

AMS Small Business Subcontracting Plan Checklist

Base Contract Number:

Contractor Point of Contact:

Base Period of Performance:

Contracting Officer:

Contractor Name:

Contracting Officer Representative:

Type of Subcontracting Plan (Individual/Commercial):

If Master - (Company-Wide/Division-Wide/Plant-Wide/Not Applicable (N/A)):

*As used in the checklist, “small business types” means - small businesses, women-owned small businesses, small disadvantaged businesses, service-disabled veteran-owned small businesses, and HUBZone small businesses.

Item #	AMS Clause Reference	Element of Subcontracting Plan	Instruction/Notes	Yes	No	N/A
1	3.6.1-4(b)(1)	Subcontracting is separately addressed for the basic contract and for each option	Individual plans only	☐	☐	☐
2	3.6.1-4(c)(1)	Goals in terms of the total dollars subcontracted	Individual and commercial plans only, not master plans	☐	☐	☐
3	3.6.1-4(c)(1)	Goals expressed in terms of percentage of the total planned subcontracting dollars for each small business type	Individual and commercial plans only, not master plans	☐	☐	☐
4	3.6.1-4(c)(1)	Goals expressed in terms of percentage of total subcontract dollars	Individual plans only (Unless otherwise required by CO)	☐	☐	☐
5	3.6.1-4(c)(2)(i)	A statement of the offeror's total dollars planned to be subcontracted for an individual subcontracting plan	Individual plans only	☐	☐	☐
6	3.6.1-4(c)(2)(i)	A statement of the offeror's total projected sales, expressed in dollars, and the total of projected subcontracts to support the sales for a commercial plan	Commercial plans only	☐	☐	☐
7	3.6.1-4(c)(2)(ii-vi)	Statements of total dollars planned to be subcontracted for each small business type	Individual and commercial plans only, not master plans	☐	☐	☐
8	3.6.1-4(c)(3)(i-v)	A description of the principal types of supplies and services to be subcontracted for each small business type	Individual and commercial plans only, not master plans	☐	☐	☐

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9	3.6.1-4(c)(4)	A description of the method used to develop the subcontracting goals		☐	☐	☐
10	3.6.1-4(c)(5)	A description of the method used to identify potential sources for solicitation purpose		☐	☐	☐
11	3.6.1-4(c)(6)	A statement as to whether or not the offeror included indirect costs in establishing the subcontracting goals. If the indirect costs are included, a description of the method is needed to determine the proportion to be allocated to each respective small business type	If indirect costs are not included, this item is N/A	☐	☐	☐
12	3.6.1-4(c)(7)	The name of the person employed by the offeror who will administer the offeror's subcontracting program and a description of the duties of the individual		☐	☐	☐
13	3.6.1-4(c)(8)	A description of the efforts the offeror will make to assure small businesses will have an equitable opportunity to compete for subcontracts		☐	☐	☐
14	3.6.1-4(c)(9)	Assurances the offeror will include AMS clause 3.6.1-3 in all subcontracts that offer further subcontracting opportunities, and that the offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$750,000 (\$1,500,000 for construction of any public facility) on the date of subcontract award, with further subcontracting possibilities to adopt a subcontracting plan that complies with the requirements of AMS clause 3.6.1-4		☐	☐	☐
15	3.6.1-4(c)(10)(i)	Assurances the offeror will cooperate in any studies or surveys as may be required		☐	☐	☐

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16	3.6.1-4(c)(10)(ii)	Assurances the offeror will submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan		☐	☐	☐
17	3.6.1-4(c)(10)(iii)	Assurances the offeror will include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite-quantity contracts with individual subcontracting plans where the contract is intended for use by multiple agencies	Applicable only to IDIQ contracts intended for use by multiple agencies	☐	☐	☐
18	3.6.1-4(c)(10)(iv)	Assurances the offeror will submit the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), using the Electronic Subcontracting Reporting System (eSRS) at http://www.esrs.gov	The ISR is related only to the individual subcontracting plan (including individual goals of Master Plan) The SSR is related to the individual and commercial subcontract plan	☐	☐	☐
19	3.6.1-4(c)(10)(v)	Assurances the offeror will ensure that its subcontractors submit the ISR and/or the SSR, using the Electronic Subcontracting Reporting System (eSRS) at http://www.esrs.gov	The ISR is related only to the individual subcontracting plan The SSR is related to the individual and commercial subcontract plan	☐	☐	☐
20	3.6.1-4(c)(10)(vi)	Assurances the offeror will provide its prime contract number, its Unique Entity Identifier (UEI), and the e-mail address of the Government or Contractor 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 their reports	The ISR is related only to the individual subcontract plan	☐	☐	☐

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21	3.6.1-4(c)(10)(vii)	Assurances the offeror will require that each subcontractor with a subcontracting plan provide the prime contract number, its own UEI, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to its subcontractors with subcontracting plans	The ISR is related only to the individual subcontract plan	☐	☐	☐
22	3.6.1-4(c)(11)(i)	Assurances the offeror will maintain source lists (e.g., SAM), guides, and other data that identify all small business type concerns		☐	☐	☐
23	3.6.1-4(c)(11)(ii)	Assurances the offeror will maintain records of organizations contacted in an attempt to locate sources that are small business types		☐	☐	☐
24	3.6.1- 4(c)(11)(iii) (A-E)	Assurances the offeror will maintain records on each subcontract solicitation resulting in an award of more than \$250,000, indicating whether each small business type was solicited and, if not, why not		☐	☐	☐
25	3.6.1-4(c)(11)(iii)(F)	If applicable, assurances that the offeror will maintain record of the reason award was not made to a small business concern for solicitations over \$250,000		☐	☐	☐
26	3.6.1-4(c)(11)(iv) (A-D)	Assurances the offeror will maintain records of any outreach efforts to contact trade associations, business development organizations, conferences, and trade fairs to locate small business types, and veterans services organizations		☐	☐	☐

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27	3.6.1-4(c)(11)(v)(A)	Assurances the offeror will maintain records of internal guidance and encouragement provided to buyers through workshops, seminars, training, etc.		☐	☐	☐
28	3.6.1-4(c)(11)(v)(B)	Assurances the offeror will maintain records of internal guidance and encouragement provided to buyers through monitoring performance to evaluate compliance with the program's requirements		☐	☐	☐
29	3.6.1-4(c)(11)(vi)	Assurances the offeror will on a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor	Not required for commercial plans	☐	☐	☐
30	3.6.1-4(c)(12)	Assurances the offeror 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		☐	☐	☐
31	3.6.1-4(c)(13)	Assurances that the Contractor will provide to the CO, within 30 days of contract completion, 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 the bid or proposal		☐	☐	☐
32	3.6.1-4(c)(14)	Assurances that the Contractor will not prohibit a subcontractor from discussing with the CO any material matter pertaining to payment to or utilization of a subcontractor		☐	☐	☐

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33	3.6.1-4(c)(15)	Assurances the offeror will pay its small business subcontractors on time and in accordance with the terms and conditions of the underlying subcontract, and notify the CO when the prime contractor makes either a reduced or an untimely payment to a small business subcontractor		☐	☐	☐
34	3.6.1-4(e)(2)	Ensuring from the offeror that the master subcontracting plan is updated as necessary	Master plans only	☐	☐	☐
35	3.6.1-4(f)	Does the commercial plan relate to the contractor's planned subcontracting for both commercial and Government business, rather than solely to the Government contract?	Commercial plans only	☐	☐	☐
36	N/A	Does the commercial plan have a signature page which includes: - name, title, email and company name for the person submitting the plan - name, title and department/agency contracting organization, date, signature and email of the person approving the plan; and - name, title and email of the person within the company who is submitting the report?	Commercial plans only	☐	☐	☐
37	N/A	Does the commercial plan list the contracts covered under the plan?	Commercial plans only	☐	☐	☐

Contracting Officer Name/Organization/Routing Code:

Contracting Officer Signature:

Date:

Concur ☐

Non-Concur ☐

Comments

Date:

Small Business Program Staff Signature: