**Small Business Individual Subcontracting Plan**

The following Subcontract Plan meets the minimum requirements as implemented by the Federal Acquisition Regulations (FAR) Subpart 19.704 Subcontracting Plan Requirements and FAR 52.219-9 Small Business Subcontracting Plan.  A subcontracting Plan is required if the estimated cost of the contract may exceed $700,000.

|  |  |
| --- | --- |
| **SOLICITATION NUMBER:** | **XXXXXXX** |
| **DATE OF PLAN:** | **XXXXXX** |
| **CONTRACTOR:** | **University of Notre Dame du Lac** |
| **ADDRESS:** | **940 Grace Hall** |
| **STATE/ZIP CODE:** | **Notre Dame, Indiana 46556** |
| **DUNN & BRADSTREET NUMBER:** | **82-491-0376** |
| **ITEM/SERVICE:** | **XXXXXXX** |
| **PERIOD OF PERFORMANCE:** | **XXXXXXX** |

**1. ACQUISITION:**

**Total dollar value of contract proposal including all options: $ XXXX**

**Total estimated dollar value of subcontract possibilities: $XXXX**

**Total Small Business Subcontracted dollars: $ XXX**

**2. GOALS:**

**Total dollars planned to be subcontracted to the following:**

Small Business (SB): $XXX

Veteran Owned Small Business (VOSB): $XXX

Service Disabled Veteran Owned Small Business (SDVOSB): $XXX

HUBzone Small Business: $XXX

Small Disadvantage Business (SDB): $XXX

Women Owned Small Business (WOSB) $XXX

**Total % planned to be subcontracted to the following:**

Small Business (SB): X%

Service Disabled Veteran Owned Small Business (SDVOSB): X%

HUBzone Small Business: X%

Small Disadvantage Business (SDB): X%

Women Owned Small Business (WOSB) X%

These percentages shall be expressed as percentages of the total estimated subcontracting dollars.

1. **Type of Plan (check one)**

 X **Individual plan** (all elements developed specifically for this contract and applicable for the full term of this contract).

**Master plan** (goals developed for this contract) all other elements standardized and approved by a lead agency Federal Official; must be renewed every three years and contractor must provide copy of lead agency approval.

**Commercial products/service plan** (goals are negotiated with the initial agency on a company-wide basis rather than for individual contracts) this plan applies to the entire production of commercial service or items or a portion thereof. The contractor sells commercial products and services customarily used for non-government purposes.  The plan is effective during the offeror’s fiscal year (attach a copy). 

**Small Business/ Small Business Concern Representation:**

What percent of the total contract value was recommended in the solicitation XX %

Yes NoDoes the TOTAL Small Business Subcontracting Percentage meet the requirements of the solicitation? If no please provide an explanation.

Type Explanation: XXXXXXX

**3. DESCRIPTION OF PRODUCTS/SERVICES:**

A description of ALL Supplies/Services to be subcontracted under this contract are as follows:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Supplies/Service Description | Business Name | Business Size | | Estimated Dollar amount |
| Small | Large |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

*If none provide explanation below:*

i.   Provide a description of ALL the products and/or services to be subcontracted under this contract, and indicate the size and type of business supplying them (check all that apply):

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Products and/or Services** | | **Other** | **Small Business** | **SDB** | **WOSB** | **Hubzone** | **VOSB** | **SDVOSB** |
| 1 | Professional Travel | X | X | X | X | X | X | X |
| 2 | Other Direct Costs   * Printing * Advertising | X | X | X | X | X | X | X |

ii.   Provide a description of the method used to develop the subcontracting goals for SB, SDB, WOSB, HUBZone 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.  Explain the method and state the quantitative basis (in dollars) used to establish the percentage goals.  Also, explain how the areas to be subcontracted to SB, WOSB, HUBZone, VOSB and SDVOSB concerns were determined, how the capabilities of these concerns were considered contract opportunities and how such data comports with the cost proposal.  Identify any source lists or other resources used in the determination process.  (Attach additional sheets, if necessary.)

Although Small Business, Small Disadvantaged Business, Women-Owned Small Business, HUBZone Small Business, Veteran-Owned Small Business, and Service-Disabled Small Business, provide many of the items identified above, a large part of the items will come from travel and outreach expenses. We will make every effort to include Small Business vendors in our purchases. We have reviewed a list of suppliers on SAM.gov and web.sba.gov online databases. List of these suppliers can be provided on request.

iii.  Indirect costs have have not X been included in the dollar and percentage subcontracting goals above (check one).

iv.   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:

X percent at this time has been proposed as noted in table above.

**3.**  **Program Administrator:**

NAME:                   Gilberto Carles

TITLE:                   Senior Director of Procurement Services

ADDRESS:             705 Grace Hall, Notre Dame, IN 46556

E-MAIL:                 574-631-0946 / [gcarlesb@nd.edu](mailto:gcarlesb@nd.edu)

**Duties**:  Does the individual named above have general overall responsibility for the company’s subcontracting program, i.e., developing, preparing, and executing subcontracting plans and monitoring performance relative to the requirements of those subcontracting plans and perform the following duties?

Yes X No

(If NO is checked, please indicate who in the company performs those duties, or indicate why the duties are not performed in your company on a separate sheet of paper and submit with the proposed subcontracting plan.)

* 1. Developing and promoting company‑wide policy initiatives that demonstrate the company’s support for awarding contracts and subcontracts to SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns; and for assuring that these concerns are included on the source lists for solicitations for products and services they are capable of providing; X Yes No
  2. Developing and maintaining bidder source lists of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns from all possible sources; Yes  X No
  3. Ensuring periodic rotation of potential subcontractors on bidder’s lists; Yes X  No
  4. Assuring that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB businesses are included on the bidders’ list for every subcontract solicitation for products and services that they are capable of providing.  Yes X No
  5. Ensuring that Requests for Proposals (RFPs) are designed to permit the maximum practicable participation of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns.  Yes  X No
  6. Reviewing subcontract solicitations to remove statements, clauses, etc., which might tend to restrict or prohibit small, 8(a), SDB, WOSB, HUBZone, VOSB and SDVOSB small business participation.  Yes X No
  7. Accessing various sources for the identification of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns to include the Central Contractor Registration (<https://www.sam.gov/portal/public/SAM/>), local small business and minority associations, local chambers of commerce and Federal agencies’ Small Business Offices; .  Yes X No
  8. Establishing and maintaining contract and subcontract award records; Yes X No
  9. Participating in Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc; Yes X No
  10. Ensuring that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns are made aware of subcontracting opportunities and assisting concerns in preparing responsive bids to the company;  Yes X No
  11. Conducting or arranging for the conduct of training for purchasing personnel regarding the intent and impact of Section 8(d) of the Small Business Act, as amended;

Yes X No

* 1. Monitoring the company’s subcontracting program performance and making any adjustments necessary to achieve the subcontract plan goals;  Yes X No
  2. Preparing and submitting timely, required subcontract reports;   Yes X No
  3. Conducting or arranging training for purchasing personnel regarding the intent and impact of 8(d) of the Small Business Act on purchasing Procedures;

Yes X No

* 1. Coordinating the company’s activities during the conduct of compliance reviews by Federal agencies; and

Yes X No

* 1. Other duties:

**4.**  **Equitable Opportunity**

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

**a. Outreach efforts to obtain sources:**

* 1. Contact minority and small business trade associations;
  2. Contact business development organizations and local chambers of commerce;
  3. Attend SB, SDB, WOSB, HUBZone, VOSB and SDVOSB procurement conferences and trade fairs;
  4. Review sources from the Central Contractor Registration (<https://www.sam.gov/portal/public/SAM/>);
  5. Review sources from the Small Business Administration (SBA), Central Contractor Registration (CCR);
  6. Consider using other sources such as the National Institutes of Health (NIH) e-Portals in Commerce, (e-PIC). The NIH e-PIC is not a mandatory source; however, it may be used at the offeror’s discretion; and
  7. Utilize newspaper and magazine ads to encourage new sources.

**b. Internal efforts to guide and encourage purchasing personnel:**

* 1. Conduct workshops, seminars and training programs;
  2. Establish, maintain, and utilize SB, SDB, WOSB, HUBZone, VOSB and SDVOSB source lists, guides, and other data for soliciting subcontractors; and
  3. Monitor activities to evaluate compliance with the subcontracting plan.

 Additional efforts: Sources used to determine small and disadvantaged businesses include the University of Notre Dame Procurement Services, the SAM.gov website, the Chamber of Commerce of St. Joseph County, as well as the SBA.gov website (web.sba.gov)

**5.**  **Flow Down Clause**

 The contractor 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 $700,000 ($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.”  Note:  In accordance with FAR 52.212-5(e) and 52.244-6(c) the contractor is not required to include flow-down clause FAR 52.219.-9 if it is subcontracting commercial items.

**6.**  **Reporting and Cooperation**

 The contractor gives assurance of 1) cooperation in any studies or surveys that may be required; 2) submission of periodic reports which illustrate compliance with the subcontracting plan; 3) submission of its Individual Subcontracting Report (ISR) and Summary Subcontract Report (SSR); and 4) subcontractors submission of ISRs and SSRs.  **ISRs and SSRs shall be submitted via the Electronic Subcontracting Reporting System (eSRS) website** [**https://esrs.symplicity.com/index?\_tab=signin&cck=1**](https://esrs.symplicity.com/index?_tab=signin&cck=1)

|  |  |  |
| --- | --- | --- |
| **Reporting Period** | **Report Due** | **Due Date** |
| Oct 1 - Mar 31 | ISR | 4/30 |
| Apr 1 - Sept 30 | ISR | 10/30 |
| Oct 1 - Sept 30 | SSR | 10/30 |
| Contract Completion | Year End SDB Report | 30 days after completion |

Please refer to FAR Part 19.7 for instruction concerning the submission of a Commercial Plan:  SSR is due on 10/30 each year for the previous fiscal year ending 9/30.

1. Submit ISR (bi-annually) for the awarding Contracting Officer’s review and acceptance via the eSRS website.
2. Currently, SSR (annually) must be submitted for the HHS eSRS Agency Coordinator review and acceptance via the eSRS website.  (***Note****:* Log onto the OSDBU website to view the HHS Agency Coordinator contact information (<http://www.hhs.gov/about/smallbusiness/osdbustaff.html>).

**Note:**  The Request for Proposal (RFP) will indicate whether a subcontracting plan is required.  Due to the nature and complexity of many HHS contracts, particularly the Centers for Medicare and Medicaid (CMS), the contractor may not be required to submit its subcontracting reports through the eSRS.   The Contracting Officer will confirm reporting requirements prior to the issuance of an award.  For more information, contact Courtney Carter, Agency Coordinator-eSRS (Courtney.Carter@hhs.gov).

**7.  Record keeping**

 FAR 19.704(a) (11) requires a list of the types of records your company will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan.  The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan.  These records will include, but not be limited to, the following:

1. SB, SDB, WOSB, HUBZone, VOSB and SDVOSB source lists, guides and other data identifying such vendors;
2. Organizations contacted in an attempt to locate SB, SDB, WOSB, HUBZone, VOSB and SDVOSB sources;
3. On a contract‑by‑contract basis, records on all subcontract solicitations over $100,000, which indicate for each solicitation (1) whether SB, SDB, WOSB, HUBZone, VOSB and/or SDVOSB concerns were solicited, if not, why not and the reasons solicited concerns did not receive subcontract awards;
4. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
5. Records to support internal guidance and encouragement provided to buyers through (1) workshops, seminars, training programs, incentive awards; and (2) monitoring performance to evaluate compliance with the program and requirements; and
6. On a contract‑by‑contract basis, records to support subcontract award data including the name, address, and business type and size of each subcontractor. (This is not required on a contract–by–contract basis for commercial plans.)
7. Other records to support your compliance with the subcontracting plan: (Please describe)

**8.  Timely Payments to Subcontractors**

 FAR 19.702 requires your company to establish and use procedures to ensure the timely payment of amounts due pursuant to the terms of your subcontracts with SB concerns, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns.

Your company has established and used such procedures:  X Yes \_\_ No

**9.  Description of Good Faith Effort**

Maximum practicable utilization of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns as subcontractors in Government contracts is a matter of national interest with both social and economic benefits**.** When a contractor fails to make a good faith effort to comply with a subcontracting plan, these objectives are not achieved, and 15 U.S.C. 637(d) (4) (F) directs that liquidated damages shall be paid by the contractor.  In order to demonstrate your compliance with a good faith effort to achieve the SB, SDB, WOSB, HUBZone, VOSB and SDVOSB small business subcontracting goals, outline the steps your company plans to take.  These steps will be negotiated with the contracting official prior to approval of the plan.

The University of Notre Dame will make a good faith effort to ensure that the goals of the subcontracting plan are achieved. This will include utilizing, when feasible, the identified suppliers with this plan and if other suppliers are needed, Notre Dame will identify alternatives using various sources such as sam.gov, web.sba.gov, etc.

**SIGNATURE PAGE**

 Signatures Required:

**This subcontracting plan was submitted by:**

Signature:

Typed/Print Name: Gilberto Carles

Title:                     Senior Director of Procurement Services

Date:

**This plan was reviewed by:**

Signature:

Typed/Print Name:

Title:          Date:

**This plan was reviewed by:**

Signature:

Typed/Print Name:

Title:                     Small Business Specialist              Date:

**This plan was reviewed by:**

Signature:

Typed/Print Name:

Title:                     Small Business Administration Procurement Center Representative

Date:

**This plan was approved by:**

Signature:

Typed/Print Name:

Title:                     Contracting Officer                             Date: