**MODEL SMALL BUSINESS SUBCONTRACTING PLAN INSTRUCTIONS**

## The following instructions, Sample Model Small Business Subcontracting Plan, and Attachment A are provided to assist Subcontractors in complying with the small business subcontracting plan requirements for Lawrence Livermore National Security, LLC (“LLNS”) Subcontracts.

**All required small business subcontracting plan documents must be submitted to the LLNS Contract Analyst.**

**The following pertains to Section 1, Subcontracting Goals, of the Model Small Business Subcontracting Plan.**

1. Subcontracts that do not have priced options: 1) use the total subcontract value for the “Total Value of Base Period” under Section 1.a.; 2) “Associated Percentage of Subcontract Total Estimated Value, including priced options” and “Associated Percentage of Subcontract Total Estimated Value, including priced options” will be the same percentage in Section 1.a.; and 3) Section 1.b. is not applicable.
2. “Total Planned Subcontracted Dollars – all business concerns (LB & SB)” are the total planned dollars to be subcontracted in a specified period. This includes subcontracting to large businesses and small businesses.
3. To calculate the “Associated Percentage of the Total Value” for a specified period (i.e., Base Period, Option Year), divide the “Total Planned Subcontracted Dollars - ***all*** business concerns (LB and SB)” for the specified period by the “Total Value” of the same period.
4. To calculate the “Associated Percentage of the Subcontract Total Estimated Value”, divide the “Total Planned Subcontracted Dollars for ***all*** business concerns (LB and SB)” for the specified period by the “Subcontract Total Estimated Value, including priced options (as applicable)”.
5. To calculate the percentages for Column A, divide the “Total Planned Subcontracted Dollars for each of the business concerns” by the “Total Planned Subcontracted Dollars for ***all*** business concerns (LB and SB)” for the specified period.
6. To calculate the percentages for Column B, divide the “Total Planned Subcontracted Dollars” for each of the business concerns by the “Subcontract Total Estimated Value, including priced options (as applicable)”.
7. Use Attachment A for Subcontracts that include more than one priced option.

**MODEL**

**SMALL BUSINESS SUBCONTRACTING PLAN**

Date:

Contracting Agency: Lawrence Livermore National Security, LLC (LLNS)

7000 East Avenue / P.O. Box 5012

Livermore, CA 94550/94551

LLNS Subcontract Number:

Subcontract Short Description:

Offeror / Subcontractor:

Street Address / P.O. Box:

City, State, Zip:

Subcontract Total Estimated Value,

including priced options (as applicable):

Period of Performance,

including options (as applicable):

Check One:

|  |  |
| --- | --- |
| Individual Subcontracting Plan | Master Subcontracting Plan |

The following, together with any attachments, is hereby submitted to satisfy applicable requirements of the above referenced Subcontract for a Small Business Subcontracting Plan (“Plan”). The meaning of terms used in this Plan shall be as defined in the Subcontract.

1. *Subcontracting Goals*: The following section represents the Offeror’s/Subcontractor’s goals for planned total dollars to be subcontracted and the associated percentages for the following business concerns: Large Business **(LB)**; Small Business **(SB)**; Small Disadvantaged Business **(SDB)**; Women-owned Small Business **(WOSB)**; HUBZone Small Business **(HZSB)**; Veteran-Owned Small Business **(VOSB)**; and Service-Disabled Veteran-Owned Small Business **(SDVOSB)**. *(The Plan may include all lower-tier subcontracts that contribute to Subcontract performance, and a proportionate share of goods and services that are normally allocated as indirect costs. See 6., Indirect Costs.)*

Note: Subcontracts awarded to an Alaska Native Corporation (ANC) or Indian tribe shall be counted towards the subcontracting goals for SB and SDB concerns, regardless of the size or Small Business Administration (SBA) certification status of the ANC or Indian tribe.

1. **Base Subcontract Year/Period**

|  |  |
| --- | --- |
| Total Value of Base Period of the LLNS Subcontract: | $ |
| Total Planned Subcontracted Dollars – all business concerns (LB & SB): | $ |
| Associated Percentage of Total Value of Base Period: | % |
| Associated Percentage of Subcontract Total Estimated Value, including priced options (Note: For subcontracts that do not have priced options, this percentage will be the same as the Associated Percentage of Total Value of the Base Period): | % |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Column (A) | Column (B) |
|  | Total Planned  Subcontracted Dollars ($) | Associated Percentage (%) of Total Planned Subcontracted Dollars – all business concerns (LB and SB) | Associated Percentage (%) of Subcontract Total Estimated Value, including priced options |
| **LB** concerns | $ | % | % |
| **All SB concerns**  (SB, SDB, WOSB, HZSB, VOSB, SDVOSB,  ANCs, and Indian tribes when applicable) | $ | % | % |
| **SDB**: (includes ANCs and Indian tribes when applicable) | $ | % | % |
| **WOSB** | $ | % | % |
| **HZSB** | $ | % | % |
| **VOSB** | $ | % | % |
| **SDVOSB** | $ | % | % |

1. **Option Year 1**

|  |  |
| --- | --- |
| Total Value of Option Year 1 of the LLNS Subcontract: | $ |
| Total Planned Subcontracted $ – all business concerns (LB & SB) – Option Yr 1: | $ |
| Associated Percentage of Total Value of Option Year 1: | % |
| Associated Percentage of Subcontract Total Estimated Value, including priced options: | % |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Column (A) | Column (B) |
|  | Total Planned  Subcontracted Dollars ($) | Associated Percentage (%) of Total Planned Subcontracted Dollars – all business concerns (LB and SB) – Option Year 1 | Associated Percentage (%) of Subcontract Total Estimated Value, including priced options |
| **LB** concerns | $ | % | % |

|  |  |  |  |
| --- | --- | --- | --- |
| **All SB concerns**  (SB, SDB, WOSB, HZSB, VOSB, SDVOSB,  ANCs, and Indian tribes when applicable) | $ | % | % |
| **SDB**: (includes ANCs and Indian tribes when applicable) | $ | % | % |
| **WOSB** | $ | % | % |
| **HZSB** | $ | % | % |
| **VOSB** | $ | % | % |
| **SDVOSB** | $ | % | % |

(See Attachment A for additional Option Years.)

NOTE: The Offeror / Subcontractor, acting in good faith, may rely upon written representations by its subcontractors regarding their business status. However, Small Business Administration (SBA) certification is required in order to qualify as an **HZSB**.

2. The following is a brief description of the principal types of goods, supplies, and services to be subcontracted, and those that are planned to be subcontracted to SB, SDB, WOSB, HZSB, VOSB and SDVOSB concerns (collectively referred to as “all SB concerns”).

|  |  |
| --- | --- |
| Item Description (Goods/Supplies/Services) | Business Type |
|  |  |
|  |  |
|  |  |
|  |  |

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

3. The following is a description of the method(s) used to develop the *Subcontracting Goals* in paragraph 1, above.

|  |
| --- |
| Method(s) Used to Develop Goals |
|  |
|  |
|  |
|  |

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

4. The following is the method(s) used to identify potential sources for solicitation purposes (check all that apply). *(Note: A firm may rely upon the information contained in the System for Award Management (SAM) database as an accurate representation of a business concern's size and ownership characteristics for the purposes of maintaining a SB, SDB, WOSB, HZSB, VOSB and SDVOSB source list, but will not relieve a firm of its responsibilities; i.e., outreach, assistance, counseling, publicizing subcontracting opportunities, etc.)*

|  |  |
| --- | --- |
|  | Company Source Lists |
|  | SAM database <https://sam.gov> |
|  | Veteran Service Organizations |
|  | National Minority Purchasing Council Vendor Information Service |
|  | U.S. Department of Commerce Minority Business Development Agency’s Research and Information Division |
|  | SB, HUBZone SB, SDB, and WOSB Trade Associations |
|  | SBA’s List of Certified SDB and HSB Concerns |
|  | SB and Minority Business trade fairs or conferences |
|  | Other (provide explanation): |

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

5. To the best of its knowledge, the Offeror / Subcontractor submits the following specific information pertaining to the small businesses included in the *Subcontracting Goals* in paragraph 1, above.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Small Business  Name | Street Address | City, State, Zip | Phone | Business Type |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

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

6. *Indirect Costs*: Are indirect costs included in the *Subcontracting Goals*?

Yes  No

If included, please describe the method(s) used to determine the proportionate share of indirect costs to be incurred with *all* **SB** concerns.

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

7. The following is a description of the duties of the individual employed by the Offeror/ Subcontractor to administer its Subcontracting Program:

The individual will be responsible for reviewing, monitoring, and providing general, overall execution of the Offeror’s / Subcontractor’s Subcontracting Program, including, but not limited to the following:

a. Obtaining SB, SDB, WOSB, HZSB, VOSB and SDVOSB sources from all applicable agencies such as SBA;

b. Ensuring inclusion of all **SB** concerns sources in all solicitations where appropriate;

c. Attending or arranging for attendance at business opportunity workshops, minority business enterprise seminars, trade fairs, etc.;

d. Conducting or arranging for conduct of motivational training for purchasing personnel pursuant to the intent of the Small Business Act and the Historically Underutilized Business Zone Act;

e. Monitoring attainment of proposed goals;

f. Reviewing solicitations to remove statements, clauses, etc., which may tend to prohibit **SB** concerns participation; and

g.

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

8. The following is a description of the efforts the Subcontractor will make to ensure that *all* **SB** concerns will have an equitable opportunity to compete for subcontracts:

a. Outreach efforts will be made as follows:

1) Contacts with SBA.

2) Contacts with minority and small business service and trade associations.

3) Contacts with business development organizations.

4) Attendance at small/minority/veteran/woman business procurement conferences and trade fairs.

5) Contacts with veterans service organizations.

6) Contacts with women’s business organizations.

7) Using SAM database to research sources.

b. The following internal efforts will be made to guide and encourage buyers:

1) Workshops, seminars, and training programs will be conducted.

2) Activities will be monitored to evaluate compliance with this Subcontracting Plan.

c. Source lists, guides, and other data identifying *all* **SB** concerns will be maintained and utilized by buyers in soliciting subcontracts.

d.

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

1. The Offeror / Subcontractor will include the “*Utilization of Small Business Concerns*” clause of the Federal Acquisition Regulation (FAR) (clause 52.219-8) in all subcontracts which offer further subcontracting opportunities, and to require all subcontractors (except **SB** concerns) that receive subcontracts in excess of $750,000 ($1,500,000 for construction) to adopt a Subcontracting Plan similar to this one.

10. The Offeror / Subcontractor will:

a. cooperate in any studies or surveys as may be required;

b. submit data electronically into the Electronic Subcontracting Reporting System (eSRS) at [www.esrs.gov](https://llapp.llnl.gov/enterprise/livelink/4907165/www.esrs.gov) in order to allow the government to determine the extent of compliance by the Subcontractor with this Subcontracting Plan;

c. submit the Individual Subcontract Reports (ISRs), and/or the Summary Subcontract Reports (SSRs) (formerly SF 295), in accordance with paragraph 1 of the clause at FAR 52.219-9 or as provided in agency regulations and in the Subcontract;

d. submit the ISR semi-annually during subcontract performance for the periods ending March 31 and September 30, within 30 days after the close of each reporting period unless otherwise directed by the LLNS Contract Analyst or designee;

e. submit the required report(s) within 30 days of subcontract completion;

f. submit the required report(s) regardless of whether there has been any subcontracting activity since the inception of the subcontract or the previous reporting period;

g. promptly address any notices of ISR and/or SSR rejection received and submit the revised report(s) within 30 days of receiving a notice of rejection;

h. submit the SSR annually by October 30 for the twelve-month period ending September 30;

i. ensure its subcontractors agree to submit the ISRs and/or SSRs using eSRS.gov;

j. provide this subcontract number, its Data Universal Numbering System (DUNS) number, and the email address of its company officer responsible for acknowledging receipt or our rejecting the ISRs, to all lower-tiered subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting ISRs; and

k. require that each lower-tiered subcontractor with a subcontracting plan provide this subcontract number, its own DUNS number, and the email address of its company officer responsible for acknowledging receipt of or rejecting the ISRs, to its lower-tiered subcontractors with subcontracting plans.

11. The Offeror / Subcontractor will maintain records demonstrating procedures have been adopted to comply with the requirements and goals in this Plan. The records shall include at least the following on a plant-wide or company-wide basis, unless otherwise indicated:

a. Source lists (e.g., SAM), guides, and other data identifying **SB** concerns.

b. Organizations contacted in an attempt to locate sources that are identifying **SB** concerns.

c. Records on each subcontract solicitation resulting in an award of more than $150,000 indicating: (1) whether **SB** concerns were solicited and, if not, why not; (2) whether **SDB** concerns were solicited and, if not, why not; (3) whether **WOSB** concerns were solicited and, if not, why not; (4) whether **HZSB** concerns were solicited and, if not, why not; (5) whether **VOSB** concerns were solicited and, if not, why not; (6) whether **SDVOSB** concerns were solicited and if not, why not; and (7) if applicable, the reason why an award was not made to a **SB** concern.

d. Records of any outreach efforts to contact: (1) trade associations; (2) business development organizations; and (3) conferences and trade fairs to locate **SB** concerns sources.

e. Records of internal guidance and encouragement provided to buyers through: (1) workshops, seminars, training programs, etc.; and (2) monitoring performance to evaluate compliance with the program’s requirements.

f. On a subcontract-by-subcontract basis, records to support award data submitted by the Offeror / Subcontractor to the government, including the name, address, and business size of each subcontractor. *(Note: Not applicable to Offerors / Subcontractors with commercial Small Business Subcontracting Plans.)*

g. Records to be maintained in addition to the above are as follows:

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

12. The Offeror / Subcontractor will make a good faith effort to acquire articles, equipment, supplies, services, or materials, or obtain the performance of construction work from the **SB** concerns that were 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. The **SB** concerns used in preparing the bid or proposal include:

a. Any **SB** concerns identified 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

b. Any **SB** concerns whose pricing or cost information or technical expertise were used in preparing the bid or proposal, where there is written evidence of an intent or understanding that the SB concern will be awarded a subcontract for the related work if the Offeror / Subcontractor is awarded the subcontract.

13. The Offeror / Subcontractor will provide a written explanation if it fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in section 12. The Offeror / Subcontractor will submit this explanation to LLNS within 30 days osamf subcontract completion.

14. The Offeror / Subcontractor will not prohibit a lower-tiered subcontractor from discussing with the LLNS Contract Analyst any material matter pertaining to payment to or utilization of a lower-tiered subcontractor.

15. The Offeror / Subcontractor will pay its lower-tiered SB subcontractors on time and in accordance with the terms and conditions of the Subcontract. The Offeror / Subcontractor will notify the LLNS Contract Analyst if it pays a reduced amount or makes an untimely payment to a lower-tiered SB subcontractor.

Preparer’s Name & Title:

Street Address / P.O. Box:

City, State, Zip:

|  |  |  |  |
| --- | --- | --- | --- |
| Phone / FAX / E Mail: |  |  |  |

SIGNATURE:

Is the administrator of this Plan, as identified above, the same individual as the preparer of this form?

Yes  No

If “No”, please provide the information below.

Administrator’s Name & Title:      

Street Address / P.O. Box:

City, State, Zip:

|  |  |  |  |
| --- | --- | --- | --- |
| Phone / FAX / E Mail: |  |  |  |

SIGNATURE:

(END OF PLAN)

**Small Business Subcontracting Plan**

**Attachment A**

1. **Option Year 2**

|  |  |
| --- | --- |
| Total Value of Option Year 2 of the LLNS Subcontract: | $ |
| Total Planned Subcontracted $ – all business concerns (LB & SB) – Option Yr 2: | $ |
| Associated Percentage of Total Value of Option Year 2: | % |
| Associated Percentage of Subcontract Total Estimated Value, including priced options: | % |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Column (A) | Column (B) |
|  | Total Planned  Subcontracted Dollars ($) | Associated Percentage (%) of Total Planned Subcontracted Dollars – all business concerns (LB and SB) – Option Year 2 | Associated Percentage (%) of Subcontract Total Estimated Value |
| **LB** concerns | $ | % | % |
| **All SB concerns**  (SB, SDB, WOSB, HZSB, VOSB, SDVOSB,  ANCs, and Indian tribes when applicable) | $ | % | % |
| **SDB**: (includes ANCs and Indian tribes when applicable) | $ | % | % |
| **WOSB** | $ | % | % |
| **HZSB** | $ | % | % |
| **VOSB** | $ | % | % |
| **SDVOSB** | $ | % | % |

1. **Option Year 3**

|  |  |
| --- | --- |
| Total Value of Option Year 3 of the LLNS Subcontract: | $ |
| Total Planned Subcontracted $ – all business concerns (LB & SB) – Option Yr 3: | $ |
| Associated Percentage of Total Value of Option Year 3: | % |
| Associated Percentage of Subcontract Total Estimated Value, including priced options: | % |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Column (A) | Column (B) |
|  | Total Planned  Subcontracted Dollars ($) | Associated Percentage (%) of Total Planned Subcontracted Dollars – all business concerns (LB and SB) – Option Year 3 | Associated Percentage (%) of Subcontract Total Estimated Value |
| **LB** concerns | $ | % | % |
| **All SB concerns**  (SB, SDB, WOSB, HZSB, VOSB, SDVOSB,  ANCs, and Indian tribes when applicable) | $ | % | % |
| **SDB**: (includes ANCs and Indian tribes when applicable) | $ | % | % |
| **WOSB** | $ | % | % |
| **HZSB** | $ | % | % |
| **VOSB** | $ | % | % |
| **SDVOSB** | $ | % | % |

1. **Option Year 4**

|  |  |
| --- | --- |
| Total Value of Option Year 1 of the LLNS Subcontract: | $ |
| Total Planned Subcontracted $ – all business concerns (LB & SB) – Option Yr 4: | $ |
| Associated Percentage of Total Value of Option Year 4: | % |
| Associated Percentage of Subcontract Total Estimated Value, including priced options: | % |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Column (A) | Column (B) |
|  | Total Planned  Subcontracted Dollars ($) | Associated Percentage (%) of Total Planned Subcontracted Dollars – all business concerns (LB and SB) – Option Year 4 | Associated Percentage (%) of Subcontract Total Estimated Value |
| **LB** concerns | $ | % | % |
| **All SB concerns**  (SB, SDB, WOSB, HZSB, VOSB, SDVOSB,  ANCs, and Indian tribes when applicable) | $ | % | % |
| **SDB**: (includes ANCs and Indian tribes when applicable) | $ | % | % |
| **WOSB** | $ | % | % |
| **HZSB** | $ | % | % |
| **VOSB** | $ | % | % |
| **SDVOSB** | $ | % | % |