

**APPENDIX E
INDIVIDUAL PLAN**

All prime contractors designated in the System for Award Management (SAM) as “Other than Small business”, that hold a contract expected to exceed \$750,000 (\$1.5M for construction) are required to submit an acceptable subcontracting plan with their proposals and/or within the time limit prescribed by the contracting officer. Once accepted, the subcontracting plan will become part of the contract award.

Identification Data:

Company Name: _____

Address: _____

Date Prepared: _____ Solicitation Number: _____

Project Title: _____

Period of Plan: _____

Type of Plan:

Individual 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.

Total Dollar Value of Contract Proposal	
Total Estimated Dollar Value of Subcontract Possibilities	
Total Small Business Subcontracted Dollars	
Total Large Business Subcontracted Dollars	

GOALS:

Total dollars planned to be subcontracted to the following:

Contract	(%) Total Planned Subcontracting	Notes
a. SB:	%	(Includes HUBZone SB, SDB, WOSB, VOSB, SDVOSB, ANC's, and Indian tribes when applicable.)
b. VOSB:	%	
c. SDVOSB:	%	
d. HUBZone:	%	
e. SDB:	%	(Includes ANC's and Indian tribes)
f. WOSB:	%	

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The following dollar values correspond to the percentage goals.

Contract (Total contract value of \$): \$

- a. Total planned subcontracting dollars: \$
- b. Dollars planned to be subcontracted to SB (includes HUBZone SB, SDB, WOSB, VOSB, SDVOSB,): \$
- c. Dollars planned to be subcontracted to VOSB: \$
- d. Dollars planned to be subcontracted to SDVOSB: \$
- e. Dollars planned to be subcontracted to HUBZone SB: \$
- f. Dollars planned to be subcontracted to SDB (includes ANCs and Indian tribes): \$
- g. Dollars planned to be subcontracted to WOSB: \$

If there are SB categories of concern that contain goal of 0%, justification is required to support the need for 0%.

DESCRIPTION OF PRINCIPAL TYPES OF SUPPLIES AND SERVICES TO BE SUBCONTRACTED AND TYPES OF BUSINESSES SUPPLYING

PRINCIPAL SUPPLY/SERVICE	SB	VOS B	SDVOS B	HUBZone SB	SDB	WOSB

METHOD USED TO DEVELOP GOALS

Provide a description of the method used to develop the subcontracting goals for SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB concerns. Address efforts made to ensure that maximum practicable subcontracting opportunities have been made available for those concerns and explain the method used to identify potential sources for solicitation purposes.

DESCRIPTION OF THE METHOD USED TO IDENTIFY POTENTIAL SOURCES FOR SOLICITATION PURPOSES (e.g. existing company (e.g. existing company source lists, SAM, business organizations/trade associations etc.)

Include in this response specific information on how you solicited potential subcontracting opportunities for this specific contract effort, what was your criteria for solicitations.

STATEMENT OF INDIRECT AND OVERHEAD COSTS

Indirect and overhead costs ___ HAVE BEEN or ___ HAVE NOT BEEN included in the dollar and percentage subcontracting goals stated above. (Check one.)

DESCRIPTION OF METHOD USED TO DETERMINE THE PROPORTIONATE SHARE OF INDIRECT COST

If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns:

PROGRAM ADMINISTRATOR:

Name:

Title:

Address:

Telephone:

Email Address:

These individuals' specific duties, as they relate to the overall subcontracting program responsibilities, are as follows: the development, preparation and execution of individual subcontracting plans, and for monitoring performance relative to contractual subcontracting requirements contained in this plan, including but not limited to:

- (a) Development and maintenance of bidders' lists of special business categories from all known sources.
- (b) Ensuring that procurement packages are structured to permit special business concerns to participate to the maximum extent possible, in all categories, in all amounts.
- (c) Ensuring inclusion of small, HUBZone, SDB, VOSB, SDVOSB and WOSB concerns in all solicitations for products or services which they are capable of providing.
- (d) Reviewing solicitations to remove statements, clauses, etc., which may tend to be restrictive or prohibit participation by Small, HUBZone, SDB, VOSB, SDVOSB or WOSB concerns.
- (e) Ensuring periodic rotation of potential subcontractors on bidders lists.
- (f) Ensuring the establishment and maintenance of records of solicitations and subcontract award activity.
- (g) Monitoring attainment of proposed goals.
- (h) Preparing and submitting periodic subcontracting reports, as required.
- (i) Coordinating vendor's activities during the conduct of compliance reviews by federal agencies.
- (j) Coordinating the conduct of vendor's activities involving our HUBZone, small, small disadvantaged and women-owned small business subcontracting program.
- (k) Ensuring compliance with purchase policies and procedures as required by the Board of Regents of NSHE, State of Nevada as required and federal law.

EQUITABLE OPPORTUNITY

This part requires a description of efforts that your company will make to ensure that small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service-disabled veteran-owned small business concerns will have an equitable opportunity to compete for subcontracts. Please indicate which of the following activities your company is engaged in and describe any additional efforts.

A. Outreach efforts to obtain sources:

- ☐ Contacting minority and small business trade associations
- ☐ Contacting business development organizations
- ☐ Requesting sources from the SAM website at <http://www.SAM.gov/> or using the SBA's "Dynamic Small Business Search"
- ☐ Attending small business focused procurement conferences/trade fairs/industry days, including agency specific events

B. Internal efforts to guide and encourage purchasing personnel:

- ☐ Presenting workshops, seminars and training programs
- ☐ Establishing, maintaining and using small, HUBZone small, small disadvantaged, women-owned small, veteran-owned small, and service-disabled veteran-owned small business source lists, guides and other data for soliciting subcontracts
- ☐ Monitoring activities to evaluate compliance with the subcontracting plan
- ☐ Working with the agency Small Business Professional for any potential program improvements, compliance efforts

C. Additional efforts:

FAR CLAUSE 52.219-8, "UTILIZATION OF SMALL BUSINESS CONCERNS"

Offeror Name agrees to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns," in all acquisitions exceeding the simplified acquisition threshold that offers further subcontracting opportunities. All subcontractors (except small business concerns) that receive subcontracts in excess of \$750,000 (\$1,500,000 for construction) must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan."

REPORTING AND COOPERATION FAR 5219-9(D)(10)

Place a check by each statement as assurance that the following will be done

- ☒ (i) Agree to cooperate in any studies or surveys as may be required.
- ☒ (ii) Agree to submit periodic reports so the government can determine the extent of compliance with the subcontracting plan.
- ☒ (iii) Agree to include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite- quantity contracts intended for use by multiple agencies.
- ☒ (iv) Agree to:
 - a. Submit the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with paragraph l of the clause at FAR 52.219-9-9(d)(10)(iv) using the Electronic Subcontracting Reporting System (eSRS) at <http://www.esrs.gov>. The reports shall provide information on subcontract awards to SB concerns (including ANCs and Indian tribes that are not SBs), VOSB concerns, SDVOSB concerns, HUBZone SB concerns, SDB concerns (including ANCs and

Indian tribes that have not been certified by SBA as SDBs), WOSB concerns, HICUs, and MIs. Reporting will be in accordance with the clause at FAR 52.219-9, or as provided in agency regulations.

- X (v) Agree to ensure that my subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS.
- X (vi) Agree to provide this prime contract number, its UEI number, and the email address of our company 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.
- X (vii) Agree to require that each subcontractor with a subcontracting plan provide the prime contract number, its own UEI number, and the email address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans.

RECORDKEEPING FAR 52.219-9(11)

Provide description of the types of records that will be maintained concerning procedures adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the offeror's efforts to locate small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and to award subcontracts to them- the records shall include at least the following

- X Agree to maintain the following records to show compliance with this subcontracting plan:
 - a. Source lists, guides, and other data that identify SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB concerns.
 - b. Records on organizations contacted to locate SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB sources.
 - c. Records on each subcontract solicitation resulting in an award of more than simplified acquisition threshold, indicating:
 - (1) Whether SB concerns were solicited and, if not, why not
 - (2) Whether VOSB concerns were solicited and, if not, why not
 - (3) Whether SDVOSB concerns were solicited and, if not, why not
 - (4) Whether HUBZone SB concerns were solicited and, if not, why not
 - (5) Whether SDB concerns were solicited and, if not, why not
 - (6) Whether WOSB concerns were solicited and, if not, why not
 - (7) If applicable, the reason award was not made to a SB, SDVOSB, VOSB, HUBZone SB, SDB, or WOSB concern
 - d. Records of outreach efforts to contact:
 - (1) Trade associations
 - (2) Business development organizations
 - (3) Conferences and trade fairs to locate SB, HUBZone SB, SDB, SDVOSB, and WOSB sources
 - (4) Veterans service organization
 - e. Records of internal guidance and encouragement provided to buyers through:
 - (1) Workshops, seminars, training, etc.
 - (2) Monitoring performance to evaluate compliance with the program's requirements.

- f. On a contract-by-contract basis, records to support award data submitted to the government, including the name, address, and business size of each subcontractor (does not apply to commercial plans).

ADDITIONAL ASSURANCES (FAR 52.219-9(D)(12)-(15))

Offeror Name 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 the offeror 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. An offeror used a small business concern in preparing the bid or proposal if--

- (i) The offeror 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 contract; or
- (ii) The offeror 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 the offeror is awarded the contract

Offeror Name will provide the contracting officer with 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 paragraph 12 above. This written explanation will be submitted to the contracting officer within 30 days of contract completion.

Offeror Name will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor.

Offeror Name will pay its small business subcontractors on time and in accordance with the terms and conditions of the subcontract, and notify the contracting officer if the offeror pays a reduced or an untimely payment to a small business subcontractor in accordance with FAR 52.242-5.

IMPLEMENTATION OF THE PLAN FAR 52.219-9(e)(1-7)

In order to effectively implement this plan to the extent consistent with efficient contract performance, the *Offeror Name* agrees to perform the following functions:

1. Assist small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns. Where the Contractor's lists of potential small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business subcontractors are excessively long, reasonable effort shall be made to give all such small business concerns an opportunity to compete over a period of time.
2. Provide adequate and timely consideration of the potentialities 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 in all “make-or-buy” decisions.

3. Counsel and discuss subcontracting opportunities with representatives of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business firms.
4. Confirm that a subcontractor representing itself as a HUBZone small business concern is certified by SBA as a HUBZone small business concern in accordance with 52.219-8(d)(2).
5. Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as small, veteran-owned small business, HUBZone small, small disadvantaged or women-owned small business for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the Contractor’s subcontracting plan.
6. For all competitive subcontracts over the simplified acquisition threshold in which a small business concern received a small business preference, upon determination of the successful subcontract offeror, prior to award of the subcontract the Contractor must inform each unsuccessful small business subcontract offeror in writing of the name and location of the apparent successful offeror and if the successful subcontract offeror is a small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concern.
7. Assign each subcontract the NAICS code and corresponding size standard that best describes the principal purpose of the subcontract.

This subcontracting plan was submitted by:

Signature:

Printed Name:

Title:

Email:

Date:

This subcontracting plan was accepted by:

Signature:

Printed Name:

Title: Contracting Officer

Date: