



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-1000

SUBCONTRACTING PLAN

SOLICITATION or CONTRACT NUMBER: _____

The U.S. Department of Housing and Urban Development recommends that offerors use the following format to submit proposed Individual Subcontracting Plans, including modifications. While this template has been designed to be consistent with Federal Acquisition Regulation (FAR) 52.219-9, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this model may be cause for either a delay in acceptance or the rejection of a bid or offer where the clause is applicable. Further, the use of this template is not intended to waive other requirements that may be applicable under FAR 52.219-9 or that may appear in the Government's solicitation. This template is not intended to replace any existing Corporate/Commercial Plan that is more extensive.

Contractor: _____

Address: _____

DUNN & BRADSTREET (DUNS) NUMBER: _____

Approximate Value of Contract: _____

Item/Service (Description): _____

Select Subcontracting Plan Type:

- () **Individual Plan:** 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.



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- () **Master Plan:** Contains all the required elements of an individual contract plan, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved. However, as the contractor receives government contracts requiring subcontracting plans, it develops goals specific for each plan.
- () **Commercial Plan:** Covers the offeror's fiscal year (including goals) and applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division, plant, or product line).

(1) – GOALS

State the percentage of total planned subcontracting dollars that will go to all Small Business (SB) concerns, Historically Underutilized Business Zone (HUBZone) SB concerns, Small Disadvantaged Business (SDB) concerns, Woman-Owned SB (WOSB) concerns, Veteran-Owned SB (VOSB) concerns, and Service-Disabled Veteran-Owned SB (SDVOSB) concerns.

Zero dollars is not an acceptable goal for the SB, SDB, WOSB, HUBZone, VOSB or SDVOSB categories since this does not demonstrate a good faith effort throughout the period of performance of the contract.

NOTE: For contracts containing options, the percentage goals and dollars must be shown separately for the basic contract period and for EACH option period.

All subcontracts that contribute to contract performance must be included, and a proportionate share of products and services that are normally allocated as indirect costs may be included.

Subcontracts awarded to an Alaska Native Corporation (ANC) or Indian tribe must 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.

Basic Contract – Year 1 (Performance Period: MM/DD/YYYY – MM/DD/YYYY):

- | | | |
|----------------|---------|---|
| a. SB: | _____ % | (Includes HUBZone SB, SDB, WOSB, VOSB, and SDVOSB when applicable.) |
| b. HUBZone SB: | _____ % | |
| c. SDB: | _____ % | (Includes ANCs and Indian tribes) |
| d. WOSB: | _____ % | |
| e. VOSB: | _____ % | |
| f. SDVOSB: | _____ % | |



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Option – Year 2 (Performance Period: MM/DD/YYY – MM/DD/YYYY):

- | | | |
|----------------|---------|---|
| a. SB: | _____ % | (Includes HUBZone SB, SDB, WOSB, VOSB, and SDVOSB when applicable.) |
| b. HUBZone SB: | _____ % | |
| c. SDB: | _____ % | (Includes ANCs and Indian tribes) |
| d. WOSB: | _____ % | |
| e. VOSB: | _____ % | |
| f. SDVOSB: | _____ % | |

Option – Year 3 (Performance Period: MM/DD/YYY – MM/DD/YYYY):

- | | | |
|----------------|---------|---|
| a. SB: | _____ % | (Includes HUBZone SB, SDB, WOSB, VOSB, and SDVOSB when applicable.) |
| b. HUBZone SB: | _____ % | |
| c. SDB: | _____ % | (Includes ANCs and Indian tribes) |
| d. WOSB: | _____ % | |
| e. VOSB: | _____ % | |
| f. SDVOSB: | _____ % | |

Option - Year 4 (Performance Period: MM/DD/YYY – MM/DD/YYYY):

- | | | |
|----------------|---------|---|
| a. SB: | _____ % | (Includes HUBZone SB, SDB, WOSB, VOSB, and SDVOSB when applicable.) |
| b. HUBZone SB: | _____ % | |
| c. SDB: | _____ % | (Includes ANCs and Indian tribes) |
| d. WOSB: | _____ % | |
| e. VOSB: | _____ % | |
| f. SDVOSB: | _____ % | |

Option - Year 5 (Performance Period: MM/DD/YYY – MM/DD/YYYY):

- | | | |
|----------------|---------|---|
| a. SB: | _____ % | (Includes HUBZone SB, SDB, WOSB, VOSB, and SDVOSB when applicable.) |
| b. HUBZone SB: | _____ % | |
| c. SDB: | _____ % | (Includes ANCs and Indian tribes) |
| d. WOSB: | _____ % | |
| e. VOSB: | _____ % | |
| f. SDVOSB: | _____ % | |



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(2) – STATEMENT OF DOLLARS

The following dollar values correspond to the percentage goals in (1).

Base Contract – Year 1 (Total contract value of \$ _____):

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

Option – Year 2 (Total contract value of \$ _____):

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

Option – Year 3 (Total contract value of \$ _____):

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



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Option – Year 4 (Total contract value of \$ _____):

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

Option – Year 5 (Total contract value of \$ _____):

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

(3) – DESCRIPTION OF PRINCIPAL TYPES OF SUPPLIES AND SERVICES TO BE SUBCONTRACTED AND TYPES OF BUSINESSES SUPPLYING THEM (Check all that apply)

<u>PRINCIPAL SUPPLY/SERVICE</u>	<u>LB</u>	<u>SB</u>	<u>HUBZone</u> <u>SB</u>	<u>SDB</u>	<u>WOSB</u>	<u>VOSB</u>	<u>SDVOSB</u>



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(4) – METHOD USED TO DEVELOP GOALS

Explain how you arrived at your percentage goals and dollars for subcontracting to SB, HUBZone SB, SDB, WOSB, VOSB, and SDVOSB.

(5) – METHOD USED TO IDENTIFY POTENTIAL SUBCONTRACTING SOURCES (Check all that apply)

- ☐ System for Award Management (SAM) database
- ☐ Company Source Lists.
- ☐ Veteran Service Organizations
- ☐ National Minority Purchasing Council Vendor Information Service.
- ☐ U.S. Department of Commerce Minority Business Development Agency's Research and Information Service.
- ☐ SB, HUBZone SB, SDB, WOSB, VOSB, and SDVOSB Service/Trade Associations.
- ☐ SBA's Lists of Certified SDB and HSB Concerns.
- ☐ SB and Minority Business trade fairs or conferences
- ☐ Other: Explain –



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(6) – INDIRECT COSTS (Check which applies.)

_____ Indirect costs **have not** been included in establishing subcontracting goals.

_____ Indirect costs **have** been included in establishing subcontracting goals.

If included, describe how you determine the proportionate share of indirect costs incurred with:

SB (Including ANCs and Indian tribes): _____

HUBZone SB: _____

SDB (Including ANCs and Indian tribes): _____

WOSB: _____

VOSB: _____

SDVOSB: _____

(7) – ADMINISTRATION OF SUBCONTRACTING PROGRAM

The following individual employed by the offeror will administer this subcontracting plan:

Name: _____

Address: _____

Telephone: _____

Title: _____

Description of Duties: _____



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(8) – EQUITABLE OPPORTUNITY TO COMPETE (Check which apply.)

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

Outreach Efforts to Obtain Sources:

- ☐ Contacting minority and small business service and trade associations
- ☐ Contacting business development organizations
- ☐ Attending small and minority business procurement conferences and trade fairs
- ☐ Using SAM database to research sources
- ☐ Other: Explain -

Internal Efforts to Guide and Encourage Purchasing Personnel:

- ☐ Presenting workshops, seminars, and training programs
- ☐ Establishing, maintaining, and using SB, HUBZone SB, SDB, WOSB, VOSB, and SDVOSB source lists, guides, and other data for soliciting subcontracts
- ☐ Other: Explain -

(9) – INCLUSION OF FAR CLAUSE 52.219-8, “UTILIZATION OF SMALL BUSINESS CONCERNS,” IN SUBCONTRACTS

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

- ☐ I agree to include FAR Clause 52.219-8, “Utilization of Small Business Concerns,” in all subcontracts that offer further subcontracting opportunities.
- ☐ I will require all subcontractors (except SB concerns) that receive subcontracts in excess of \$700,000 to adopt a subcontracting plan similar to this one that complies with the eleven elements in FAR 52.219-9.



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(10) – REQUIREMENT TO COOPERATE IN STUDIES AND SUBMISSION OF REPORTS

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.
- _____ I agree to submit periodic reports so the government can determine the extent of compliance with the subcontracting plan.
- _____ I agree to submit the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with paragraph I of the clause at FAR 52.219-9 using the Electronic Subcontracting Reporting System (eSRS) at <http://www.esrs.gov>. The reports will 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) and WOSB concerns. Reporting will be in accordance with the clause at FAR 52.219-9, or as provided in agency regulations.
- _____ I agree to ensure that my subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS.
- _____ I will provide this prime contract number, its DUNS number, and the e-mail 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.
- _____ I will require that each subcontractor with a subcontracting plan provide the prime contract number, its own DUNS number, 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.

(11) – DESCRIPTION OF TYPES OF RECORDS TO BE MAINTAINED (Check if in agreement)

- _____ I agree to maintain the following records to show compliance with this subcontracting plan:
 - a. Source lists, guides, and other data that identify SB, HUBZone SB, SDB, WOSB, VOSB and SDVOSB concerns.
 - b. Records on organizations contacted to locate SB, HUBZone SB, SDB, WOSB, VOSB and SDVOSB sources.
 - c. Records on each subcontract solicitation resulting in an award of more than \$150,000, indicating



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- (1) Whether SB concerns were solicited and, if not, why not.
- (2) Whether HUBZone SB concerns were solicited and, if not, why not.
- (3) Whether SDB concerns were solicited and, if not, why not.
- (4) Whether WOSB 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.
- (7) If applicable, the reason award was not made to a SB, HUBZone SB, SDB, WOSB, VOSB, or SDVOSB concern.

d. Records of outreach efforts to contact:

- (1) Trade/service associations.
- (2) Business development organizations.
- (3) Conferences and trade fairs to locate SB, HUBZone SB, SDB, WOSB, VOSB, and SDVOSB sources.

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.

(12) Good Faith Effort Assurance

Assurance that you 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.

Yes ☐ No ☐

(13) Written Explanation Assurance

Assurance that you 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 (a)(12) of this section. This written explanation will be submitted to the contracting officer within 30 days of contract completion.

Yes ☐ No ☐



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(14) Subcontractor Non-prohibit Assurance

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

Yes ☐ No ☐

(15) Timely Payment of Small Business Subcontractors Assurance

Assurances that the offeror 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 (see 52.242-5).

Yes ☐ No ☐

This subcontracting plan was prepared by:

Signature: _____

Printed name: _____

Title: _____

Phone number: _____

Date prepared: _____

This subcontracting plan was ACCEPTED by:

Signature _____

Typed Name: _____

Title: _____

Date: _____