**Small Business Subcontracting Individual Plan**

***(Supplier required input in red and/or brackets)***

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| DATE: | | [     ] | | | UEI (Unique Entity Identifier): | | | | | | | [     ] | | | | | | |
|  | | | | | | | | | | | | | | | |
| SUPPLIER: | | | [     ] | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | |
| STREET ADDRESS: | [     ] | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | |
| PHONE NUMBER: | | [     ] | | | | E-MAIL ADDRESS: | | | | | [     ] | | | | | | | |
|  | | | | | | | | | | | | | | | |
| CONTRACT NUMBER: | | [     ] | | | | | PROJECT No. | | | [     ] | | | | | | | | |
|  | | | | | | | | | | | | | | | |
| PURCHASE ORDER NUMBER: | | | | [     ] | | | | | C/O# | | | | [     ] | | | | |
|  | | | |  | | | | |  | | | |  | | | | |
| GROSS COMMITMENT VALUE: | | | | [     ] | | | | PREVIOUS PO VALUE: | | | | | | [     ] | | |
|  | | | | | | | | | | | | | | | |

The following, together with any attachments, is hereby submitted as a Small Business Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 as implemented by FAR Clause 52.219-9.

(a) FAR Clause 52.219-9 does not apply to small business concerns.

(b) Definitions. As used in FAR 52.219-9

“Alaska Native Corporation (ANC)” means any Regional Corporation, Village Corporation, Urban Corporation, or Group Corporation organized under the laws of the State of Alaska in accordance with the Alaska Native Claims Settlement Act, as amended ([43 U.S.C. 1601](http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t43t44+2+43++%2843%29%20%20AND%20%28%2843%29%20ADJ%20USC%29%3ACITE%20%20%20%20%20%20%20%20%20), *et. seq*.) and which is considered a minority and economically disadvantaged concern under the criteria at [43 U.S.C. 1626(e)(1)](http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t43t44+2+43++%2843%29%20%20AND%20%28%2843%29%20ADJ%20USC%29%3ACITE%20%20%20%20%20%20%20%20%20). This definition also includes ANC direct and indirect subsidiary corporations, joint ventures, and partnerships that meet the requirements of [43 U.S.C. 1626(e) (2)](http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t43t44+2+43++%2843%29%20%20AND%20%28%2843%29%20ADJ%20USC%29%3ACITE%20%20%20%20%20%20%20%20%20).

“Commercial product” means a product that satisfies the definition of “commercial product” in Federal Acquisition Regulation (FAR) 2.101.

“Commercial service” means a service that satisfies the definition of “commercial service” in FAR 2.101.

“Commercial plan” means a subcontracting plan (including goals) that covers the offeror’s fiscal year and that applies to the entire production of commercial products and commercial services sold by either the entire company or a portion thereof (e.g., division, plant, or product line).

“Electronic Subcontracting Reporting System (eSRS)” means the Government wide, electronic, web-based system for small business subcontracting program reporting. The eSRS is located at [http://www.esrs.gov](http://www.esrs.gov/).

“Indian tribe” means any Indian tribe, band, group, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act ([43 U.S.C.A. 1601](http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t43t44+2+43++%2843%29%20%20AND%20%28%2843%29%20ADJ%20USC%29%3ACITE%20%20%20%20%20%20%20%20%20) et seq.), that is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs in accordance with [25 U.S.C. 1452(c)](http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t21t25+4254+34++%2825%29%20%20AND%20%28%2825%29%20ADJ%20USC%29%3ACITE%20%20%20%20%20%20%20%20%20). This definition also includes Indian-owned economic enterprises that meet the requirements of [25 U.S.C. 1452(e)](http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t21t25+4254+34++%2825%29%20%20AND%20%28%2825%29%20ADJ%20USC%29%3ACITE%20%20%20%20%20%20%20%20%20).

“Individual subcontracting plan” means a subcontracting plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror’s planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.

“Master subcontracting plan” means a subcontracting plan that contains all the required elements of an individual subcontracting plan, except goals, and may be incorporated into individual subcontracting plans, provided the master subcontracting plan has been approved.

“Reduced payment” means a payment that is for less than the amount agreed upon in a subcontract in accordance with its terms and conditions, for supplies and services for which the Government has paid the prime contractor.

“Subcontract” means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime Contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.

“Total contract dollars” means the final anticipated dollar value, including the dollar value of all options.

“Untimely payment” means a payment to a subcontractor that is more than 90 days past due under the terms and conditions of a subcontract for supplies and services for which the Government has paid the prime contractor.

The Supplier’s subcontracting plan shall include the following:

1. Separate goals, expressed in terms of total dollars subcontracted, and as a percentage of total planned subcontracting dollars, for the use of 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. For individual subcontracting plans, goals shall also be expressed in terms of percentage of total contract dollars, in addition to the goals expressed as a percentage of total subcontract dollars. Supplier shall include all subcontracts that contribute to contract performance, and may include a proportionate share of products and services that are normally allocated as indirect costs.
2. A statement of total dollars planned to be subcontracted for an individual subcontracting plan as well as the total dollars planned to be subcontracted to each business classification (small business, large business, veteran-owned small business, service-disabled veteran owned small business, HUBZone, small disadvantaged business, Historically Black Colleges and Universities and Minority Institutions and women-owned small business) in support of the Ingalls Purchase Order listed above on this form, as follows:

Total Subcontracting Dollars

(Including ANC & Indian Tribes) [$     ] [100%]

Small Business Dollars / Percentage

(Including ANC & Indian Tribes) [$     ] [     %]

Large Business Dollars / Percentage

(Do not include ANC & Indian Tribes) [$     ] [     %]

Small Disadvantaged Business (SDB)

(Include Certified ANC & Indian Tribes) [$     ] [     %]

Women-owned Small Business (WOSB) [$     ] [     %]

Historically Black Colleges and Universities

and Minority Institutions (HBCU/MI) [$     ] [     %]

HUBZone [$     ] [     %]

Veteran-owned Small Business (VOSB) [$     ] [     %]

Service-disabled Veteran-owned Small

Business (SD-VOSB) [$     ] [     %]

Alaskan Native Corporation (ANC)

& Indian Tribes (Not Certified by SBA

as SDB) [$     ] [     %]

Alaskan Native Corporations (ANC) &

Indian Tribes that are not Small Business [$     ] [     %]

1. Principal products and/or services to be subcontracted and an identification of the types planned for subcontracting to each small, veteran-owned, service-disabled veteran, HUBZone, small disadvantaged, and women-owned small business concern in support of the applicable purchase order listed above:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | | | | |  |
| SMALL BUSINESS | [DESCRIBE PRODUCT OR SERVICE] | | | | |
|  | | | | | |
|  | | | | | |
|  | | | | | |
| SMALL DISADVANTAGED BUSINESS: | | | [DESCRIBE PRODUCT OR SERVICE] | | |
|  | | | | | |
|  | | | | | |
| WOMEN-OWNED SMALL BUSINESS: | | | [DESCRIBE PRODUCT OR SERVICE] | | |
|  | | | | | |
|  | | | | | |
| HUBZONE SMALL BUSINESS: | | [DESCRIBE PRODUCT OR SERVICE] | | | |
|  | | | | | |
|  | | | | | |
| VETERAN-OWNED SMALL BUSINESS: | | | [DESCRIBE PRODUCT OR SERVICE] | | |
|  | | | | | |
|  | | | | | |
| SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS: | | | | [DESCRIBE PRODUCT OR SERVICE] | |
|  | | | | | |
|  | | | | | |

1. The following method was used in developing subcontract goals:

[Supplier will insert a statement explaining how the products and services to be subcontracted were established, how the products and services to be subcontracted to small, veteran-owned, service-disabled veteran-owned HUBZone, small disadvantaged, and women-owned business concerns were determined, and how capabilities of these firms were substantiated prior to their inclusion in source lists.]

1. The following methods were used to identify potential sources for solicitation purposes:

[Supplier will insert items such as: existing company source lists, the Procurement Marketing and Access Network and System for Award Management (SAM) of the Small Business Administration (SBA), the list of certified small disadvantaged business concerns of the SBA, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, HUBZone, small disadvantaged, and women-owned small business trade associations.]

[SAM is an approved source list, however it does not relieve Supplier of its responsibilities (outreach, assistance, counseling, or publicizing subcontracting opportunities).]

1. Indirect costs (check one below):

have **not** been included in the goals specified in Items 1 & 2.

have been included in the goals specified in Items 1 & 2.

Explanation of Indirect Cost:

[Supplier will insert a statement explaining the method used to determine the proportionate share of indirect costs to be incurred by subcontracting with small, veteran-owned, service-disabled veteran-owned, HUBZone, small disadvantaged, and women-owned, business concerns.]

1. The following individual will administer the Subcontracting Program on behalf of Supplier:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name: |  | | | |
| Title: |  | | | |
| Street Address: |  | | | |
| Phone Number: |  | Email Address: |  | |
| This individual's specific duties, as they relate to Supplier’s subcontracting program, are as follows: | | | |  |
|  | | | | |
|  | | | | |

General overall responsibility for Supplier’s Small Business Program, the development, preparation and execution of individual subcontracting plans, and for monitoring performance relative to contractual subcontracting requirements contained in this plan.

[Supplier will include a specific list of this individual's duties].

These duties may include:

1. Developing and maintaining bidder’s lists of small and small disadvantaged business concerns from all possible sources.
2. Ensuring that procurement packages are structured to permit small and small disadvantaged business concerns to participate to the maximum extent possible.
3. Assuring inclusion of small and small disadvantaged business concerns in all solicitations for products or services which they are capable of providing.
4. Reviewing solicitations to assure that no statements or clauses are included which may tend to restrict or prohibit small/small disadvantaged business participation.
5. Ensuring that corporate proposal reviewers document reasons for not selecting low bids submitted by small and small disadvantaged business concerns.
6. Ensuring the establishment and maintenance of records of solicitations and subcontract award activity.
7. Attending or arranging for attendance of company counselors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
8. Conducting or arranging for conduct of motivational training for purchasing personnel pursuant to the intent of Public Law 95-507.
9. Monitoring attainment of proposed goals.
10. Preparing and submitting periodic subcontracting reports required.
11. A description of the efforts Supplier will make to assure 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:

[Supplier will include a specific list of this individual's duties].

Such efforts may include:

1. Maintenance of small, small disadvantaged and women-owned small business concerns source lists, guides, and other data identifying small, veteran-owned, service-disabled veteran owned HUBZone, small disadvantaged and women-owned business concerns and utilized by buyers in soliciting subcontracts.
2. Utilization of small, veteran-owned, service-disabled veteran owned, HUBZone, small disadvantaged, and women-owned business source lists by buyers.
3. Efforts to guide and encourage buyers:

(i) Attendance at small and small business concerns workshops, seminars, and training programs to ensure small business concerns have an equitable have an opportunity to compete for subcontracts.

(ii) Monitoring of activities to assure compliance with subcontracting plan.

(iii) Other activities and/or policies.

1. [Insert your Company’s Name] assures that it will include the clause of this subcontract/purchase order entitled "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities, and that Supplier will require all of its subcontractors (except small business concerns) that receive subcontracts in excess of the applicable threshold specified in FAR [19.702](https://www.acquisition.gov/far/19.702#FAR_19_702)(a) on the date of subcontract award, with further subcontracting possibilities to adopt a subcontracting plan that complies with the requirements of FAR 52.219-9.

10. [Insert your Company’s Name] assures that it will—

(i) Cooperate in any studies or surveys as may be required;

(ii) Submit periodic reports so that Ingalls can determine the extent of compliance by Supplier with the subcontracting plan;

(iii) Include subcontracting data for each order when reporting subcontracting achievements for indefinite delivery, indefinite-quantity contracts intended for use by multiple agencies.

(iv) Submit the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with paragraph (1) of this template using the Electronic Subcontracting Reporting System (eSRS) at <http://www.esrs.gov>. The reports shall provide information on subcontract awards to small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, women-owned small business concerns, and Historically Black Colleges and Universities and Minority Institutions. Reporting shall be in accordance with FAR 52.219-9, or as provided in agency regulations;

(v) Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS;

(vi) Provide their UEI number, the applicable Ingalls prime contract number, and the e-mail address of Supplier’s official responsible for acknowledging or rejecting the reports, to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting ISRs; and

(vii) Require that each subcontractor with a subcontracting plan provide the Ingalls prime contract number, its own UEI number, and the e-mail address of the subcontractor responsible for acknowledging or rejecting the reports, to its subcontractors with subcontracting plans.

11. A description of the types of records that Supplier agrees to maintain concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of Supplier’s efforts to locate small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

1. Source Lists (e.g. SAM), guides and other data that identify small business, veteran-owned, service-disabled veteran owned, HUBZone, small business, small disadvantaged business, or women-owned business concerns.
2. Organizations contacted in an attempt to locate sources that are small business, veteran-owned, service-disabled veteran owned, HUBZone, small business, small disadvantaged business, or women-owned business concerns.
3. Records on each subcontract solicitation resulting in an award of more than the simplified acquisition threshold, as defined in FAR 2.101 on the date of the subcontract award, indicating on each solicitation:
4. Whether small business concerns were solicited, and if not, why not;

B. Whether veterans-owned small business concerns were solicited, and if not, why not;

C. Whether service-disabled veterans-owned small business concerns were solicited, and if not, why not;

D. Whether HUBZone small business concerns were solicited, and if not, why not;

E. Whether small disadvantaged business concerns were solicited, and if not, why not;

F. Whether women-owned small business concerns were solicited, and if not, why not; and

G. If applicable, the reason award was not made to a small or small disadvantaged business concern.

1. Records of any outreach efforts to contact –
2. Trade associations;
3. Business development organizations;
4. Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, service-disabled veteran-owned, and women-owned small business sources; and
5. Veterans service organizations.
6. Records of internal guidance and encouragement provided to buyers through –
7. Workshops, seminars, training, etc.; and
8. Monitoring performance to evaluate compliance with the program’s requirements.
9. On a contract by contract basis, records to support award data submitted by Supplier to Ingalls and the Government, including the name, address and business size of each subcontractor. Suppliers having commercial plans need not comply with this requirement.

12. [Insert your Company’s Name] assures that it will make a good faith effort to acquire articles, equipment, supplies, services, or materials, 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 and submitting the bid or proposal. Responding to a request for a quote does not constitute use in preparing a bid or proposal. Supplier used a small business concern in preparing the bid or proposal if–

(i) Supplier identifies the small business concern as a subcontractor in the bid or proposal or associated small business subcontracting plan, to furnish certain supplies or perform a portion of the subcontract; or

(ii) Supplier used the small business concern's pricing or cost information or technical expertise in preparing the bid or proposal, where there is written evidence of an intent or understanding that the small business concern will be awarded a subcontract for the related work if Supplier is awarded this purchase order/subcontract.

13. [Insert your Company’s Name] assures that it will provide Ingalls with a written explanation if Supplier fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in (d)(12) of this clause. This written explanation must be submitted to Ingalls within 30 days of purchase order/subcontract completion.

14. [Insert your Company’s Name] assures that it will not prohibit a subcontractor from discussing with Ingalls any material matter pertaining to payment to or utilization of a subcontractor.

15. [Insert your Company’s Name] assures that it will pay its small business subcontractors on time and in accordance with the terms and conditions of the underlying subcontract, and notify the prime contract contracting officer when Ingalls makes either a reduced or an untimely payment to a small business subcontractor (see [52.242-5](https://www.acquisition.gov/far/52.242-5#FAR_52_242_5)).

|  |  |
| --- | --- |
| Signature: |  |
| Title: |  |
| Company Name: |  |
| Phone No |  |
| Email |  |