-tier affiliate issues a subcontract, those dollars are included in the subcontracting base just as though the prime had issued the subcontract



# Module 4A: Preparing a Small Business Subcontracting Plan

## Business Representations

- **Contracting Officers** rely on the Reps and Certs in SAM and the Dynamic Small Business Search (DSBS) to verify prime contractors.
- **Prime contractors may [FAR 19.703(a)(2)]:**
  - 1) accept written representations/self-certification from its subcontractors regarding their size status and business type (based on the requirement's assigned NAICS and corresponding size standard) **or**,
  - 2) accept a subcontractor's representation in SAM if the company's status is current, accurate and complete, in accordance with requirement's assigned NAICS and corresponding size standard. Prime contractors may not require the use of SAM for the purpose of representing size or socioeconomic status in connection with a subcontract.

### **Exceptions:**

- HUBZones [and 8(a) companies] must be registered with the SBA (prime & subcontracts).

### **Note:**

- FAR 19.703(c)(1)(i): Subcontracts awarded to an ANC or Indian tribe shall be counted towards the subcontracting goals SB and SDB concerns regardless of the company's size.
- For VA prime contracts only: VOSB and SDVOSB companies must be certified by VetCert.

# **Module 4A: Preparing a Small Business Subcontracting Plan**

## **TYPES OF SUBCONTRACTING PLANS**

- Individual
- Master
- Commercial
- DoD Comprehensive



# Module 4A: Preparing a Small Business Subcontracting Plan

## Individual Subcontracting Plan

- Applies to a specific contract and covers the entire contract period (including option periods) **1 Contract = 1 Plan**
- Contains 15 mandatory elements
- Prior to contract award, the **apparent successful offeror** submits the plan to the Contracting Officer for review/approval [FAR 19.702(a)(1)]
- Contracting Officer negotiates goals and challenges any plan that does not contain positive goals
- Plan **must** be approved by the Contracting Officer prior to award
- When award is made, copy of award must be sent to the SBA Area Director of where the contract will be performed [FAR 19.705-6(a)]



# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

### Plan must include:

1. Goals (% based on total planned subcontracting \$ for each SB category)
2. Total \$ to be subcontracted (overall & by category)
3. Description of principal types of supplies/services to be subcontracted (total & by category)
4. Description of methods used to develop subcontract goals
5. Description of methods used to identify potential SB sources
6. Explanation of the treatment of indirect costs (included/excluded)
7. Named individual administrator of the subcontracting program (SBLO)
8. Description of efforts that will be made to ensure equitable opportunity for SB
9. "Flow down" clauses requiring lower-tier subcontracting plans
10. Reporting requirements within eSRS
11. Record-keeping: description / procedures / process
12. Assurances that the offeror will make a good faith effort to use the SB concerns that are identified in the plan
13. Assurances that the offeror notify the Contracting Officer of changes to subcontractors
14. Assurances that the contractor will not prohibit a subcontractor from discussions with the contracting officer
15. Assurances that the offeror will pay its small business subcontractors on time and in accordance with the terms and conditions of the subcontract

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

When writing the plan, recommend starting with elements #2 through #6, then go back to #1 and finish remainder of elements.

### Element #2 - Total dollars to be subcontracted (include option/cumulative years):

- Evaluate the SOW, SOO, PWS to determine make or buy decisions – What elements in the requirement will be subcontracted?
- Evaluate historic like-requirements
- Perform cost analysis of subcontracts (historical data, supplier quotes, purchase agreements, etc.)
- Will indirect costs (element #6) be included (maintenance, repair, administrative, etc.)?

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

Element #3 - Description of principal types of supplies/services to be subcontracted:

- Allocate/consolidate items from element #2 into principal categories
- Assign NAICS codes
- Include table(s)

<u>SUBCONTRACTS</u>	<u>NAICS</u>	<u>SIZE STD</u>	<u>OTSB</u>	<u>SB</u>	<u>SDB</u>	<u>WOSB</u>	<u>HUBZone</u>	<u>VOSB</u>	<u>SDVOSB</u>
Machine Shop	332710	500 emp		\$50,000				\$25,000	\$25,000
Electronic Computer Manufacturing	334111	1250 emp	\$250,000						
Engineering Services	541330	\$15M		\$200,000	\$22,000	\$100,000	\$20,000		
<b>Subcontracts</b>			<b>\$250,000</b>	<b>\$250,000</b>	<b>\$22,000</b>	<b>\$100,000</b>	<b>\$20,000</b>	<b>\$25,000</b>	<b>\$25,000</b>
<b>Total Dollars Subcontracted</b>	<b>\$500,000</b>								

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

### Element #4 - Description of method used to develop subcontract goals:

- State the processes used in Elements #2 and #3

### Element #5 - Description of method used to identify potential sources:

- SAM and DSBS
- Company database/portal
- Industry/networking events
- Local procurement organizations, technical assistance centers
- SBA (Procurement Center Representatives, Commercial Market Representatives)
- Trade fairs and associations
- Department of Veteran Affairs, VetBiz Registry, Minority Business Directories
- Historical

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

### Element #6 - Statement if indirect costs are included:

- If indirect costs are included, provide a description of the method used to determine the proportionate share of indirect costs to be incurred for each category
- Each firm has its own method to allocate indirect costs to a contract, but must be consistent with Generally Accepted Accounting Principles
  - Ensure that the described method to determine proportionate share of indirect costs is consistent, reasonable, allowable, allocable, and measurable.

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

### Element #1 - Develop your goals:

- Use data from previous table
- Remember to include separate option years
- How to perform calculations:
  - Total Subcontracts Allocated to Each Category divided by Total Dollars Subcontracted

<u>SUBCONTRACTS</u>	<u>NAICS</u>	<u>SIZE STD</u>	<u>OTSB</u>	<u>SB</u>	<u>SDB</u>	<u>WOSB</u>	<u>HUBZone</u>	<u>VOSB</u>	<u>SDVOSB</u>
Machine Shop	332710	500 emp		\$50,000				\$25,000	\$25,000
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<b>Total Dollars Subcontracted</b>	<b>\$500,000</b>								
<b>Goals</b>			<b>50.0%</b>	<b>50.0%</b>	<b>4.4%</b>	<b>20.0%</b>	<b>4.0%</b>	<b>5.0%</b>	<b>5.0%</b>

Remember that companies may have multiple certifications and the dollars should be allocated accordingly.

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

### Element #1 (cont.) - Develop your goals:

- For any percentage goal less than the applicable Public Law goal, provide a reasonable, written explanation in the plan as to why that goal is lower. Provide explanation for each category missed.
  - Small Business = 23%
  - Small Disadvantaged Business= 5%
  - Women-Owned Small Business = 5%
  - HUBZone = 3%
  - Service Disabled Veteran Owned Small Business = 5%

**THE GOALS THAT YOU DEVELOP, ARE BASED ON THE SPECIFIC REQUIREMENT, NOT ON PUBLIC LAW GOALS!!**

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

Element #7 - Name and contact information of individual employed by the offeror who will administer the offeror's subcontracting program:

- Include description of duties

Element #8 - Description of the efforts the offeror will make to ensure equitable opportunity for SBs, SDBs, WOSBs, HUBZones, VOSBs, and SDVOSBs to compete for subcontracts:

- Include the seven functions listed in FAR 52.219-9(e)
  1. Assist small firms by arranging solicitations, time for bid preparation, quantities, specifications, and delivery schedules to facilitate participation
  2. Provide adequate and timely consideration of small firms' potentialities in all "make-or-buy" decisions
  3. Counsel and discuss subcontracting opportunities with small firms
  4. Confirm HUBZone subcontractors are certified by the SBA
  5. Provide notice to subcontractors concerning the penalties and remedies for misrepresentation of business status
  6. For all competitive subcontracts over the simplified acquisition threshold, the Contractor must inform each unsuccessful small business subcontract offeror in writing of the name and location of the apparent successful offeror prior to award of the contract.
  7. **Assign each subcontract a NAICS code and corresponding size standard!**



# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

### Element #9 - Assurances that the offeror will include flowdown of clauses:

- The Offeror will include the FAR Clause 52.219-8, Utilization of Small Business Concerns in all subcontracts that offer further subcontracting opportunities.
- The Offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$750,000 (\$1.5M for construction of any public facility) with further subcontracting possibilities to adopt a subcontracting plan that complies with the requirements of this clause.
- The Offeror will review and approve reports in eSRS from its subcontractors with flow-down requirements.



# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

### Element #10 - Assurances that the offeror will:

- Cooperate in any studies or surveys
- Submit periodic reports to determine compliance
- After 11/30/2017, include subk data for each order when reporting achievements for IDIQ contracts intended for use by multiple agencies
- Submit ISRs and SSRs using eSRS
- Ensure that its subcontractors with subcontracting plans agree to submit ISRs and the SSRs using the eSRS
- Provide its prime contract number and its unique entity identifier (UEI), and the e-mail address of the offeror's official responsible for ISRs to all first-tier subcontractors with subcontracting plans
- Require that each subcontractor with a subcontracting plan provide the prime contract number, its own unique entity identifier, and the e-mail address of the subcontractor's official responsible for ISRs to its subcontractors with subcontracting plans

# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

Element #11 - Six specific types of records that the contractor must agree to maintain [FAR 52.219-9(11)]:

- Source lists, guides, and other data identifying SB concerns
- Organizations contacted to locate small business concerns
- Records on each subcontract solicitation resulting in an award of more than the SAT - **If not, why not? AND**, if applicable, why was the award not made?
- Records of outreach efforts to contact trade associations, business development organizations, conferences and trade fairs, and veterans service organizations
- Records of internal guidance and encouragement to buyers through workshops, seminars, training, etc. and monitoring performance to evaluate program compliance
- On a contract-by-contract basis, records to support award data including the name, address, and business size of each subcontractor. [NOTE: does not apply to commercial plans]



# Module 4A: Preparing a Small Business Subcontracting Plan

## 15 MANDATORY ELEMENTS - FAR 19.704 and FAR 52.219-9

Element #12 - Assurances that the Offeror will make a good faith effort to use the to use the Small Business concern it used in preparing the bid or proposal.

Element #13 - Assurances that the Contractor will provide the Contracting Officer with a written explanation within 30 days of contract completion if the Contractor fails to perform Element #12.

Element #14 - Assurances that the Contractor will not prohibit a subcontractor from discussions with the Contracting Officer

Element #15 - Assurances that the offeror will pay its small business subcontractors on time and in accordance with the terms of the contract and must notify the contracting officer if the offeror pays a reduced or an untimely payment to a small business subcontractor

# Module 4A: Preparing a Small Business Subcontracting Plan

## Revised Subcontracting Plans

- If a modification to a contract increases the contract above \$750,000 (\$1.5 million for construction), prepare a subcontracting plan or a revised plan as appropriate.
- Revised plan covers whole contract, not just modification section, and replaces existing plan [13 CFR 125.3(d)(8)]
- There is only one subcontracting plan per contract [FAR 19.705-2(e)]
  - However, a contracting officer may establish separate subcontracting goals for each order under an indefinite-delivery, indefinite-quantity contract [19.705-1(b)(2)].

# Module 4A: Preparing a Small Business Subcontracting Plan

## Master Subcontracting Plan - FAR 19.704(b)

- A Master Subcontracting Plan is a boiler plate that contains elements #4 through #15 (FAR 19.704(a)(4) through FAR 19.704(a)(15)).

### IT IS NOT A COMPLETE PLAN FOR A SPECIFIC REQUIREMENT

- Established on a plant or division-wide basis
- The boiler plate is approved by a Contracting Officer and is effective for a period of three years after the approval date
- For each new requirement that requires a subcontracting plan, the company may submit the approved boiler plate (Master Plan), along with an attachment that addresses elements #1 through #3 [(FAR19.704(a)(1) through FAR19.704(a)(3)] that contain **percentage goals, dollars, and description of the principal types of supplies and/or services** specific to that requirement. This approved plan becomes an **Individual Subcontracting Plan** for the specific requirement

# Module 4A: Preparing a Small Business Subcontracting Plan

## Commercial Subcontracting Plan - FAR 19.704(d)

- Preferred type of plan for contractors furnishing commercial items
- Applies to entire production of commercial items sold by either entire company or a portion thereof (division, plant, or product line)
- Approved plan (by the 1<sup>st</sup> Contracting Officer) shall remain in effect during the contractor's FY for all Government contracts during that period.
- Contains the 15 mandatory elements in FAR 19.704(a) and provides the Name, Agency, Organization, Phone Number, and email for the contracting officer approving the plan.
- Submit new commercial plans 30 working days before the end of the Contractor's fiscal year to the contracting officer holding a contract with the latest completion date. Once negotiated, the Contractor will distribute the approved plan to all COs holding an ongoing contract.

# Module 4A: Preparing a Small Business Subcontracting Plan

## Comprehensive Subcontracting Plan

**DFARS 219.702-70– Revised 13 April 2018**

- DoD continues to conduct a test program to determine whether a corporate, division, or plant-wide comprehensive plan will increase subcontracting opportunities for small business concerns. The test began on October 1, 1990, and has been extended through **December 31, 2027**
- To become and remain eligible to participate in the test program, a business concern is required to have furnished supplies or services (including construction) under at least three DoD contracts during the preceding fiscal year, having an aggregate value of at least \$100M
- **The Contracting Officer may assess liquidated damages for not meeting goals - DFARS 219.702-70(d)(1)**



# Module 4A: Preparing a Small Business Subcontracting Plan

## Comprehensive Subcontracting Plan (DFARS 219.702-70) – *Revised January 31, 2023*


- Negotiated on an annual basis by DCMA
- Incorporated into all participating contractors' active DoD contracts requiring a plan
- Used (in lieu of an Individual Subcontracting Plan) by all DoD Contracting Officers for contracts awarded during the test period

# **Module 4A: Preparing a Small Business Subcontracting Plan**

## **Participants in the Comprehensive Subcontracting Plan Test Program as of January 31, 2023**

- BAE Systems
- GE Aviation
- General Dynamics Mission Systems (GDC4S, GDAIS, GDCIT)
- Harris Corporation Govt. Communication Systems Division
- L-3 Communications (CBS Sector)
- Lockheed Martin Corporation/Sikorsky Aircraft Corporation
- Raytheon Company/Pratt & Whitney

<https://business.defense.gov/Portals/57/Documents/CSP%20Participants%20List.pdf?ver=2020-01-10-151056-250>

The background of the slide is a stylized, wavy American flag with red and white stripes and a blue field with white stars.

# **Module 4B**

# **Small Business**

# **Participation**

## Module 4B: Small Business Participation

- Is related, yet distinct from a Small Business Subcontracting Plan
- It applies to both small and other than small (i.e. large) prime contractors
- It typically presents as a solicitation requirement for a Small Business Participation Plan, sometimes called a Small Business Participation Commitment Document
- There is no template - factors and methods for evaluating Small Business Participation are unique to each solicitation/award and determined by the Contracting Officer and source selection team
- The *extent of Small Business Participation* is evaluated during source selection
- Small Business Participation is measured in terms of total acquisition value

# Module 4B: Small Business Participation

## Sample calculations

- Subcontracting Goal % = (category value/total subcontracting value)\*100
- Participation Goal % = (category value/total acquisition value)\*100

	Value in \$	Subcontracting Goal	Participation Goal
Total Acquisition (to LB prime)	\$100,000,000	-	100%
Total Subcontracting	\$30,000,000	100%	-
OTSB (i.e. LB)	\$5,000,000	16.7%	75.0%
SB	\$25,000,000	83.3%	25.0%
SDB	\$3,000,000	10.0%	3.0%
WOSB	\$1,500,000	5.0%	1.5%
HUBZone SB	\$900,000	3.0%	0.9%
VOSB	\$1,500,000	5.0%	1.5%
SDVOSB	\$1,500,000	5.0%	1.5%



## Module 4B: Small Business Participation

### Extent of Small Business Participation is informed by:

- FAR 15.304(c)(3) & (4)
- DFARS 215.304(c)(i), including
  - PGI 215.304(c)(i)(A) – example evaluation factors
- DoD Source Selection Procedures dated 20Aug2022  
[[https://www.dau.edu/tools/t/DoD-Source-Selection-Procedures-\(SSP\)](https://www.dau.edu/tools/t/DoD-Source-Selection-Procedures-(SSP))]
- Market Research



## Module 4B: Small Business Participation

### Extent of Small Business Participation may consider these factors:

- Extent to which small business firms are specifically identified
  - Subcontractor name, cage code, and/or UEI
  - Subcontractor business type and associated NAICS
  - Certifications from companies not registered in SAM
  
- Extent of commitment to use such firms
  - Enforceable commitments, like bilateral-signed teaming agreements
  - Agreement to report small business participation on routine basis and to notify Contracting Officer of changes to identified subcontractors
  
- Complexity and variety of the work small business firms are to perform
  - Which parts of the SOW, SOO, PWS will small business firms perform?



## Module 4B: Small Business Participation

### Extent of Small Business Participation may consider (cont.):

- Realism of proposal
  - Does the proposal provide data to support the offeror's commitment?
  - Is there alignment with the Small Business Subcontracting Plan, when applicable, or Cost Volume?
- Past performance of offeror in complying with FAR 52.219-8 and 52.219-9, when applicable
  - May include 3-5 year trend data
  - May include Small Business Program rating
- Extent of participation of SB firms in terms of total acquisition value
  - Does the offeror meet the objectives specified in the solicitation? Objectives are typically based on market research
  - Always include participation percentage, may include dollar values



## **Module 4B: Small Business Participation**

### **Guidance for Government/Contracting Officer:**

- Clearly define expectations by way of Section L requirements and Section M evaluation criteria/methods
- Set objective(s) for Small Business Participation in terms of total acquisition value

### **Guidance for Industry:**

- Read the solicitation carefully and provide only the information requested within the defined page count
- Provide rationale when your proposed participation falls short of solicitation goals
- Check your offer for accuracy
- Make statements that a reviewer can verify and that align with other sections of your proposal

## **Module 5: Small Business Assessment**

- This module covers the assessment of small business firms in preparation for solicitations and source selection. A series of recommendations on the evaluation process is made to assist the user in determining the probability of subcontractor success. The information will ensure that buyers do not overlook the capability of small business entities in performing subcontracts.
- Small business firms should be assessed and evaluated for prime or subcontracting opportunities by an organized assessment process.

# Module 5: Small Business Assessment

## 1. Evaluation Tools

The use of evaluation tools may vary from company to company but here are the basic tool types to consider.

### Evaluation Tools:

1. Standard business reports
2. Commercial evaluations
3. Lean Manufacturing
4. SAM Certifications & Excluded Parties List
5. Internet – Google is your friend

## 2. The Evaluation Process

Key elements that can assist in the true picture of a company's capability.

### Evaluation Elements:

1. Past performance
2. Relationships
3. Inspection and Pre-award Surveys
4. References/History
5. Inventory position
6. Financial status

# Module 5: Small Business Assessment

## 3. Fundamental and Critical Success Factors

Elements that affect a firm's ability to be successful.

## 4. Technical Expertise

The minimum required expertise to conduct business and projects.

### Critical Success factors:

1. Adequate capitalization
2. Drive and determination
3. Competitive advantage
4. Demand for product or service
5. Pricing and profit margins
6. Support from the all levels

### Technical Expertise Required:

1. Marketing/Pricing
2. Production
3. Organization and Management
4. Financial and Accounting
5. Quality Management
6. Safety and Loss Control

# Module 5: Small Business Assessment

## 5. Integrity/Ethics/Vision

The foundation of any organization is the ethical basis of the operation.

### Integrity/Ethics/Vision:

1. Honesty
2. Vision & long term goals
3. People skills
4. Workers that share the vision

## 6. Expertise

The basis for the firm's ability to perform any given task.

### Expertise:

1. Are the required skill sets present to do the work?
2. Is training a way of life?
3. Are there single points of failure?

## **Module 5: Small Business Assessment**

### **7. Owner in the Store**

Local management may be key to the effectiveness of the business.

### **Owner in the Store:**

1. Is the owner involved on a day-to-day basis?
2. Does management have good relations with financing and professional services?
3. Can they afford to do business with us?
4. Is this a serious business for the owners or just a hobby?

# Module 5: Small Business Assessment

## 8. Subjective Assessment

Use your experience and the information from the above items to help formulate the evaluation report.

### Subjective Assessment:

1. Housekeeping and general appearance.
2. What's the attitude of the employees?
3. Is this the company you would do business with if it were your money?

## Module 6: Small Business Metrics and Reporting in eSRS

- This Module covers the reporting required against the Small Business Subcontracting Plans created in Module #4. The electronic Subcontracting Reporting System (eSRS), ISR and SSR are reviewed in detail.
- *Note: The information contained herein is for guidance and education only and does not replace or supersede any Federal Acquisition Regulations or instructions.*
- The material presented in the following slides was taken from the eSRS website (<http://www.esrs.gov>), from FAR 52.219-9(I) and from a DoD Class Deviation Memorandum of September 9, 2013.



## Module 6: Small Business Metrics and Reporting in eSRS

### What is eSRS?

- eSRS is the electronic reporting system that replaced paper reporting on SF294s and SF295s.
- The ISR – Individual Subcontracting Report has replaced the SF294 (In some cases, a paper SF 294 may still be required. Verify with the appropriate contracting officer).
- The SSR – Summary Subcontracting Report has replaced the SF295 .

## Module 6: Small Business Metrics and Reporting in eSRS

### Individual Subcontracting Report/Summary Subcontracting Report (ISR/SSR)

- ISRs are due semi-annually for those contractors reporting under Individual Subcontracting Plans when reporting on DoD or NASA contracts.
- All Contractors with **Individual Subcontracting Plans** report annually via the SSR [FAR 52.219-9(I)(2)(i)(D)].
- Contractors under the **Comprehensive Test Program** report via the SSR semi-annually via the SSR. They do not submit ISRs.
- Contractors under **Commercial Plans** report via the SSR annually at the end of the Government's fiscal year.
- The performance data is based on the Government's fiscal year (October 1 through September 30).

## **Module 6: Small Business Metrics and Reporting in eSRS**

### **Semi-Annual Reporting Means:**

#### **Sending the reports to DoD and/or the contracting agency on time**

- Midyear reports are due 30 days after the end of the first reporting period (March 31), which is April 30 and
- Year-end reports are due 30 days after the end of the fiscal year (September 30), which is October 30.

## **Module 6: Small Business Metrics and Reporting in eSRS**

### **Individual Subcontracting Report (ISR)**

- Separate report for each individual contract with a plan.
- Data is cumulative during the life of the contract as purchased from U.S. firms.
- At the end of contract performance, the final report is sent to the Contracting Officer as a performance record within 30 days of contract completion [FAR 52.219-9(l)(i)].
- Timeliness and accuracy of the report are critical.
- Reports are deliverables under the contract.
- (see Appendix E for details)

# Module 6: Small Business Metrics and Reporting in eSRS

## FPDS/NG: Federal Procurement Data System / Next Generation

- FPDS/NG identifies contracts having subcontracting requirements  
<https://www.fpds.gov>.
- Use FPDS/NG if you are unable to find or report against a contract in eSRS.
- In FPDS/NG you will find the Contract Number as it will appear in eSRS, UEI, Vendor Name and Location.
- If your contract is in FPDS/NG but not in eSRS, then the likely problem is that the Government contracting official has not checked the box that a subcontracting plan is required. You need to contact them to have them do that.

# Module 6: Small Business Metrics and Reporting in eSRS

## Summary Subcontracting Report (SSR)

### Individual Subcontracting Plans [FAR 52.219-9(I)(i)]

- Data collected should include all direct spending on U.S. Government contracts, large and small, as well as indirect dollars with U.S. firms allocated to U.S. Government contracts.
- If a prime contractor and/or subcontractor is performing work for more than one executive agency, submit a separate report to each executive agency covering only that agency's contracts provided that at least one of the agency's contracts is over the applicable threshold specified in FAR 19.702(a) and the contract contains a subcontracting plan. For DoD, a consolidated report is submitted for all contracts awarded by military departments/agencies and/or subcontracts awarded by DoD prime contractors.

## Module 6: Small Business Metrics and Reporting in eSRS

- For DoD, the report is completed annually and covers overall performance on Federal contracts. Report is due annually within 30 days after the end of the fiscal year (i.e. October 30).
- To submit the consolidated SSR, identify the Government Agency in Block 7 “Agency to which the report is being submitted” by selecting the “Department of Defense (DoD) (9700)” from the top of the second dropdown menu. **Do Not select anything lower.** The authority to acknowledge receipt or reject the SSR resides with the SSR Coordinator at DoD.
- Retain signed hard copies for 4 years.
- See Appendix E for details.

## **Module 6: Small Business Metrics and Reporting in eSRS**

### **Summary Subcontracting Report (SSR) Commercial Subcontracting Plans [FAR 52.219-9(I)(ii)]**

- Report includes all subcontract awards under the commercial plan during the Government's fiscal year.
- Report is due annually within 30 days after the end of the Federal fiscal year (i.e. October 30).
- If working for more than one executive agency, specify the percentage of dollars attributable to each agency from which contracts for commercial items were received.
- Authority to acknowledge or reject the SSR is the Contracting Officer who approved the Commercial plan.



## Module 6: Small Business Metrics and Reporting in eSRS

- Once a report has been submitted, there are 4 terms that may appear to indicate the report's status: **Pending, Accept, Reopen** and **Reject**.
- **Pending**: The report has been submitted and is awaiting review by the Federal agency that awarded the contract.
- **Accept**: The report has been reviewed and no known errors, issues or concerns have been found and no clarification, information and/or corrections are needed. The agency **Accepts** receipt of the report.

**Note**: if upon further review errors, issues or concerns are found, the agency that awarded the contract will **Reopen** or **Reject** the report to obtain clarification, additional information and/or correction.

## Module 6: Small Business Metrics and Reporting in eSRS

- **Reopen:** The report has been further reviewed after being Accepted and errors, issues or concerns have been found. Clarification, additional information and/or corrections are needed. Once the concerns have been addressed and/or corrected, the agency will “Accept” its receipt.
- **Reject:** The report has been reviewed prior to being Accepted and errors, issues or concerns have been found. Clarification, additional information and/or corrections are needed and must be made within 30 days. Once the concerns have been addressed and/or corrected, the agency will “Accept” its receipt.

## **Module 6: Small Business Metrics and Reporting in eSRS**

**Subcontract award data is limited to awards to immediate next-tier subcontractors with following exceptions:**

- 1) Contractor or subcontractor has been designated to receive SB or SDB credit from ANC or Indian Tribe.
- 2) Purchases from affiliate of contractor or subcontractor are excluded from base.

Note: Subcontracts by first-tier affiliates of the prime contractor shall be treated as subcontracts of the prime.

As of January 23, 2017, SBA revised regulations to allow an OTSB to receive credit for SB awards made at any tier. The revision implements Section 1614 of the National Defense Authorization Act for Fiscal Year 2014.

## Module 7 Market Research – Finding Small Businesses

This Module discusses the ways to locate small business contractors and subcontractors.

- **Market Research** is a common and necessary business practice for both Government and Industry.
- Government rules and policies regarding market research are primarily defined in:
  - FAR 10.000 –10.003 “Market Research “
  - FAR 2.101 “Definitions” “Market research” means collecting and analyzing information about capabilities within the market to satisfy agency needs.

# Module 7 Market Research

## FAR 7.102 – Market Research Policy

(a) Agencies shall perform acquisition planning and conduct market research for all acquisitions in order to promote and provide for –

(1) Acquisition of commercial items or, to the extent that commercial items suitable to meet the agency's needs are not available, non-developmental items, to the maximum extent practicable [10 U.S.C. 2377 and 41 U.S.C. 3307];

(2) Full and open competition or, when full and open competition is not required in accordance with FAR Part 6, to obtain competition to the maximum extent practicable, with due regard to the nature of the supplies or services to be acquired [10 U.S.C. 2305(a)(1)(A) and 41 U.S.C. 3306(a)(1)];

## Module 7 Market Research

(3) Selection of appropriate contract type in accordance with FAR part 16; and

(4) Appropriate consideration of the use of pre-existing contracts, including interagency and intra-agency contracts, to fulfill the requirement, before awarding new contracts.

(b) This planning shall integrate the efforts of all personnel responsible for significant aspects of the acquisition. The purpose of this planning is to ensure that the Government meets its needs in the most effective, economical, and timely manner.

# Module 7 Market Research

## What is Market Research?

- A continuous process of collecting and analyzing data on products, services, business practices, and vendor capabilities to satisfy agency needs.
- A critical tool to find qualified small businesses.
- A helpful tool to evaluate possible consolidation of requirements and to determine if contract bundling is necessary or justified.

## Module 7 Market Research

- **Provides solid information on:**

- Existing products
- Capable small business sources [DFARS 210.001(a)(ii)]
- Items available in the commercial marketplace
- Practices such as discounts, warranties, contract types, etc.
- Product performance and quality
- Successful acquisition practices of other organizations
- Applicable laws and regulations unique to the item being acquired



## **Module 7 Market Research**

### **FAR 10.001(a)(2) Market Research must be conducted:**

- Before developing new requirements documents for an acquisition by an agency;
- Before soliciting offers for acquisitions with an estimated value in excess of the simplified acquisition threshold;
- Before soliciting offers for acquisitions with an estimated value less than the simplified acquisition threshold when adequate information is not available and the circumstances justify its cost;

## Module 7 Market Research

- Before soliciting offers for acquisitions that could lead to consolidation or bundling;
- Before awarding a task or delivery order under an Indefinite Delivery/Indefinite Quantity (ID/IQ) contract (e.g., GWACs, MACs) for a noncommercial item in excess of simplified acquisition threshold, and

## Module 7 Market Research

- On an ongoing basis, taking advantage (to the maximum extent practicable) of commercially available market research methods in order to effectively identify the capabilities of small businesses and new entrants into Federal contracting that are available in the marketplace for meeting the requirements of the agency in furtherance of:
  - A contingency operation or defense against or recovery from nuclear, biological, chemical or radiological attack; and
  - Disaster relief to include debris removal, distribution of supplies, reconstruction and other disaster or emergency relief activities.

# Module 7 Market Research

## Market Research Documentation

- **Agencies should document the results of Market Research in a manner appropriate to the size and complexity of the acquisition. Documentation may include:**
  - Description of agency's needs in terms of function and performance
  - Explanation of acquisition's background and purpose
  - Desired delivery schedule
  - List of small businesses and other sources that were contacted
  - Discussion of customary commercial practices
  - Identification of price ranges discovered
  - Description of available commercial or non-developmental items

## **Module 7: Market Research**

### **Resources available to find small business contractors and subcontractors**

- Historical records (recent research, current awardees, etc.)
- Knowledgeable contract professionals such as SBA Procurement Center Representatives (PCRs)
- Industry conferences, publications and databases
- Conducting interchange meetings or holding pre-solicitation conferences
- Contact other Agencies procuring the same or similar products/services

# Module 7: Market Research

- **Data Bases:**

- Dynamic Small Business Search (DSBS)

[DSBS](#)

- System for Award Management (SAM) Contract Data

<https://www.sam.gov>

- Federal Procurement Data System Next Generation (FPDS-NG)

[www.fpds.gov](http://www.fpds.gov)

- USASpending.gov Search Award Data <https://usaspending.gov>

## Module 7: Market Research

- CAGE Search & Inquiry <https://cage.dla.mil/search>
- SBA Veteran Small Business Search  
<https://veterans.certify.sba.gov/#search>
- Thomas Register <http://thomasnet.com>

## Module 7: Market Research

- Federal Business Opportunities

<https://www.sam.gov> – Contract Opportunities

- GSA Federal Supply Schedule (to find similar item vendors)

<http://www.gsaelibrary.gsa.gov/ElibMain/home.do>

- Interagency Contract Directory

<https://www.contractdirectory.gov/contractdirectory>

For details on using these databases, see Appendix F



# Module 7: Market Research

## Other Resources

- National APEX Accelerator Alliance - [NAPEX](#)
- APEX Accelerators [APEX Accelerators](#)
- SUB-Net [SBA Subnet](#)
- Sources Sought Notices & Requests for Information
- Industry Days & Matchmakers
- Small Business Liaison Officers from other prime contractors

## Module 7: Market Research

- APEX Accelerators (formerly PTACs) serve as a resource for businesses pursuing and performing under Government contracts, including contracts with DoD, other Federal agencies, state and local governments and with government prime contractors.
- APEX Accelerators are hosted by organizations such as state or local government, universities and chambers of commerce. The training and assistance provided by the APEX Accelerators is usually free of charge.
- APEX Accelerators a local presence in all 50 states, Washington, D.C., Puerto Rico, the U.S. Virgin Islands and Guam. Some APEX Accelerators specialize in assistance to businesses located on Native American reservations throughout the country.

## Module 7: Market Research

- Most APEX Accelerators have extensive contacts with hundreds of small businesses and maintain searchable databases of their clients. They are familiar with companies' capabilities and will provide free sourcing assistance to Government agencies and prime contractors.
- APEX Accelerators are experts in training small businesses how to operate effectively within the Federal procurement framework and how to comply with Government regulations and protocols.
- Most APEX Accelerators will work collaboratively with each other to find suitable sources, searching nationwide if necessary.

## Module 7: Market Research

- For an APEX Accelerators listing for New England and New York see Appendix G; for those outside the region go to:  
<https://www.apexaccelerators.us> or  
<https://www.aptac-us.org>
- On the OSBP APEX site, when the map comes up, click on the individual state for contact information.
- For Native American APEX Accelerators, use the second map on the website or go to <http://www.aptac-us.org/contracting-assistance-for-business/find-an-american-indian-ptac/>

## Module 7: Market Research

- Prime contractors use the SUB-Net database at [SBA Connect](#) to post subcontracting opportunities which may or may not be reserved for small business and may include either solicitations or other notices -- for example, notices of sources sought for teaming partners and subcontractors on future contracts.
- Small businesses can review this web site to identify opportunities in their areas of expertise. While the web site is designed primarily as a place for large businesses to post solicitations and notices, it is also used by state and local Governments, non-profit organizations, colleges and universities, and even foreign Governments for the same purpose.

## Module 7: Market Research

- Sources Sought and Requests for Information (RFIs) are market surveys which the Government uses to seek information regarding products, suppliers and manufacturers.
- Notices are posted in SAM Contract Opportunities (<https://www.SAM.gov>).
- Postings will list the date of posting, the date a response is due, any set-aside information, the applicable Classification (Service or Supply) Code, the applicable NAICS, size standard, a synopsis of what the Government wants and points of contact information.



## Module 8: Staying Current

**Stay on top of what is happening in the world of Small Business!**

- Stay current on the changes to the FAR and FAR Supplements concerning small business programs
- Stay abreast of pending legislation in the Federal Register  
<https://www.federalregister.gov/>
- An easy way to keep up with FAR and legislative changes is to monitor the Federal Register Table of Contents via daily automatic email
- Seek out training offered by your Regional Council, APEX Accelerators, SBA (monthly), DCMA (quarterly), TRIAD (bi-annual), Alliance of Supplier Diversity Professionals, and/or Defense Acquisition University

## Module 8: Keeping Your Program Current

- Inform management about legislative changes and small business trends
- Point out the strengths and weaknesses in your program
- Maintain measurements of your program, note your successes, and apply continuous improvement methods on weaknesses
- Continue to develop new small & diverse suppliers to enhance your program
- Get involved and maintain regular contact with the SBA, your Regional Council, APEX Accelerators, Small Business Development Centers, and industry advocacy organizations
- Attend matchmaker events and **DO OUTREACH!!!!**



## Module 8: Staying Current

### Always remember:

- It is the policy of the Federal Government to provide maximum practicable opportunities in its acquisitions to Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, Historically Underutilized Business Zone small business, Small Disadvantaged Business and Women-Owned Small Business concerns.
- Such concerns must also have the maximum practicable opportunity to participate as subcontractors in the contracts awarded by any executive agency consistent with efficient contract performance.

## **Module 9: Information Resources and FAQs**

### **FAQ #1:**

**Q:** A supplier states they are certified as a minority business by a state certification program, National Minority Supplier Development Council or the U.S. Department of Transportation. Is that certification valid for a DoD prime contractor?

**A:** NO. A supplier is considered a Small Disadvantaged Business if they are self-certified by a signed statement from responsible company management.

## **Module 9: Information Resources and FAQs**

### **FAQ #2:**

**Q:** A Woman-Owned Small Business is certified by a National Woman-Owned Supplier Organization. Is this certification valid for U.S. DoD contractors?

**A:** YES If the third party certifier is SBA approved. See Slide 44 above for listing of SBA approved certifiers.

**Certification applies only to the WOSB prime contracting program.**

## Module 9: Information Resources and FAQs

### FAQ #3:

Q: A Woman-Owned Small Business claims to also be a DBE. Is this valid proof they also are eligible as an SDB?

A: NO. DBE is a state designation. A supplier is considered a Woman-Owned business if they are certified by the SBA or an approved SBA third party certifier. To be considered an SDB, a firm must also self-certify to being a DBE in SAM.

## Module 9: Information Resources and FAQs

### FAQ #4:

Q: A small business located in a HUBZone certifies in writing that they are a HUBZone firm. Is this certification valid for U.S. DoD contractors?

A: No. Per FAR 52.219-9(e)(4), confirm that the contractor representing itself as a HUBZone small business concern is identified as a certified HUBZone small business concern by accessing the Dynamic Small Business Search database or by contacting SBA.

## **Module 9: Information Resources and FAQs**

### **FAQ #5:**

**Q:** Where can I get information about small businesses in my state?

**A:** The SBA Office for the state, the Dynamic Small Business Search, or the APEX Accelerators. APEX Accelerators are very helpful in connecting you with local small businesses.

# Resources

## DEFENSE DEPARTMENT AGENCIES

- **Department of Defense Office of Small Business**

<http://www.acq.osd.mil/osbp/>

- **Air Force Small Business**

<http://www.airforcesmallbiz.org/>

- **Army Small Business**

<http://osbp.army.mil/>

- **Navy Small Business (Including Marine Corps)**

<http://www.secnav.navy.mil/smallbusiness/pages/index.aspx>

- **Defense Logistics Agency**

<http://www.dla.mil/HQ/SmallBusiness.aspx>

- **Defense Advanced Research Projects Agency (DARPA)**

<http://www.darpa.mil/work-with-us/for-small-businesses>

# Resources

- **Defense Contract Management Agency**

<http://www.dcma.mil/smallbusiness/>

- **Defense Logistics Information Service, Battle Creek, MI**

<http://www.dla.mil/HQ/InformationOperations/LogisticsInformationServices.aspx>

- **Defense Procurement Acquisition Policy**

<http://www.acq.osd.mil/dpap/>

- **Defense Disposition Services. Battle Creek, MI**

<http://www.dispositionservices.dla.mil/>

- **Defense Technical Information Service**

<http://www.dtic.mil/dtic/>

- **Defense Automated Printing Service**

<http://www.dla.mil/HQ/InformationOperations/DocumentServices.aspx>

- **Defense Acquisition University**

<http://www.dau.mil/default.aspx>



# Resources

## DEFENSE DEPARTMENT Office of SMALL BUSINESS PROGRAMS

This website <http://www.acq.osd.mil/osbp> will allow you to find out more information on the following programs: Indian Incentive, Mentor Protégé & SBIR/STTR. To access it, drop down on Small Business and select Programs. To access information on the following programs: Women-Owned, Service-Disabled Veteran-Owned & HUBZone Small Business, drop down arrow on Small Business and select Initiatives.

## Resources

- **Department of Commerce** <https://www.commerce.gov/>
- **Department of Transportation** <http://www.transportation.gov>
- **Department of Veterans Affairs** <https://www.va.gov/OSDBU/>
- **General Services Administration (GSA)**  
<http://www.gsa.gov/portal/category/100000>
- **US Government Printing Office** <http://www.gpo.gov/fdsys/>
- **National Aeronautics and Space Administration Small Business**  
<http://www.osbp.nasa.gov/>
- **National Security Agency**  
<https://www.nsa.gov/business/small-business-office/>

## Resources

- **Office of Personnel Management** <https://www.opm.gov>
- **Small Business Administration** <https://www.sba.gov/>
- **Minority Business Development Agency** <http://www.mbda.gov>
- **The White House** <https://www.whitehouse.gov/>
- **U.S. Senate** <http://www.senate.gov/index.htm>
- **U.S. House of Representatives** <http://www.house.gov/>
- **Government Accountability Office (GAO)** <http://www.gao.gov>

## Resources

- **Federal Acquisition Regulation**

<https://www.acquisition.gov/?q=browsefar>

- **Federal Register**

<http://www.gpo.gov/fdsys> Click on Federal Register

- **Code of Federal Regulations**

<http://www.gpo.gov/fdsys> Click on Code of Federal Regulations

- **System for Award Management**

<https://www.SAM.gov>

- **Dynamic Small Business Search**

[http://dsbs.sba.gov/dsbs/search/dsp\\_dsbs.cfm](http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm)

- **Listing of Federal Opportunities (Contract Opportunities)**

<https://www.SAM.gov/>

## Resources

- **DLA FormFlow Index**

<http://www2.dla.mil/officialforms/pages/default.aspx>

- **Office of Government Ethics**

<https://www.oge.gov/>

- **United States Code**

<http://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE>

- **Historically Black Colleges & Universities**

<http://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst-list-pg2.html>

- **Minority Institutions**

<http://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst-list.html>

## Resources

- **The Federal Marketplace**

<http://www.fedmarket.com/>

- **National Industries for the Blind (NIB)**

<http://www.nib.org>

- **SourceAmerica [formerly National Industries for the Severely Handicapped (NISH)]**

<http://www.sourceamerica.org>

- **National Association of Women Business Owners (NAWBO):**

<http://www.nawbo.org>

- **Greater New England Minority Supplier Development Council**

<http://gnemsc.org>

## Resources

- **USA Spending**

<https://www.usaspending.gov/Pages/default.aspx>

- **AbilityOne**

<http://www.abilityone.gov/>

- **Missile Defense Agency**

[http://www.mda.mil/business/smallbus\\_programs.html](http://www.mda.mil/business/smallbus_programs.html)

- **Defense Intelligence Agency**

<http://www.dia.mil/Business/OfficeofSmallBusinessPrograms.aspx>

- **United States Special Operations Command**

<http://www.socom.mil/SOF-ATL/Pages/small-business.aspx>

- **Washington Headquarters Services**

<http://www.whs.mil/office-small-business-programs>

## Disclaimer

- The materials presented in this course are not intended as a substitute for the actual laws, regulations, procedures, policies and directions.
- Always read the most current laws, regulations, procedures, policies, directions and contract language.



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# Appendix A: The Basics of Subcontracting – March 2018

<http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

DoD SUBCONTRACTING PROGRAM <i>The Basics of Subcontracting (Mar 2018)</i>		
Regulatory Requirements		
Authority:	<ul style="list-style-type: none"> <li>Section 8(d) Small Business Act – 15 USC 637(d)</li> </ul>	<ul style="list-style-type: none"> <li>Specifies that small businesses will have maximum practicable opportunity to participate in contract performance consistent with efficient performance</li> <li>Requires the agency to collect data on the extent to which the contractor meets the goals of the subcontracting plan</li> </ul>
	<ul style="list-style-type: none"> <li>Section 15(g) Small Business Act – 15 USC 644(g)</li> <li>15 USC 637 Note</li> </ul>	<ul style="list-style-type: none"> <li>Specifies government-wide goals for contracts and subcontracts awarded to small business concerns</li> <li>Includes reporting on subcontracting</li> <li>DoD Test Program for Comprehensive Subcontracting Plan</li> </ul>
Regulations:	<ul style="list-style-type: none"> <li>FAR 19.7 / DFARS 219.7</li> <li>DFARS 219.7 Class Deviations: 2018-O0007, 12/13/2017; 2018-O0010, 1/9/2018</li> <li>FAR 52.219-9, Small Business Subcontracting Plan, and Alternate III</li> <li>FAR 52.219-8, Utilization of Small Business Concerns</li> <li>DFARS 252.219-7003, Small Business Subcontracting Plan</li> <li>DFARS 252.219-7004, Small Business Subcontracting Plan (Test Program)</li> </ul>	<ul style="list-style-type: none"> <li>Subcontracting plan requirement</li> <li>Challenge any subcontracting plan that does not contain positive goals</li> <li>Upper-tier contractor flows down requirements for subcontracting plan</li> <li>Prime contractors and subcontractors submit ISRs and/or SSRs independently in eSRS</li> <li>Comply in good faith with subcontract plan requirements</li> <li>Imposition of liquidated damages</li> </ul>
Subcontracting Requirements		
	Utilization of SBs 52.219-8	Subcontracting Plan 52.219-9
When?	<ul style="list-style-type: none"> <li>Contracts &gt; Simplified Acquisition Threshold (SAT) (\$150K) AND</li> <li>Subcontract opportunities exist</li> </ul>	<ul style="list-style-type: none"> <li>Contracts &gt; \$700K (\$1.5M construction) AND subcontract opportunities exist</li> <li>Modifications &gt; \$700K (\$1.5M construction) with new work AND subcontract opportunities exist</li> <li>Multi-year contracts / contracts with options                             <ul style="list-style-type: none"> <li>Cumulative value of base contract and all options</li> <li>SEPARATE goals for base and each option</li> </ul> </li> </ul>
Who?	<ul style="list-style-type: none"> <li>ALL business concerns (including small businesses)</li> </ul>	<b>ALL</b> other than small business: <ul style="list-style-type: none"> <li>Large business</li> <li>State &amp; local government</li> <li>Non-profit organizations</li> <li>Public utilities</li> <li>Educational Institutions</li> <li>Foreign-owned firms</li> <li>AbilityOne (unless identified as a small business)</li> <li>Government entities (labs)</li> </ul>
When not required?	<ul style="list-style-type: none"> <li>For personal services contracts</li> <li>For contracts / modifications performed <b>entirely</b> outside US &amp; outlying areas</li> </ul>	<ul style="list-style-type: none"> <li>From small businesses</li> <li>For personal services contracts</li> <li>For contracts / modifications performed <b>entirely</b> outside US &amp; outlying areas</li> <li>For modifications that are within the scope of the contract and the contract does not contain the clause at 52.219-8, Utilization of Small Business concerns</li> <li>If no subcontract opportunities, approval required level above CO</li> </ul>

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<http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

# Appendix A: The Basics of Subcontracting – March 2018

<http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

The Basics of Subcontracting (Mar 2018)			
Types of Subcontracting Plans			
Individual	Master	Commercial	DoD Comprehensive
<ul style="list-style-type: none"> <li>1 contract – 1 plan</li> <li>Goals support planned subcontracting for 1 contract</li> <li>Covers entire contract period (including options)</li> <li>Contains mandatory elements</li> <li>CO negotiates goals and challenge any plan that does not contain positive goals</li> </ul>	<ul style="list-style-type: none"> <li>ACO reviews, evaluates and approves</li> <li>Includes mandatory elements, excluding goal related elements</li> <li>CO negotiates goals for each applicable contract under a master plan</li> <li>Effective for 3 years after approval of CO</li> <li>May be developed on a Plant / Division basis</li> </ul>	<ul style="list-style-type: none"> <li>Preferred for contractors furnishing commercial items</li> <li>Applies to entire production of commercial items sold by either entire company or a portion thereof (Division, plant or product line)</li> <li>Based on contractor's FY</li> <li>Annual plan (applies to <b>all</b> Federal contracts in effect during that period)</li> <li>Contains mandatory elements</li> <li>Plan should identify the awarded contract subject to the plan (contract with latest completion date)</li> </ul>	<ul style="list-style-type: none"> <li>DoD Test Program for Negotiation of Comprehensive SB Subcontracting Plans</li> <li>Similar to a commercial plan                             <ul style="list-style-type: none"> <li>May be on a Plant, Division or Corporate basis</li> <li>Annual plan (applies to DoD contracts in effect during period)</li> </ul> </li> <li><b>ONLY</b> DCMA is delegated authority to negotiate plan &amp; perform surveillance review functions (with input from MILDEPS / Defense Agencies)</li> </ul>
Reporting Requirements			
<ul style="list-style-type: none"> <li>Individual Subcontracting Report (ISR) or SF 294 if applicable, (semiannually)</li> <li>Summary Subcontracting Report (SSR) annually</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>SSR (annually)</li> <li>ISR not required</li> </ul>	<ul style="list-style-type: none"> <li>SSR (semiannually)</li> <li>ISR not required</li> </ul>
<b>Note: Plan must be approved <i>PRIOR</i> to contract award</b>			
Summary of the 15 Mandatory Elements to be Included in Subcontracting Plans			
<ul style="list-style-type: none"> <li>Separate goals for each SB category, expressed in terms of dollars to be subcontracted                             <ul style="list-style-type: none"> <li>For Individual Subcontracting Plans CO may request additional goals to be expressed in terms of total contract dollars</li> </ul> </li> <li>Description of principle types of supplies/services to be subcontracted (total &amp; by category)</li> <li>Description of method used to develop subcontracting goals</li> <li>Description of method used to identify potential SB sources</li> <li>Statement of indirect costs (included/not included) and methodology used to determine proportionate share of indirect costs for each category</li> <li>Name of individual who will administer the subcontracting program and description of duties they will perform</li> <li>Description of efforts to ensure SB has an equitable opportunity to compete for subcontracts</li> <li>Description of record-keeping procedures / process</li> <li>Assurances that the offeror / contractor will perform specific actions identified in the subcontracting plan</li> <li>Flow down clauses and requirements for utilization of small businesses, subcontracting plans and related reports in all subcontracts                             <ul style="list-style-type: none"> <li>52.219-8, Utilization of Small Business Concerns</li> <li>52.219-9, Small Business Subcontracting Plan</li> </ul> </li> </ul>			

# Appendix A: The Basics of Subcontracting – March 2018

<http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

The Basics of Subcontracting (Mar 2018)		
Categories Included in Subcontracting Plan Goals		
Category	Reference	Certification
Small Business (SB)	<ul style="list-style-type: none"> <li>FAR 2.101 - definition</li> <li>DFARS 52.219-9 – also includes subcontracts awarded to an Alaska Native Corporation (ANC) or Indian tribe, regardless of size or SBA certification status of ANC or Indian tribe</li> <li>DFARS 252.219-7003 – also includes subcontracts awarded to qualified non-profit agencies approved by Committee for Purchase from People Who Are Blind or Severely Disabled, the independent federal agency that administers AbilityOne Program (41 U.S.C. 8502-8504)</li> </ul>	Self-certify
Woman-owned Small Business (WOSB)	<ul style="list-style-type: none"> <li>FAR 2.101 - definition</li> </ul>	Self-certify
Historically Underutilized Business Zone (HUBZone)	<ul style="list-style-type: none"> <li>FAR 2.101 - definition</li> </ul>	SBA certified
Veteran-Owned Small Business (VOSB)	<ul style="list-style-type: none"> <li>FAR 2.101 - definition</li> </ul>	Self-certify
Service-Disabled Veteran-Owned Small Business (SDVOSB)	<ul style="list-style-type: none"> <li>FAR 2.101 - definition</li> </ul>	Self-certify
Small Disadvantaged Business (SDB)	<ul style="list-style-type: none"> <li>FAR 2.101 - definition</li> <li>FAR 52.219-9 - also includes subcontracts awarded to an Alaska Native Corporation (ANC) or Indian tribe regardless of size or SBA certification status of ANC or Indian tribe</li> <li>DFARS 252.219-7003 – also includes subcontracts awarded by a mentor firm under the DoD Pilot Mentor-Protégé Program, to (1) protégé firms which are qualified organizations employing severely disabled and (2) former protégé firms that meet the criteria in Section 831(g)(4) of P.L. 101-510</li> </ul>	Self-certify
Subcontracting Resources		
<ul style="list-style-type: none"> <li>DoD Subcontracting Plan Checklist and Preparing / Submission of Subcontracting Reports <a href="http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/">http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/</a></li> <li>Electronic Subcontracting Reporting System (eSRS) <a href="http://www.esrs.gov">http://www.esrs.gov</a></li> <li>SBA Government Contracts Overview <a href="https://www.sba.gov/contracting/finding-government-customers/subcontracting">https://www.sba.gov/contracting/finding-government-customers/subcontracting</a></li> <li>SBA SubNet <a href="http://web.sba.gov/subnet/search/index.cfm">http://web.sba.gov/subnet/search/index.cfm</a></li> <li>DAU Community of Practice <a href="https://aco.dau.mil/smallbusiness">https://aco.dau.mil/smallbusiness</a></li> <li>Procurement Technical Assistance Program (PTAP) <a href="http://www.dla.mil/HQ/SmallBusiness/PTAP.aspx">http://www.dla.mil/HQ/SmallBusiness/PTAP.aspx</a></li> <li>FEDBIZOPPS <a href="http://www.fbo.gov">http://www.fbo.gov</a></li> </ul>		

## Subcontracting Resources

- **APEX Accelerators**  
<https://www.apexaccelerators.us>
- **Subcontracting Opportunities with DoD Major Prime Contractors**  
<http://www.acq.osd.mil/osbp/sb/dod.shtml>
- **DAU Small Business Community of Practice (SB COP)**
- **DefenseLink ≥ \$5M award notices** <https://acc.dau.mil/smallbusiness>  
<http://www.defenselink.mil/contracts>
- **Contract Opportunities** <http://www.SAM.gov>
- **Electronic Subcontracting Reporting System (eSRS)** <http://www.esrs.gov>
- **SBA Subcontracting Opportunities Directory**  
<https://www.sba.gov/category/navigationstructure/contracting/contractingopportunities/su>  
[b-contracting](https://www.sba.gov/category/navigationstructure/contracting/contractingopportunities/su)
- **“Tips for DoD contractors Submitting Reports”**  
<http://www.acq.osd.mil/osbp/sbs/esrs.shtml>

# Appendix B - Agency Specific Goals 2023

## 2023 Small Business Goals

Small Business Procurement - FY2023 Small Business Goals - as of 12/15/2022

FUNDING DEPARTMENT NAME	Prime Contract Small Business Goals	Prime Small Disadvantaged Business Goal	Prime Service-Disabled Veteran-Owned Small Business Goal	Prime Women Owned Small Business Goal	Prime HUBZone Small Business	Subcontract Small Business Goals	Subcontract Small Disadvantaged Business Goal	Subcontract Service-Disabled Veteran-Owned Small Business Goal	Subcontract Women Owned Small Business Goal	Subcontract HUBZone Small Business Goal
DEPT OF DEFENSE (9700)	22.43%	10.57%	3.00%	5.00%	3.00%	30.00%	5.00%	3.00%	5.00%	3.00%
ENERGY, DEPARTMENT OF (8900)	5%/17%	7.00%	3.00%	5.00%	3.00%	49.00%	5.00%	3.00%	5.00%	3.00%
HEALTH AND HUMAN SERVICES, DEPARTMENT OF (7500)	22.00%	13.08%	3.00%	5.00%	3.00%	32.00%	5.00%	3.00%	5.00%	3.00%
VETERANS AFFAIRS, DEPARTMENT OF (3600)	27.00%	11.10%	3.00%	5.00%	3.00%	17.20%	5.00%	3.00%	5.00%	3.00%
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION (8000)	16.87%	8.90%	3.00%	5.00%	3.00%	34.20%	5.00%	3.00%	5.00%	3.00%
HOMELAND SECURITY, DEPARTMENT OF (7000)	35.50%	17.90%	3.00%	5.00%	3.00%	43.00%	5.00%	3.00%	5.00%	3.00%
GENERAL SERVICES ADMINISTRATION (4700)	33.00%	21.90%	3.00%	5.00%	3.00%	21.00%	5.00%	3.00%	5.00%	3.00%
AGRICULTURE, DEPARTMENT OF (1200)	55.00%	22.40%	3.00%	5.00%	3.00%	21.00%	5.00%	3.00%	5.00%	3.00%
JUSTICE, DEPARTMENT OF (1500)	33.00%	15.90%	3.00%	5.00%	3.00%	38.00%	5.00%	3.00%	5.00%	3.00%
INTERIOR, DEPARTMENT OF THE (1400)	49.37%	30.50%	3.00%	5.00%	3.00%	43.80%	5.00%	3.00%	5.00%	3.00%
STATE, DEPARTMENT OF (1900)	25.50%	21.00%	3.00%	5.00%	3.00%	38.00%	5.00%	3.00%	5.00%	3.00%
COMMERCE, DEPARTMENT OF (1300)	39.00%	20.90%	3.00%	5.00%	3.00%	30.00%	5.00%	3.00%	5.00%	3.00%
TREASURY, DEPARTMENT OF THE (2000)	40.00%	12.00%	3.00%	5.00%	3.00%	20.00%	5.00%	3.00%	5.00%	3.00%
TRANSPORTATION, DEPARTMENT OF (6900)	33.40%	21.00%	3.00%	5.00%	3.00%	43.00%	5.00%	3.00%	5.00%	3.00%
OFFICE OF PERSONNEL MANAGEMENT (2400)	50.00%	31.80%	3.00%	5.00%	3.00%	25.00%	5.00%	3.00%	5.00%	3.00%
LABOR, DEPARTMENT OF (1600)	37.85%	28.90%	3.00%	5.00%	3.00%	60.00%	5.00%	3.00%	5.00%	3.00%
ENVIRONMENTAL PROTECTION AGENCY (6800)	44.70%	17.80%	3.00%	5.00%	3.00%	56.50%	5.00%	3.00%	5.00%	3.00%
EDUCATION, DEPARTMENT OF (9100)	14.50%	9.15%	3.00%	5.00%	3.00%	37.00%	5.00%	3.00%	5.00%	3.00%
HOUSING AND URBAN DEVELOPMENT, DEPARTMENT OF (8600)	20.00%	18.90%	3.00%	5.00%	3.00%	28.00%	5.00%	3.00%	5.00%	3.00%
SOCIAL SECURITY ADMINISTRATION (2800)	26.00%	10.20%	3.00%	5.00%	3.00%	50.00%	5.00%	3.00%	5.00%	3.00%
AGENCY FOR INTERNATIONAL DEVELOPMENT (7200)	13.25%	8.30%	3.00%	5.00%	3.00%	14.50%	5.00%	3.00%	5.00%	3.00%
NATIONAL SCIENCE FOUNDATION (4900)	23.68%	12.60%	3.00%	5.00%	3.00%	25.00%	5.00%	3.00%	5.00%	3.00%
NUCLEAR REGULATORY COMMISSION (3100)	41.00%	27.90%	3.00%	5.00%	3.00%	40.00%	5.00%	3.00%	5.00%	3.00%
SMALL BUSINESS ADMINISTRATION (7300)	68.00%	60.00%	3.00%	5.00%	3.00%	39.00%	5.00%	3.00%	5.00%	3.00%

# Appendix B: DoD Checklist for Reviewing Subcontracting Plans – Sept 2019

<http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

<b>DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)</b>			
<b>√ if "No"</b>	<b>Item</b>	<b>Elements of a Subcontracting Plan</b>	<b>Instructions / Notes</b>
	<b>1</b>	FAR 52.219-9(d)(1) Does the offeror's subcontracting plan express goals in terms of total dollars subcontracted, and as a percentage of total planned subcontracting dollars for each small business category: small business [including Alaska Native Corporation (ANC) and Indian tribe], veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business [including Alaska Native Corporation (ANC) and Indian tribe], and women-owned small business concerns as subcontractors?	Individual and commercial plans only, not master plans
	<b>2</b>	FAR 52.219-9(d)(1) If required by the contracting officer does the offeror's subcontracting plan express goals in terms of a percentage of total contract dollars?	Individual plans only
	<b>3</b>	FAR 52.219-9(d)(2)(i) Is there a statement of the offeror's total dollars planned to be subcontracted?	Individual plans only
	<b>4</b>	FAR 52.219-9(d)(2)(i) Is there a statement of the offeror's total projected sales, expressed in dollars, and the total value of projected subcontracts to support the sales for a commercial plan?	Commercial plans only, not individual or master plans
	<b>5</b>	FAR 52.219-9(d)(2)(ii-vii) Are there statements of total dollars planned to be subcontracted for each small business category: small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors?	Individual and commercial plans only, not master plans
	<b>6</b>	DFARS 219.705-4(d) Are the goals in all of the small business categories (small business [including ANC and Indian tribe], veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business [including ANC and Indian tribe], women-owned small business) positive (greater than zero) or is there a justification for zero goals?	Individual and commercial plans only, not master plans
	<b>7</b>	DFARS 219.705-4(d) Is the proposed small disadvantaged business goal greater than five percent (5%)?	Individual and commercial plans only, not master plans If no, the proposed goal of less than five percent (5%) must be approved one level above the contracting officer.
	<b>8</b>	FAR 52.219-9(c) Is subcontracting separately addressed for the basic contract and for each option?	Individual plans only
	<b>9</b>	FAR 52.219-9(d)(3)(i-vi) Is there a description of the principal types of supplies and services to be subcontracted for each small business category: small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors?	Individual and commercial plans only, not master plans
	<b>10</b>	FAR 52.219-9(d)(4) Is there a description of the method used to develop the subcontracting goals?	

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<i>DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)</i>			
√ if "No"	Item	Elements of a Subcontracting Plan	Instructions / Notes
	11	FAR 52.219-9(d)(5) Is there a method used to identify potential sources for solicitation purposes?	
	12	FAR 52.219-9(d)(6) Is there a statement as to whether or not indirect costs were included in establishing subcontracting goals?	
	13	FAR 52.219-9(d)(6) Is there a description of the method used to determine the proportionate share of indirect costs to be incurred with each small business category: small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors?	If indirect costs are not included, skip this question.
	14	FAR 52.219-9(d)(7) Is there an individual named who will administer the offeror's subcontracting program?	
	15	FAR 52.219-9(d)(7) Is there a description of the duties of the individual named who will administer the offeror's subcontracting program?	
	16	FAR 52.219-9(d)(8) Is there a description of the efforts the offeror will make to ensure that small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns have an equitable opportunity to compete for subcontracts?	See 19.202-1
	17	FAR 52.219-9(d)(9) Are there assurances that the offeror will include FAR clause 52.219-8, "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities?	
	18	FAR 52.219-9(d)(9) Are there assurances that the offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$700,000 (\$1.5 million for construction of a public facility) with further subcontracting possibilities to adopt a plan that complies with the requirements of FAR clause 52.219-9, Small Business Subcontracting Plan?	
	19	FAR 52.219-9(d)(10)(i) Are there assurances that the offeror will cooperate in any studies or surveys as may be required?	
	20	52.219-9(d)(10)(ii) Are there assurances that the offeror will submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan?	
	21	52.219-9(d)(10)(iii) Are there assurances that the offeror will include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite-quantity contracts intended for use by multiple agencies?	Applicable after November 30, 2017, and only to indefinite-delivery indefinite-quantity contracts intended for use by multiple agencies. "Agencies" means Federal agencies.



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<b>DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)</b>			
<b>√ If "No"</b>	<b>Item</b>	<b>Elements of a Subcontracting Plan</b>	<b>Instructions / Notes</b>
	<b>22</b>	<p>52.219-9(d)(10)(iv); 52.219-9 ALTERNATE III (d)(10)(iii); Class Deviation 2018-00007</p> <p>Are there assurances that the offeror will submit:</p> <ul style="list-style-type: none"> <li>• the Individual Subcontract Report (ISR), and/or the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS) at <a href="http://www.esrs.gov">http://www.esrs.gov</a></li> </ul> <p>or</p> <ul style="list-style-type: none"> <li>• the SF 294 in lieu of submitting the ISR when Alternate III or the class deviation is used?</li> </ul>	<p>The ISR is related only to the individual subcontract plan.</p> <p>The SSR is related to the individual subcontract plan and the commercial subcontract plan.</p> <p>Alternate III instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for contracts not reported in FPDS.</p> <p>Class Deviation 2018-00007 instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for orders against BOAs and BPAs.</p>
	<b>23</b>	<p>FAR 52.219-9(d)(10)(v); 52.219-9 ALTERNATE III (d)(10)(iv); Class Deviation 2018-00007</p> <p>Are there assurances that the offeror will ensure that its subcontractors with subcontracting plans agree to submit:</p> <ul style="list-style-type: none"> <li>• the ISR and/or the SSR using eSRS</li> </ul> <p>or</p> <ul style="list-style-type: none"> <li>• the SF 294, in lieu of submitting the ISR when Alternate III or the class deviation is used?</li> </ul>	<p>The ISR is related only to the individual subcontract plan.</p> <p>The SSR is related to the individual subcontract plan and the commercial subcontract plan.</p> <p>Class Deviation 2018-00007 instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for orders against BOAs and BPAs.</p> <p>The SF 294 is related only to the individual subcontract plan when alternate III applies.</p> <p>Alternate III instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for contracts not reported in FPDS.</p>
	<b>24</b>	<p>FAR 52.219-9(d)(10)(vi)</p> <p>Are there assurances that the offeror will provide its prime contract number, its unique entity identifier (DUNS), and the e-mail address of the offeror's official responsible for acknowledging receipt of or rejecting the ISRs to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their ISRs?</p>	<p>The ISR is related only to the individual subcontract plan</p>
	<b>25</b>	<p>FAR 52.219-9(d)(10)(vii)</p> <p>Are there assurances that the offeror will require that each subcontractor with a subcontracting plan provide the prime contract number, its unique entity identifier (DUNS), and the e-mail address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans?</p>	<p>The ISR is related only to the individual subcontract plan</p>
	<b>26</b>	<p>FAR 52.219-9(d)(11)(i)</p> <p>Are there assurances that the offeror will maintain source lists (e.g., SAM), guides, and other data that identify small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small</p>	

# Appendix B: DoD Checklist for Reviewing Subcontracting Plans – Sept 2019

<http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

<b>DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)</b>			
<b>✓ if "No"</b>	<b>Item</b>	<b>Elements of a Subcontracting Plan</b>	<b>Instructions / Notes</b>
		business, small disadvantaged business, and women-owned small business concerns?	
	<b>27</b>	FAR 52.219-9(d)(11)(ii) Are there assurances that the offeror will maintain records of organizations contacted in an attempt to locate sources that are small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns?	
	<b>28</b>	FAR 52.219-9(d)(11)(iii)(A)-(F). Are there assurances that the offeror will maintain records on each subcontract solicitation resulting in an award of more than \$150,000 whether each small business category (small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors) was solicited and, if not, why not?	
	<b>29</b>	FAR 52.219-9(d)(11)(iii)(G) If applicable, are there assurances that offeror will maintain records of the reason award was not made to a small business concern for solicitations over \$150,000?	
	<b>30</b>	52.219-9(d)(11)(iv)(A) Are there assurances that the offeror will maintain records of outreach efforts to contact trade associations?	
	<b>31</b>	FAR 52.219-9(d)(11)(iv)(B) Are there assurances that the offeror will maintain records of outreach efforts to contact business development organizations?	
	<b>32</b>	FAR 52.219-9(d)(11)(iv)(C) Are there assurances that the offeror will maintain records of outreach efforts to contact conferences and trade fairs to locate small, HUBZone small, small disadvantaged, service-disabled veteran-owned, and women-owned small business sources?	
	<b>33</b>	FAR 52.219-9(d)(11)(iv)(D) Are there assurances that the offeror will maintain records of outreach efforts to contact veterans' service organizations?	
	<b>34</b>	FAR 52.219-9(d)(11)(v)(A) Are there are assurances that the offeror will maintain records of internal guidance and encouragement provided to buyers through workshops, seminars, training, etc.?	
	<b>35</b>	FAR 52.219-9(d)(11)(v)(B) Are there are assurances that the offeror will maintain records of internal guidance and encouragement provided to buyers through monitoring performance to evaluate compliance with the program's requirements?	
	<b>36</b>	FAR 52.219-9(d)(11)(vi) Are there assurances that the offeror will maintain records on a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor?	Not required for commercial plans

# Appendix B: DoD Checklist for Reviewing Subcontracting Plans – Sept 2019

<http://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

<b>DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)</b>			
<b>√ if "No"</b>	<b>Item</b>	<b>Elements of a Subcontracting Plan</b>	<b>Instructions / Notes</b>
	<b>37</b>	FAR 52.219-9(d)(12) Are there assurances that the offeror will make a good faith effort to acquire articles, equipment, supplies, services, or material, or obtain the performance of construction work from the small business concerns that it used in preparing the bid or proposal, in the same or greater scope, amount, and quality used in preparing the bid or proposal?	See FAR 52.219-9(d)(12) (i) and (ii) for examples of when the offeror used a small business concern in preparing the bid or proposal.
	<b>38</b>	FAR 52.219-9(d)(13) Are there assurances that the contractor will provide to the contracting officer, within 30 days of contract completion, a written explanation if the contractor fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in the bid or proposal?	
	<b>39</b>	FAR 52.219-9(d)(14) Are there assurances that the contractor will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor?	
	<b>40</b>	FAR 52.219-9(d)(15) Are there assurances that the offeror will pay its small business subcontractors on time and in accordance with the terms and conditions of the underlying subcontract, and notify the contracting officer when the prime contractor makes either a reduced or an untimely payment to a small business subcontractor?	See FAR 52.242-5
	<b>41</b>	FAR 52.219-9(f)(2) and DFARS 219.706 Is the master plan up to date?	Master plans
	<b>42</b>	FAR 52.219-9(g) Does the commercial plan relate to the contractor's planned subcontracting for both commercial and Government business, rather than solely to the Government contract?	Commercial plans only
	<b>43</b>	Does the commercial plan have a signature page which includes: a. name, title, email and company name for the person submitting the plan; b. name, title and department/agency contracting organization, date, signature and email of the person approving the plan; c. name, title and email of the person within the company who is submitting the report	Commercial plans only
	<b>44</b>	Does the commercial plan list the contracts or CAGE codes and related DUNS #s of the contracts covered under the plan? Does the commercial plan identify the one awarded contract subject to the plan (contract with latest completion date)?	Commercial plans only

## **Appendix C: Sample Small Business Participation Solicitation Language**

**Please note, for offerors, there is no SB Participation template because the offeror's submission must be based on what is requested in each specific solicitation. The following three slides provides sample RFP language a Contracting Officer may include in a solicitation.**

### **Minimum Quantitative Requirements (MQR) Percentage Calculation**

$$= \frac{\text{Total dollars allocated to each socioeconomic business category (inclusive of prime)}}{\text{Total Contract Value}}$$

# Appendix C: Sample Small Business Participation Solicitation Language

## L. SMALL BUSINESS PARTICIPATION COMMITMENT DOCUMENT

**FOR ALL BUSINESS TYPES:** The Small Business Participation Commitment Document is required from all offerors and will be evaluated in accordance with the guidance in DFARS 215.3, PGI 215.304(c)(i)(A) and the criteria listed in Sections L & M of this solicitation.

**FOR LARGE BUSINESS/OTHER THAN SMALL BUSINESS (OTSB) 'APPARENT SUCCESSFUL OFFERORS' ONLY:** Subcontracting Plans (separate from the Small Business Participation Commitment Document) will not be evaluated for source selection purposes; however, Other Than Small Business apparent successful offerors are required to submit a separate, acceptable Subcontracting Plan, in accordance with FAR 19.704, DFARS 219.704 and AFARS Appendix DD, prior to contract award. Subcontracting Plans shall reflect and be consistent with the commitments offered in the Small Business Participation Commitment Document.

### L.1. Small Business Participation Commitment Document Contents

L.1.1. As a prime contractor, all offerors shall submit a Small Business Participation Commitment Document addressing the offeror's extent to commit to utilization of Small Business concerns.

L.1.2. The Small Business Participation Commitment Document shall include Minimum Quantitative Requirement (MQR) dollar and percentage calculations (TOTAL DOLLARS ALLOCATED TO EACH SOCIOECONOMIC CATEGORY divided by TOTAL CONTRACT VALUE) for all business concerns: Small Business (SB), Small Disadvantaged Business (SDB), Women-Owned Small Business (WOSB), Historically Underutilized Business Zone Concerns (HUBZone), Service-Disabled Veteran-Owned Small Business (SDVOSB), and Other Than Small Business (OTSB). The Offeror may use and submit the provided Excel template for calculation purposes. Note that the template may not address all the requirements listed in this section. The Offeror shall provide market research and detailed explanation/documentation to support its proposed quantitative small business participation for each category. The offeror shall specifically note in its proposal that binding commitments shall become enforceable, contractual requirements and shall be reported and monitored through Contract Data Requirements List (CDRL) submissions, as required in Section J of this solicitation (Small Business Participation Commitment Document Report). The offeror shall state in its proposal that it will notify the Contracting Officer of any replacements it makes to its subcontractors that are identified in the proposal.

L.1.3. The Small Business Participation Commitment Document shall address the offeror's extent of commitment to utilize Small Business concerns, to include specifically identifying each subcontractor and providing the subcontractor's address, cage code or DUNS number, socioeconomic business status(es), principal supplies and services to be subcontracted, applicable NAICS, estimated dollars to be subcontracted, extent of commitment (signed teaming agreements), referenced Statement of Work/Statement of Objectives section, and business status verification (i.e. www.SAM.gov, certified letter). It is recommended that the offeror use the provided template to address this section.

L.1.4. The Small Business Participation Commitment Document shall provide three years of Small Business Past Performance information substantiating the offeror's track record of utilizing Small Businesses on past contracts, including copies of Cumulative Contractor Fiscal Year Summary Subcontracting Reports (SSR), if applicable. Any information concerning long-term relationships with Small Business subcontractors, such as signed, mentor-protégé relationships, may be provided. Small Business offerors may utilize its own participation on past contracts as Past Performance. If there is no Past Performance information available, offeror shall indicate this in its proposal. If Past Performance is unavailable or shows any downward trend, provide explanation for the lack of Past Performance or downward trend and address how the offeror will meet its proposed MQR in spite of no Past Performance or downward trends.

### L.2. Small Business Subcontracting Plan.

L.2.1. Separate from the Small Business Commitment Document, Other Than Small Business, apparent successful Offerors shall also submit a Subcontracting Plan meeting the requirements of FAR 52.219-9 and DFARS 252.219-7003 and DFARS 252.219-7004. Other Than Small Business concerns must submit an acceptable

# Appendix C: Sample Small Business Participation Solicitation Language

subcontracting plan to be eligible for award. Subcontracting Plans shall reflect and be consistent with the commitments offered in the Small Business Participation Commitment Document.

## M. SMALL BUSINESS PARTICIPATION COMMITMENT DOCUMENT EVALUATION & SMALL BUSINESS SUBCONTRACTING PLAN

M.1 The Small Business Participation Commitment Document will be evaluated by the Contracting Officer for the offeror's ability to:

M.1.1. Propose Minimum Quantitative Requirement (MQR) percentages (TOTAL DOLLARS ALLOCATED TO EACH SOCIOECONOMIC CATEGORY divided by TOTAL CONTRACT VALUE) for all business concerns: Small Business (SB), Small Disadvantaged Business (SDB), Women-Owned Small Business (WOSB), Historically Underutilized Business Zone Concerns (HUBZone), Service-Disabled Veteran-Owned Small Business (SDVOSB), and Other Than Small Business (OTSB). The Offeror shall provide detailed market research and explanation/documentation to support its proposed quantitative small business participation for each category. The offeror shall specifically note in its proposal that binding commitments shall become enforceable, contractual requirements and shall be reported and monitored through Contract Data Requirements List (CDRL) submissions, as required in Section J of this solicitation (Small Business Participation Commitment Document Report). The offeror shall state in its proposal that it will notify the Contracting Officer of any replacements it makes to its subcontractors that are identified in the proposal.

\*\*\*If the Government has established minimum percentage requirements (based on market research), enter the percentages here:

M.1.2. Address the offeror's extent of commitment to utilize Small Business concerns, to include specifically identifying each subcontractor and its address, cage code or DUNS number, socioeconomic business status(es), principal supplies and services to be subcontracted, applicable NAICS, estimated dollars to be subcontracted, extent of commitment (teaming agreements), referenced Statement of Work/Statement of Objectives section, and business status verification (i.e. [www.SAM.gov](http://www.SAM.gov), certified letter). The stated estimated dollars must support the offeror's proposed MQR percentages. Offerors that propose Small Business subcontractors must ensure that each subcontractor is either actively registered in [www.SAM.gov](http://www.SAM.gov) or must attach a certified letter signed by the subcontractor that states its size status for each applicable socioeconomic category (HUBZone companies must be certified by the Small Business Administration). It is highly recommended that the offeror provide this information in a spreadsheet format.

M.1.3. Provide three years of Small Business Past Performance information substantiating the offeror's track record of utilizing Small Businesses on past contracts, including copies of Cumulative Contractor Fiscal Year Summary Subcontracting Reports (SSR), if applicable. In addition, SSRs for individual contracts of a similar scope may also be provided. Any information concerning long-term relationships with Small Business subcontractors, such as signed, mentor-protégé relationships, may be provided. Small Business Offerors may utilize its own participation on past contracts as Past Performance. If there is no Past Performance information available, offeror shall indicate this in its proposal. If Past Performance is unavailable or shows any downward trend, provide explanation of the lack of Past Performance or downward trend and address how the offeror will meet its proposed MQR percentages in spite of no Past Performance or downward trends.

M.1.4. Provide realistic MQR dollars and percentages. Realism is measured by the offeror's ability to support its proposed percentages, such as its ability to properly calculate dollars and percentages and its ability to justify the percentages based on market research and the requirement's Statement of Work or Statement of Objectives.

\*Note – Subcontracting Plans (separate from the Small Business Participation Commitment Document) will not be evaluated for source selection purposes; however, Other Than Small Business apparent successful offerors are required to submit a separate, acceptable Subcontracting Plan, in accordance with FAR 19.705, DFARS 219.705 and AFARS Appendix DD, prior to contract award. Subcontracting Plans shall reflect and be consistent with the commitments offered in the Small Business Participation Commitment Document.

# Appendix C: Sample Small Business Participation Solicitation Language

## M. SMALL BUSINESS PARTICIPATION COMMITMENT DOCUMENT RATING

M.2.1. For the Small Business Participation Commitment Document to receive an Acceptable **rating (or higher adjective rating)**, the offeror shall:

1. Propose Minimum Quantitative Requirement (MQR) dollars and percentages (TOTAL DOLLARS ALLOCATED TO EACH SOCIOECONOMIC CATEGORY divided by TOTAL CONTRACT VALUE) for all business concerns (SB, SDB, WOSB, HUBZone, SDVOSB, and OTSB) **(that meet or exceed Government minimum requirements, if applicable)**, provide market research and detailed explanation/documentation to support its proposed quantitative small business participation for each category, **explicitly agree to report achievements through Contract Data Requirements List (CDRL) submissions**, and state in its proposal that it will notify the Contracting Officer of any replacements it makes to its subcontractors that are identified in the proposal, and,
2. Propose socioeconomic category percentages greater than zero percent, and,
3. Address the offeror's extent of commitment to utilize Small Business concerns, as highlighted by the evaluation criteria listed in Section M, Small Business Participation Commitment Document Evaluation, and,
4. Address three years of Small Business Past Performance, as highlighted by the evaluation criteria in Section M, Small Business Participation Commitment Document Evaluation, and,
5. Provide realistic percentages, as highlighted by the evaluation criteria in Section M, Small Business Participation Commitment Document Evaluation.

M.2.2. For the Small Business Participation Commitment Document to receive an Unacceptable rating, the offeror does not:

1. Propose Minimum Quantitative Requirement (MQR) dollars and percentages (TOTAL DOLLARS ALLOCATED TO EACH SOCIOECONOMIC CATEGORY divided by TOTAL CONTRACT VALUE) for all business concerns (SB, SDB, WOSB, HUBZone, SDVOSB, and OTSB) **(that meet or exceed Government minimum requirements, if applicable)**, provide detailed explanation/documentation to support its proposed quantitative small business participation for each category, **explicitly agree to report achievements through Contract Data Requirements List (CDRL)**, and state in its proposal that it will notify the Contracting Officer of any replacements it makes to its subcontractors that are identified in the proposal submissions, or,
2. Propose socioeconomic category percentages greater than zero percent, or,
3. Address the offeror's extent of commitment to utilize Small Business concerns, as highlighted by the evaluation factor ratings in Section M, Small Business Participation Commitment Document Evaluation, or,
4. Address three years of Small Business Past Performance, as highlighted by the evaluation factor ratings in Section M, Small Business Participation Commitment Document Evaluation, or,
5. Provide realistic percentages, as highlighted by the evaluation factor ratings in Section M, Small Business Participation Commitment Document Evaluation.

### Legend:

**Rating (or higher adjective rating)** - Decide whether to include or revise this verbiage. Will the Government establish minimum percentages (based on market research) or will Government not have minimum requirement? This decision/strategy should be addressed in the Acquisition Plan/Strategy and Market Research.

**Explicitly agree to report achievements through Contract Data Requirements List (CDRL)** - SB Participation should be monitored during contract administration/post-award and should be a contractual obligation. Will this be monitored through CDRL submissions (Template provided in section J of the RFP), or can there be another strategy to monitor this?

# **Appendix D**

## **Identifying a Small Business/NAICS Codes**

### **How is a Business Determined to be Small?**

#### **SBA Table of Small Business Size Standards Matched to North American Industry Classification System (NAICS) Codes**

- Go to <https://www.sba.gov/>
- Click on **Contracting** button
- From drop-down menu select **Getting Started**
- Click **Small Business Size Standards**
- Click **Table of Small Business Size Standards**



## **Appendix D**

### **Identifying a Small Business/NAICS Codes**

- On the **Table of Small Business Size Standards** page, the first sentence reads: “To help small business owners assess their small business status, SBA has established a Table of Small Business Size Standards (pdf file/excel file).”
- Click on pdf file/excel file
- Table will download

Note: Always check the date on the title page, lower right hand corner to make sure it is the latest version.

# **Appendix D**

## **Identifying a Small Business/NAICS Codes**

### **NAICS – North American Industrial Classification System**

Each NAICS is a 6 digit number

Digits 1 & 2 identify the Sector

Digit 3 the Sub-Sector

Digit 4 identifies the Industry Group

Digit 5 identifies the NAICS Industry

Digit 6 the National Industry

**To make a NAICS Code search, go to:**

**<http://www.census.gov/www/naics/>**

# **Appendix D**

## **Identifying a Small Business/NAICS Codes**

**11 Agriculture, Forestry, Fishing and Hunting**

**21 Mining, Quarrying and Oil and Gas  
Extraction**

**22 Utilities**

**23 Construction**

**31-33 Manufacturing**

**42 Wholesale Trade**

**44-45 Retail Trade**

**48-49 Transportation and Warehousing**

**51 Information**

**52 Finance and Insurance**

**53 Real Estate and Rental and Leasing**

**54 Professional, Scientific, and Technical  
Services**

**55 Management of Companies and Enterprises**

**56 Administration and Support and Waste  
Management and Remediation Services**

**61 Educational Services**

**62 Health Care and Social Assistance**

**71 Arts, Entertainment and Recreation**

**72 Accommodation and Food Services**

**81 Other Services (Except Public  
Administration)**

**92 Public Administration**

## **Appendix D**

### **Identifying a Small Business/NAICS Codes**

#### **Restriction on the use of NAICS**

- Neither Government Contracting Officers nor Prime Contractors can use NAICS Codes in the 42 and 44-45 sectors for the acquisition of supplies.
- Use applicable NAICS manufacturing codes instead.

# Appendix E

## Small Business Reporting in eSRS

### Contractor Registration in eSRS:

- Registration in eSRS is a two-part process - Submitting a registration request and Waiting for approval from eSRS.
- Part 1 – Requesting Approval
  1. Visit <http://www.esrs.gov> to register.
  2. Select “Contractors” under “Log-In or Register Now”.
  3. Select “New Contractors: Register”.
  4. Enter your company’s UEI.
  5. Review your company information. This information is pulled directly from SAM. If it needs to be updated, stop the registration process and go to <https://www.SAM.gov/> to update your information.
  6. Fill in the contact information.

Tip: Be sure that the UEI you use is the same as the one on the contract for which you are reporting.

# Appendix E

## Small Business Reporting in eSRS

### Part 2 – Registration Approval:

- Check your email for a message from [esrs@gsa.gov](mailto:esrs@gsa.gov). This email will confirm your registration request.
- To finish the registration process, click on the link provided in the email.

# Appendix E

## Small Business Reporting in eSRS

### Entering an ISR:

1. Make sure you are registered in eSRS.
2. Click on “Contractor”.
3. Click on “File ISR” from the left navigation and then on “Continue”.

Because eSRS contains a number of new fields that did not exist on the SF294, you will need the following for referral if you are the prime:

- a) UEI as it appears on your contract
- b) Product and Service Codes
- c) NAICS as it appears on your contract
- d) E-mail address of Agency responsible for reviewing the report
- e) Current contract value

## Appendix E

### Small Business Reporting in eSRS

4. If you are a subcontractor, you will also need:
  - a) The Prime Contract Number
  - b) The Subcontract Number
  - c) The Prime Contractor's UEI
  - d) Email address of the Prime Contractor's employee who has the responsibility to review the report.
  
5. Enter the contract number (no dashes). If there are existing contracts in the system under the UEI you entered, they will appear in the drop down menu.
  
6. Once eSRS has found your contract, indicate whether you are the prime or the sub for the contract.



## Appendix E

### Small Business Reporting in eSRS

7. Your contract information will be pulled directly from FPDS/NG. Ensure that the information provided is correct. If not, inform your Government contracting official of the error(s).
8. Fill in any open boxes showing on the screen. These represent information not found in FPDS/NG.
9. Enter the dollar values in each box. All mandatory fields are marked with a **red \***. eSRS will automatically calculate percentages.
10. Certify your information and include contact information for the person at your organization who administers the contract. [This may be different than the person who is submitting the report.]

## **Appendix E**

### **Small Business Reporting in eSRS**

11. Include the email addresses of those individuals you would like notified that your report has been submitted. You must include the Government contracting official responsible for your contract.
12. Review the information you have inputted and select “Submit”. Those that you have designated with email addresses will receive notification that the report has been filed.
13. The Approving Official is the Contracting Officer who issued the contract.
14. Keep a copy of what you filed.

## **Appendix E**

### **Small Business Reporting in eSRS**

**\*\*\* TIP \*\*\***

If you get an error message that your contract number does not match any contracts in the system, contact your Government contracting official. The contract you are trying to reference is not coded in the Federal Procurement Data System/Next Generation (FPDS/NG) as having a subcontracting plan. Accordingly, this needs to be updated in FPDS/NG by the Government before you can proceed with entering your ISR.

# Appendix E

## Small Business Reporting in eSRS

### Entering an SSR:

1. Make sure you are registered in eSRS.
2. Log into <http://www.esrs.gov> and select “Contractor”.
3. Click on “File SSR” from the left navigation and then “Continue”.  
Because eSRS contains a number of new fields that did not exist on the SF295, have your UEI, Product and Service Codes and NAICS available for referral.
4. Select the type of Subcontracting Plan for which you are submitting the SSR: “Individual” or “Commercial”.
5. Input your company’s UEI. Your company information will be pulled directly from SAM. If your company information is incorrect, you must go to <https://www.SAM.gov/> and update the information before proceeding with the SSR.
6. Input the date submitted and your contact information.

## Appendix E

### Small Business Reporting in eSRS

7. Reporting Period:
  - Individual Subcontracting Plan, select the year that corresponds with your report.
  - Commercial Subcontracting Plan, the reporting period and the year are the dates covered by your Commercial Subcontracting Plan.
8. For a report submitted under an Individual Subcontracting Plan, select “Department of Defense (DoD)(9700)” as the Agency.
9. Check the box indicating whether you are a prime contractor or subcontractor for this report.
10. Provide the name and NAICS Code of the major product(s) or service line(s) of your company.
11. Fill in the subcontracting data for each business category. If submitting a report based on a Commercial Subcontracting Plan, specify the agencies to which you are submitting your report and the percentage of dollars attributable to each. Also, indicate which agency approved the Commercial Subcontracting Plan

## **Appendix E**

### **Small Business Reporting in eSRS**

12. Provide the contact information for the person at your company who administers the subcontracting program. This person may be different than the person who is submitting the report. (NOTE: This will not be the name of any Government contracting official responsible for your contracts.) Then, certify that the information contained in the report is accurate and that the totals do not include lower-tiers.
13. Provide the name and title of the CEO in your company. Certify that the CEO will review your report and will sign a hard copy that will be kept on file for four (4) years.
14. Include the email addresses of those individuals you would like notified that your report has been submitted. This must include the Government contracting official responsible for your contract.
15. Review the information you have inputted. Select “Continue” and then “Submit”. Those that you have designated with email addresses will receive notification that the report has been filed.

## **Appendix E**

### **Small Business Reporting in eSRS**

#### **Common mistakes on the forms:**

**Make sure the data is ACCURATE**

- Block 2: Wrong or incomplete UEI.
- Block 6: Administering Activity. If you are reporting to NASA or Civilian Agencies, you will have to issue an SSR to those agencies.
- Block 7: Report on both subcontract number, if applicable, and appropriate contract number.
- Block 8: Use most recent address and street number for the Buying Activity.
- Ensure data is cumulative on an annual basis for the SSR and for the life of the contract for the ISR.

# Appendix F

## How to Use Search Engines

### Dynamic Small Business Search (DSBS)

- Website maintained by the Small Business Administration (SBA).
- Go to [http://dsbs.sba.gov/dsbs/search/dsp\\_dsbs.cfm](http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm).
- Searches can be by:

Location of Profile: State (single or multiple)

Federal Government Certifications [8(a) or HUBZone]



# Appendix F

## How to Use Search Engines

### Ownership and Self-certifications:

Any Minority Owned

Any Native American Owned:

    Tribally Owned

    ANC Owned

    Native Hawaiian Org (NHO) Owned

    Other Native American

Other Minority Owned

Community Development Corporation (CDC) Owned

Self-Certified Small Disadvantaged Business

Service-Disabled Veteran-Owned

Veteran-Owned (including Service-Disabled Veteran-Owned)

# Appendix F

## How to Use Search Engines

### Ownership and Self-certifications (cont.)

Any WOSB

WOSB under the Women-Owned Small Business Program

EDWOSB under the Women-Owned Small Business Program

WOSB Joint Venture

EDWOSB Joint Venture

NAICS Codes (including “Buy green”)

Keywords

General Nature of Business

Manufacturing

Construction

Research & Development

Services

# Appendix F

## How to Use Search Engines

### Minimum Acceptable Bonding Levels

Construction Bonding Level (per contract)

Construction Bonding Level (aggregate)

Service Bonding Level (per contract)

Service Bonding Level (aggregate)

### Quality Assurance Standards

ANSI/ASQC Z1.4

ISO-9000 Series ISO 10012-1

MIL-Q-9858

MIL-STD-45662A

Size must be: (Employees and/or Annual Gross Revenue)

At least \_\_\_\_\_

No more than \_\_\_\_\_

# Appendix F

## How to Use Search Engines

### Capabilities

Accepts Government Credit Card?	Required or Not Required
GSA Advantage contract?	Required or Not Required
Exporter?	

### CAGE Codes or UEI [if known]

Vendor Name – if you are not sure of the exact name, hit  
“Sounds Like” Matching,  
“First Letter” Matching, or  
“Contains” Matching

# Appendix F

## How to Use Search Engines

### System for Award Management (SAM)

- SAM combines Federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. This consolidation is being done in phases.
- The first phase of SAM includes the functionality from the following systems:
  - Federal Agency Registration (Feeder)
  - Online Representations and Certifications Application (ORCA)
  - Excluded Parties List System (EPLS)
- Additional systems will be added later.

## Appendix F

# How to Use Search Engines

- Go to: <https://www.SAM.gov/> *Do not use a search engine to find [www.SAM.gov](http://www.SAM.gov) as this is likely to bring you to commercial sites that charge a fee for registration*
- Enter a Business Name, UEI, or CAGE code to search for the entities that you are interested in reviewing. Although there are 3 search bars, you can only use one at a time. The top search bar allows you to enter any search term such as Business Name and/or location. [If you enter location, separate it by commas.] You can also enter exclusion search terms to search for exclusion records. If you want to search for only a UEI or a CAGE code you can use the bottom two search bars. Once a search has returned results, use the filters provided to narrow the search.

**Tip: Business Name is the least effective search term.**

# Appendix F

## How to Use Search Engines

- SAM Filters There are 4 primary filters which are case sensitive.

### By Record Status

Active (has current SAM registration)

Inactive (SAM registration has expired)

### By Functional Area

Entity Management

Performance Information

- The 2 Functional Area filters each have several sub-filters. These sub-filters have additional sub-filters.

## **Appendix F**

### **How to Use Search Engines**

- Government employees must create a SAM user account with their Government email address. Some entities have chosen to opt out of public display. Even if they are registered in SAM, you will not see their entity registration records in a public search. You can only see them if you are logged in as a Federal Government user.
- Log in before searching in order to see For Official Use Only (FOUO) information and those registrants who opted out of the public search



# Appendix F

## How to Use Search Engines

### Moving around in SAM

- Search results represent the broadest set of records that match your criteria. You may get entity registration records that are still in progress or have been submitted, but not yet activated. Check the record status of each result and use the Search Filters to narrow your results.
- When you get a result, you will see a block of information including the firm name, UEI, CAGE code and Status (active or inactive).
- There will also be a colored rectangle in the upper left of the block. If the firm is not on the Excluded Parties list, the block will be green; if the firm is on that list, the block will be purple.

## Appendix F

### How to Use Search Engines

- There will also be a rectangle in the lower right of the block marked “View Details”. Click on this block for additional information.
- If you want to perform a new search, be sure to use the Clear Search button to remove your results.
- **IMPORTANT:** To return to the search page, do NOT use the back arrow; this will close the program. Instead, use the button on the left marked “Return to Search”.
- If you have a SAM user account and are logged in, you can use the Save Search button to run your current search again at a later time.

# Appendix F

## How to Use Search Engines

- Hitting “View Details” takes you to a new screen showing:

Entity Record

Core Data (including address, start date, & structure)

Assertions (including NAICS Codes and size information)

Representations and Certifications (including SB categories)

Points of Contact

# Appendix F

## How to Use Search Engines

### Federal Procurement Data System-Next Generation (FPDS-NG)

- FPDS-NG is a public, searchable database of all contract actions on contracts over the micro-purchase threshold (\$3,500). It contains comprehensive information on what Federal agencies purchased, when, and from whom. It can be searched by agency, NAICS code, FSC/PSC code, vendor UEI, contract number, and many other variables.
- The default utility in FPDS-NG is called **ezSearch**, and may be used without login. More sophisticated search and reporting tools are available if you choose to log in, which requires a simple registration to obtain a Log-in ID and Password.

## Appendix F

### How to Use Search Engines

- Go to: [https://www.fpds.gov/fpdsng\\_cms/index.php/en/](https://www.fpds.gov/fpdsng_cms/index.php/en/).
- Enter a Business Name, UEI or NAICS code to search for the entities that you are interested in reviewing. Searching works best on unique terms using standard syntax:
  - PRODUCT\_OR\_SERVICE\_CODE: “6150” (for example)
  - PRINCIPAL\_NAICS\_CODE: “921190”
  - REF\_IDV\_PIID: “N0010405GA754” (contract number)
- Business Name is not reliable because FPDS sees every minor variation of a name as a different entity; i.e. Raytheon Company does not equal Raytheon Co does not equal Raytheon Company Inc. UEI works well alone. Replacing name with UEI can be used to consolidate variations on a company name.

# Appendix F

## How to Use Search Engines

- Useful features include:

“Top 10 Lists” for Department, Agency and Vendor Full Name – left hand side of page.

“Search Criteria” – displays current search criteria and allows element-by-element deletion – upper right.

“Sort By” – allows a single sort criterion, either ascending or descending – center right.

“Recent Searches” – allows toggling back to recent searches – lower right.

“Advanced Search” – allows addition of search terms and “search within” option – right side of top search bar.

PDF and CSV utilities – the PDF button formats the entire report in a printable (but not very useful) format. The CSV button creates a MicroSoft Excel spreadsheet –very useful – that can be saved and manipulated.

“View” – Within each record, next to the “Award ID”, is a button labeled “(View)”. Click on this to drill down to a more detailed record.

The background of the slide is a stylized, wavy American flag with red and white stripes and a blue field with white stars.

## **Appendix F**

### **How to Use Search Engines**

- FPDS can be used to find experienced vendors or to find information about a prospective vendor's past experience with Federal government contracts.

# Appendix F

## How to Use Search Engines

### CAGE Search & Inquiry

- CAGE Search & Inquiry is a search engine for foreign and domestic manufacturers, suppliers and potential contractors supporting the Federal supply chain. Information in this system is cross-referenced to permit inquiry by CAGE, UEI, Company Name, Phone Number, State/province and ZIP code.
- Information about the supplier is returned from the CAGE File, and the Joint US/Canada Certification Program (JCP).
- CAGE Search & Inquiry provides basic data of the Cage File and linkages to the SAM public view source and Joint US/Canada Certification Program source system for an expanded view of the trading partner's profile.



## Appendix F

### How to Use Search Engines

- Go to <https://cage.dla.mil/search>
- You may perform a wildcard search on a company name by placing a "?" after the name. CAGE Search & Inquiry will search by each individual word (up to three words). Example: WOOD WORKING? The partial company name must contain at least 3 characters in addition to the "?". The company name field will ignore common words such as "the" and "and" and "." Example: ASP?
- The phone number must contain at least 6 digits. The phone number field must include the area code and the exchange code. Example: 616555

## Appendix F

### How to Use Search Engines

- When entering Company or SIC you may further narrow the search by selecting the corresponding state field. Searching by the state alone does not constitute valid search criteria.
- CAGE Search & Inquiry will provide a table showing: **Business Name, CAGE Code, UEI, JCP, ZIP Code, State and Phone Number**. This information is preceded by >>.
- Click on the >> which appears to be the firm you are seeking. The next screen will provide you with a profile of the company including Street Address, Point of Contact, Web Page, and Status (Active/Inactive). A button in the profile allows you to do a SAM inquiry for the firm.

# Appendix F

## How to Use Search Engines

### Department of Veterans Affairs (VA)

- VA's highest contracting priority is SDVOSB. These are followed in order by: VOSB, 8(a), HUBZone, WOSB, all other small business.
- VA maintains a listing of verified VOSB and SDVOSB firms. For a firm to work for the VA as either a VOSB or an SDVOSB, it must be verified as such by the Center for Verification and Evaluation (CVE), formerly the Center for Veterans Enterprises. For all other agencies, VOSB and SDVOSB are self-certified categories.

Note: many legitimate VOSBs & SDVOSBs elect not to verify with the CVE due to difficulty in doing so, long processing time and the fact that only VA requires it.

## Appendix F

### How to Use Search Engines

- To Search the VA database, go to <https://www.vip.vetbiz.gov/>.
- While the firms in the VA database are also in SAM, the VA certification serves as an extra level of assurance that the firms are really VOSB or SDVOSB.

# Appendix F

## How to Use Search Engines

### Thomas Register

- Go to <http://www.thomasnet.com>.
- Can identify firms by category, company name, brand, and United Nations Standard Products and Services Code (UNSPSC) commodity code.
- The Standard Industrial Classification (SIC) and the North American Industry Classification System (NAICS) coding systems describe the operations of a business, while the UNSPSC provides a very specific product-centric viewpoint.
- Can also source components, parts, raw materials, and equipment by keyword, specification, part number and UNSPSC commodity code

# Appendix F

## How to Use Search Engines

### SBA SUB-Net

- The SUB-Net database [http://web.sba.gov/subnet/search/dsp\\_search\\_option.cfm](http://web.sba.gov/subnet/search/dsp_search_option.cfm) is used to post subcontracting opportunities which may or may not be reserved for small business and may include either solicitations or other notices.

### To post a SUB-NET solicitation or a notice

- From the main SUB-Net screen, click on "Post" from the navigation tool bar on top of the screen.
- If this is the first time you have used SUB-Net for this purpose, you will need to click "Sign me Up!" This will take you to the "Request GLS account" screen.

## Appendix F

### How to Use Search Engines

- Fill out the necessary information and submit. You will receive an instant confirmation that the request has been received. Your User ID and Password will be sent to you immediately through email.
- At the first login to *SUB-Net*, you will be prompted to enter your complete company profile, without which you can not post solicitations. Fill out the required information and click the "Submit" button at the bottom of the screen.
- You must post at least 1 solicitation or notice when you register. Your company profile will be deleted if not accompanied by a solicitation.
- If you are not ready to post a solicitation, don't fill out the company profile form now; rather, return to *SUB-Net* and fill out the profile at the same time you post your first solicitation.

## Appendix F

### How to Use Search Engines

- SBA needs two business days to process your request. Once your profile is activated, you will be able to post additional solicitations and notices and see them "go live" instantaneously.
- If your firm is already registered in the system, go to "Take Me to GLS Login". Enter your User ID and Password.
- The next screen is a "Welcome" screen. Scroll down to the bottom of this page and click "OK."
- The next screen is the "Choose Function" screen. Click on "Sub-Net", then click "Post" in the top navigation bar of the screen.
- Select "Enter Solicitation" from the left-hand side of the screen and fill in the required information.



# Appendix F

## How to Use Search Engines

### To search for a solicitation or a notice

You can search for subcontracting opportunities in several ways.

- If looking for opportunities in a particular industry, search for all Requests for Proposals and Notices of Sources Sought by the North American Industry Classification System (NAICS) code for that industry.
- From the main menu (buttons on top), click "Search" then click "Search the database" on left panel and enter the six-digit NAICS code for your industry. (Add a zero to the end if the NAICS general industry code contains only 5 digits.)
- If you don't know the NAICS code for your industry, *SUB-Net* provides a hot-link to the NAICS code web site, so you can look it up first.

## Appendix F

### How to Use Search Engines

- If you would rather not worry about NAICS codes or if you want to look at every opportunity on the bulletin board regardless of industry, click "View all solicitations." This will display everything on the bulletin board for which the bid date has not yet expired. (All notices on this page are sorted in order of bid closing date, and drop off automatically on the date and hour that they expire.)
- When you find a solicitation or notice that appeals to you, simply print out a hard copy for your records and contact the company that posted the notice for a copy of the complete bid package. Everything posted on *SUB-Net* will have the name, telephone number, fax number, and e-mail address of a person to contact for questions or additional information.

# Appendix G Northeast Regional APEX Accelerators

## Contact List of Northeast APEX Accelerators

- CT – Marisol Herrera  
*phone:* 860-437-4659 x208      *email:* [mherrera@secter.org](mailto:mherrera@secter.org)  
*website :* <https://ctptac.org/>
- MA - Peter Cokotis  
*phone:* 413-737-6712 x105      *email* [pcokotis@isenberg.umass.edu](mailto:pcokotis@isenberg.umass.edu)  
*website :* <https://www.massptac.org/rfc.html>
- ME – Kenneth Bloch  
*phone:* 207-974-3245      *email:* [kbloch@emdc.org](mailto:kbloch@emdc.org)  
*website :* <https://www.maineptac.org>
- NH – Dave Pease  
*phone:* 603-271-7581      *email:* [david.n.pease@livefree.nh.gov](mailto:david.n.pease@livefree.nh.gov)  
*website:* <https://www.nheconomy.com/apex>
- RI - Chad Lewis  
*phone:* 401-278-9114      *email:* [richard.lewis@commerceri.com](mailto:richard.lewis@commerceri.com)  
*website :* <https://riptac.org/>
- VT – Joanne Spaulding  
*phone:* 802-522-5237      *email:* [joanne.spaulding@vermont.gov](mailto:joanne.spaulding@vermont.gov)  
*website :* <https://accd.vermont.gov/economic-development/programs/ptac>
- NY- Lenora Leasure  
(Cattaraugus County)  
*phone:* 716-938-2331      *email:* [laleasure@cattco.org](mailto:laleasure@cattco.org)  
*website:* <http://www.ccptac.org>

# Appendix G Northeast Regional APEX Accelerators

- NY–Nelson Ortiz      *phone:* 718-482-5306      *email:* [neortiz@lagcc.cuny.edu](mailto:neortiz@lagcc.cuny.edu)  
(LaGuardia Community College)      *website:* <https://www.laguardia.edu/ce/pages/business-services/apex-accelerators/>
- NY– Rogina Coar-Smith      *phone:* 212-513-6380      *email:* [RCoar-Smith@sbs.nyc.gov](mailto:RCoar-Smith@sbs.nyc.gov)  
(NYC Dept. of Small Business)      *website:* <https://nyc-business.nyc.gov/nycbusiness/article/procurement-technical-assistance>
- NY– Laura Miller      *phone:* 315-334-7855      *email:* [lmiller@nystec.com](mailto:lmiller@nystec.com)  
(Albany & North Country areas)      *website:* <https://igniteuny.com/ptac>
- NY– Anna Vulaj Fitzsimmons      *phone:* 585- 753-2017      *email:* [AVulaj@monroecounty.gov](mailto:AVulaj@monroecounty.gov)  
(Monroe County/Finger Lakes)      *website:* <http://www.MonroeCountyFingerLakesPTAC.org>
- NY– Crystal Pierce      *phone:* 480-843-9847      *email:* [crystal@ncaied.org](mailto:crystal@ncaied.org)  
(The National Center American Indian Enterprise APEX)      *website:* <https://www.ncaied.org/ptac/>
- NY– Jose Arrias Arroyo      *phone:* 718-292-3113      *email:* [jarias@sobro.org](mailto:jarias@sobro.org)  
(South Bronx)      *website:* <http://www.sobro.org>