

Standard Operating Procedures (SOP) for Program Managers

Last Updated: 4 September 2024









Table of Contents

FORE	WORD	1
СНАР	TER 1 – PROGRAM OVERVIEW	3
1.	1.1. Mentor-Protégé Program	3
2.	1.2. Ethics and Integrity	3
СНАР	TER 2 – POLICY	4
1.	2.1. DoD Mentor-Protégé Program	4
СНАР	TER 3 – ROLES AND RESPONSIBILITIES	5
1.	3.1. Director, DoD OSBP (OUSD/A&S)	5
2.	3.2. Director, DoD Mentor-Protégé Program (OUSD A&S)	5
3.	3.3. Services/Defense Agencies' Director, Small Business Programs (SBP)	7
4.	3.4. Services/Defense Agencies' Mentor-Protégé Program Manager (MPP-PM)	9
5.	3.5. Services/Defense Agencies' Contracting Offices	.2
6.	3.6. Mentor-Protégé Program Support Staff (DoD OSBP)	.3
7.	3.7. Mentor-Protégé Program Support Staff (Services/Defense Agencies) 1	.4
8.	3.8. DoD OSBP Business and Financial Management (BFM)	.5
9.	3.9. Defense Contract Management Agency (DCMA)	.6
CHAPTER 4 – ELIGIBILITY REQUIREMENTS18		
1.	4.1. Mentor Eligibility	.8
2.	4.2. Initial Mentor Approval	.8
3.	4.3. Recertification	.9
СНАР	TER 5 – TYPES OF AGREEMENTS2	? 0
1.	5.1. Types of Agreements	20
СНАР	TER 6 – PROPOSAL SUBMISSION AND APPROVAL PROCESS 2	!1
1.	6.1. Solicitation Announcement	!1
2.	6.2. Step One: Mentor-Protégé White Paper Submission	!1
3.	6.3. Step Two: Mentor-Protégé Proposal2	<u>!</u> 2
4.	6.4. Mentor-Protégé Agreement Approval Process	!3
СНАР	TER 7 – AGREEMENT MANAGEMENT AND ADMINISTRATION 2	? 5

1.	7.1. Agreement Kickoff	
2.	7.2. Quarterly Agreement Reviews (QARs)25	
3.	7.3. Reporting	
4.	7.4. Executive Summary27	
5.	7.5. Agreement Modifications27	
6.	7.6. DoD Mentor-Protégé Program Program Reviews	
СНАР	TER 8 – FINANCIAL MANAGEMENT 30	
1.	8.1. Budget and Spend Plan Development30	
2.	8.2. Funds Request	
3.	8.3. Mentor-Protégé Agreement Financial Tracking/Reporting	
4.	8.4. Mentor-Protégé Agreement Closeout32	
5.	8.5. Financial Inquiries	
CHAPTER 9 – NUNN-PERRY AWARDS33		
1.	9.1 Overview	
2.	9.2. Evaluation Process	
3.	9.3. Nunn-Perry Award Process34	
СНАР	TER 10 – COMMUNICATION AND OUTREACH PROCESSES	
1.	10.1. Overview	
2.	10.2. Speakers and Participants35	
3.	10.3. Outreach Events	
FOR F	FURTHER ASSISTANCE	
REFERENCES		
	12.NCL3	

LIST OF APPENDICIES

- A. OSD Industry Engagement Memo
- B. Mentor-Protégé Program PM Appointment Letter Sample
- C. FYXX Spend Plan Approval Memo Sample
- D. DoD Mentor-Protégé Program Director Funding Request Letter Sample
- E. Mentor-Protégé Program Portal Overview Sample
- F. Mentor Application Checklist Sample
- G. Mentor Approval Letter Sample
- H. Mentor Disapproval Letter Sample
- I. BAA or Solicitation Language Sample
- J. White Paper and Checklist Sample
- K. Completed Proposal Package Cover Checklist Sample
- L. Mentor-Protégé Program Kick Off Sample
- M. DCMA MOU Briefing (Kickoff) Sample
- N. Nunn-Perry Endorsement Letter Sample
- O. Nunn-Perry Winner Letter Sample
- P. Nunn-Perry Regret Letter Sample
- Q. Overview of Accomplishments Sample
- R. Small Business Administration Annual Report Sample

LIST OF TEMPLATES

- Executive Summary Template
- FS 7600A Template
- Developmental Assistance Approach Template
- Annual Budget Spend Plan Template
- Mentor-Protégé Program Mentor Application Template
- Key Personnel Addendum Template
- Comprehensive Needs Assessment Template
- Rough Order of Magnitude (ROM) Cost Estimate Template
- Mentor-Protégé Program Monthly Status Report Template
- Mentor-Protégé Agreement Template
- Quarterly PMR Review Slides Template
- Semi-Annual Report and SAR checklist Template
- DoD Mentor-Protégé Program Annual Review Documents
 - o Annual Review Form Credit Template
 - o Annual Review Form Reimbursable Template
 - o Credit Mentor Questionnaire Template
 - o Credit Protège Questionnaire Template
 - o Credit Annual Review Form Template
 - o Reimbursable Mentor Questionnaire Template

- o Reimbursable Protège Questionnaire Template
- o Reimbursable Annual Review Template
- DoD Mentor-Protégé Program Post-Agreement Report Template
- DCMA Executive Summary Template
- DoD Mentor-Protégé Program Annual Budget Submission Template
- Monthly Execution Report Template
- <u>Dormant Account Review Quarterly (DARQ) Template</u>
- Nunn-Perry Award Nomination Package Template
- Nunn-Perry Reviewer Evaluation Template
- Social Media Request Form Template
- Mentor-Protégé Program Event Request Form Template







FOREWORD

"Small businesses are crucial to the defense industrial base. In fact, the vast majority of our industrial base at DoD is made up of small businesses. They are prime contractors, they are subcontractors, they are participants in a lot of our small business programs, in our broader industrial based programs, and the capabilities that they bring are key components to a lot of our most complex weapon systems."

Farooq Mitha - Jan. 26, 2023 Director, Department of Defense Office of Small Business Programs

The participation of dynamic, resilient, and innovative small businesses in the defense industrial base is critical to the United States' efforts to maintain its technological superiority, military readiness, warfighting advantage and National security. The Department of Defense Mentor-Protégé Program (MPP), codified under NDAA 2023 (10 USC 4902), is designed to increase the capacity of small businesses to compete for contracts by enabling larger, more experienced mentor firms to provide developmental assistance to protégés. The MPP focuses on expanding the capacity, technical knowledge, and participation of small businesses in DoD contracting opportunities. The program provides an opportunity for small businesses to align themselves with a mentor to develop the capabilities necessary to become a supplier to the DoD. The needs of protégés vary, and the core mission of the MPP is to facilitate an arrangement in which a mentor and protégé work together to address the specific needs of that protégé. The MPP serves as one of several programs within the DoD that enable small businesses to become suppliers to the DoD, strengthening and diversifying its supply chains. Small businesses are an integral part of the U.S. economy, creating two-thirds of new jobs and delivering approximately 44% of the U.S. gross domestic product (GDP), and the MPP is a critical tool in supporting those small businesses.

The Department of Defense (DoD) Office of Small Business Programs (OSBP) has initiated new and updated processes and procedures to streamline the DoD MPP in response to an April 2017 Government Accountability Office (GAO) - 17-172 report which identified areas for improvement within the program. This SOP describes fundamental programmatic operational elements necessary to facilitate how the MPP will be implemented throughout the DoD to maximize the program's impact. It also ensures compliance with DFARS 219.71 and DFARS Appendix-I, implements oversight authority of the DoD OSBP Director, provides guidance for proper program execution, and ensures activities comply with applicable statutes, policy, regulations, and guidance. The purpose of this SOP is to identify the roles and responsibilities of various stakeholders, reiterate eligibility requirements for mentors and protégés, and establish a standard process for proposal package evaluation and approval. In addition, this SOP will address requirements for administering Mentor-Protégé Agreements (MPAs), review criteria for







Nunn-Perry Awards, and describe processes related to the approval and re-certification of mentors and approval for MPAs.







CHAPTER 1 – PROGRAM OVERVIEW

1. 1.1. Mentor-Protégé Program

The MPP was a congressionally mandated program established as a "Pilot" program under Section 831 of public law 101-510, National Defense Authorization Act (NDAA) FY 1991 (Title 10 U.S.C. 2302 note). The program was recently codified under NDAA 2023 (Title 10 USC 4902). It was enacted by law to incentivize major DoD contractors to furnish eligible small business concerns with assistance designed to (1) enhance the capabilities of eligible small business concerns to perform as subcontractors and suppliers under DoD contracts and other contracts and subcontracts; and (2) increase the participation of such business concerns as subcontractors and suppliers under DoD contracts, other Federal contracts, and commercial contracts. Approved mentor firms enter into MPAs with eligible protege firms to provide developmental assistance to enhance capabilities and perform as subcontractors and suppliers in the defense industrial base.

2. 1.2. Ethics and Integrity

In accordance with the National Defense Strategy (NDS), MPP team members should intentionally engage with industry to harness and protect the National Security Innovation Base and modernize key capabilities. As stated in the Deputy Secretary of Defense's memorandum, "Engaging with Industry", dated 2 March 2018 (Appendix A), cultivating a competitive mindset requires that we optimize our relationship with industry to drive higher performance while always remaining within the letter and spirit of ethics and procurement relations. As we carry out the policies and procedures defined in this standard operating procedure, all MPP personnel must comply with the ethics and procurement laws governing industry interactions. We must work to set realistic expectations and achievable technological requirements promoting the long-term viability of the defense industrial base.







CHAPTER 2 – POLICY

1. 2.1. DoD Mentor-Protégé Program

- a. The DoD Mentor-Protégé Program became a permanent program under Public Law 117-263, James M. Inhofe National Defense Authorization Act for Fiscal Year 2023, as outlined in Section 856 of this authorization.
- b. 2.1.1. Additional information on policy and procedures can be found in the Defense Federal Acquisition Regulation Supplement (DFARS) Subpart 219.71 "Mentor-Protégé Program." DFARS Subpart 219.71 implements DoD Mentor-Protégé Program authorized under 10 U.S.C 4902.
- c. 2.1.2. Department of Defense Mentor-Protégé Program Implementation Guidance for Pub. L. 117–263, div. A, title VIII, §856(d), Dec. 23, 2022, 136 Stat. 2726







CHAPTER 3 – ROLES AND RESPONSIBILITIES

1. 3.1. Director, DoD OSBP (OUSD/A&S)

- i. 3.1.1. Provides oversight of program execution and serves as the fiscal authority for the DoD MPP program. As part of that oversight, the OSBP Director shall provide policy guidance for DoD Component investments in the MPP.
- ii. 3.1.2. Refers protests to the SBA to resolve with respect to the protege's size or socioeconomic status and decides protests concerning all other aspects of the protege eligibility for the program (e.g., non-traditional or entity employing the severely disabled).
- iii. 3.1.3. Appoints an Associate Director, DoD Mentor-Protégé Program.
 - a. 3.1.3.1. May, in consultation with the appointed DoD MPP Associate Director, appoint an alternate POC(s) or assistant to aid the MPP Associate Director with responsibilities as assigned.
- iv. 3.1.4. Provides final review and approval of Nunn-Perry Award recipients.
- v. 3.1.5. Oversees all congressional and legislative proposal language related to DoD MPP.

2. 3.2. Associate Director, DoD Mentor-Protégé Program (OUSD A&S)

- i. 3.2.1. Provides management and oversight of the DoD MPP.
 - a. 3.2.1.1. Provides relevant review, reporting, feedback, comments, best practices, and recommendations regarding the DoD MPP at a minimum to:
 - 1. 3.2.1.1.1. Director Office of Small Business Programs and other DoD Organizations 3.2.1.1.2. Head of Contracting Activities and Procuring Contracting Officers (KOs)
 - 2. 3.2.1.1.3. Director of (Services/Defense Agencies') Associated Buying Activities
 - 3. 3.2.1.1.4. Director of (Services/Defense Agencies') Small Business Programs
 - 4. 3.2.1.1.5. Services/Defense Agencies' MPP Program Managers
 - 5. 3.2.1.1.6. Director APEX Accelerator
 - 6. 3.2.1.1.7. Program Manager for Manufacturing Innovation Institutes (MII's)







- 7. 3.2.1.2. Provides process guidance and resources needed to facilitate consistent MPP administration and maximum program participation.
- 8. 3.2.1.3. Establishes DoD MPP strategic direction aligned with the OSBP mission and objectives.
- 9. 3.2.1.4. Supports and encourages active participation of all DoD Services/ Defense Agencies in the DoD MPP and related initiatives.
- 10. 3.2.1.5. Facilitates interoperability with other programs in the OSBP portfolio.
- i. 3.2.2. Serves as the approval authority for all initial and renewal DoD Mentor applications.
 - a. 3.2.2.1. DoD MPP Director may delegate approval authority (as necessary).
- ii. 3.2.3. Promotes the development, maintenance, and distribution of tools and data relevant to the DoD MPP.
- iii. 3.2.4. Advocates for the program within DoD, Congress, and other outside organizations.
- iv. 3.2.5. Serves as the DoD focal point for all congressional inquiries, legislative actions, and policies relating to the MPP.
 - a. 3.2.5.1. Coordinates input from the DoD Services/ Defense Agencies related to legislative language, policy, and regulations.
 - b. 3.2.5.2. Prepares responses for Congress, OMB, and others; to include the annual report to Congress.
- v. 3.2.6. Serves as the approval authority, coordinating with other OSBP staff as necessary, for initial and ongoing Mentor-Protégé Agreement (MPA) funding.
 - a. 3.2.6.1. Evaluates, negotiates, and approves all budget requests submitted from participating DoD Services/ Defense Agencies.
 - b. 3.2.6.2. Approves, evaluates, and negotiates all requests for funds for individual MPAs from participating Services/ Defense Agencies' requirements (Appendix D).
 - c. 3.2.6.3. Authorizes all extensions and funding beyond the initial agreement period of performance.







- d. 3.2.6.4. Ensures compliance with established limitations. Determines limitations on the amount of credit a mentor firm may earn under a credit MPA. (DFARS Appendix-I)
- e. 3.2.6.5. Authorizes reimbursement for costs of assistance furnished to a protégé for MPAs more than \$1M per fiscal year during the period of performance of the contract (for instances where justification of unusual circumstances has been provided in writing).
- i. 3.2.7. Conducts quarterly reviews on all MPAs, in conjunction with the DoD OSBP Associate Director (AD), Business and Financial Management (BFM), the Services/ Defense Agencies' MPP Program Managers (MPP-PMs), and the Defense Contract Management Agency (DCMA).
 - a. 3.2.7.1. These reviews include financial execution, dormant accounts, performance against milestones, and evaluation of the relationships between mentors and protégés to collect relevant metrics, identify and address issues, receive success stories, and address reporting and programmatic oversight.
- ii. 3.2.8. Reviews monthly budget execution reports with all Services/ Defense Agencies' MPP PMs and DoD OSBP BFM.
 - a. 3.2.9. Serves as the point of contact for all DoD MPP program review meetings scheduled with OSBP, DCMA, SBA, GAO, and all other organizations.
 - b. 3.2.10. Promotes training, networking, and workforce development for all MPP stakeholders such as mentors, proteges, Government agencies, industry associations, APEX Accelerators, HBCUs, MIIs, MSIs, SBDCs, WBCs, etc.
 - c. 3.2.11. Manages DoD-level pilots and initiatives under the program.

3. 3.3. Services/Defense Agencies' Director, Small Business Programs (SBP)

- i. 3.3.1. Provides oversight for the Services/ Defense Agencies' MPP program. As part of that oversight, the Director shall monitor the performance of Services/ Defense Agencies agreements.
 - a. 3.3.1.1. Decides protests concerning all other aspects of the protege eligibility for the program (non-traditional or entity employing the severely disabled) and refer protest to the SBA to resolve with respect to the protege's socioeconomic status.
- ii. 3.2. May appoint a Program Manager for the Services/ Defense Agencies' Mentor-Protégé Program.







- a. 3.3.2.1. All appointments and changes in appointments shall require approval of the DoD MPP Associate Director and will be documented on component letterhead and provided to the DoD MPP Associate Director within 30 days of new or acting appointments or changes in appointment. (Sample appointment letter language is provided in <u>Appendix B</u>).
- iii. 3.3.3. Provides final approval of Services/ Defense Agencies' priorities for announcements/solicitations to ensure alignment with Services/Defense Agencies' priorities, needs, and mission areas.
- iv. 3.3.4. Approves Services/ Defense Agencies' Mentor-Protégé agreements, makes recommendations for award to the cognizant contracting office, and requests funding from the DoD MPP Director.
- v. 3.3.5. Ensures Services/ Defense Agencies' MPP activities comply with all applicable policies, regulations, and guidance.
- vi. 3.3.6. Advocates, in alignment with the DoD MPP Associate Director, for the program within the Services/ Defense Agencies, Congress, and other outside organizations.
- vii. 3.3.7. Coordinates MPP technology focus areas to align and facilitate interoperability with other programs in the Department's OSBP portfolio.
- viii. 3.3.8. Endorses the nominations for the annual Nunn-Perry Awards for all Services/ Defense Agencies' submissions.
 - ix. 3.3.9. Provides endorsement letters for mentor applications not meeting statutory mentor requirements (i.e., other than large businesses).
 - x. 3.3.10. Establishes Service/ Defense Agencies' MPP strategic direction aligned with Services/ Defense Agencies' mission and objectives and OSD Director's strategic direction for MPP.
 - xi. 3.3.11. Decide protests for all aspects of an entity selected to be a protégé's eligibility, except size or status for all Services/ Defense Agencies' agreements in consultation with the Director, OSBP, OUSD (A&S).
- xii. 3.3.13. Provides in writing, when unusual circumstances exist a justification for reimbursement costs that exceed \$1 million per MPA performance year.
- xiii. 3.3.14. Reviews PM requests for extensions of MPAs that exceed the initial period of performance, not to exceed a total of five (5) years of performance.







4. 3.4. Services/Defense Agencies' Mentor-Protégé Program Manager (MPP-PM)

- i. 3.4.1. Manages the Service/ Defense Agency MPP.
 - a. 3.4.1.1. Prepare, present material, and actively participate in DoD MPP monthly meetings, quarterly PMR meetings, the annual DoD MPP conference and training week, and any other ad hoc training or conference events where MPP is a topic of discussion.
 - 1. 3.4.1.1. Participate in the coordination and execution of the annual MPP conference to include topic and speaker identification, participation as a presenter, and event promotion.
 - a. 3.4.1.2. Notifies the DoD OSBP MPP Director of solicitation / Broad Agency Announcement (BAA) details to include topic/mission areas and dates prior to the solicitation opening.
 - b. 3.4.1.3. Submits Monthly Execution Report (MER) to DoD OSBP MPP Director and DoD OSBP AD, BFM via the established MPP mailbox.
 - c. 3.4.1.4. Tracks metrics and documents protégé participation in critical focus areas, systems/programs of record, and mission priorities for the department (i.e., category management, manufacturing sectors, and cutting-edge technologies).
 - d. 3.4.1.5. Provides required reports and program status documentation to DoD OSBP MPP Director and Defense Contract Management Agency (DCMA). If any performance or MPA challenges are identified, the Service/Defense Agency PM must notify, and may consult with, the DoD OSBP MPP Director and DCMA to develop appropriate mitigation plans.
 - e. 3.4.1.6. Maintains current copy of all MPAs and supporting documentation. Note: PM shall ensure that DoD OSBP MPP Director and DCMA have the most current version of all MPA and contract award documentation (to include modifications).
 - f. 3.4.1.7. Coordinate with the Service/Defense Agency OSBP Director to develop and submit an annual budget request toward the end of the 3rd quarter of each FY including funding needs for both current and potential MPAs for the upcoming new FY to the Director, DoD OSBP MPP and DoD OSBP AD, BFM.
 - g. 3.4.1.8. When requesting funding, the Service/Defense Agency PM provides a completed and signed Capital Asset Questionnaire followed by obtaining the







- signed DD448-2 Acceptance of Military Interdepartmental Purchase Request (MIPR) and the contract award to the DoD OSBP AD, BFM.
- h. 3.4.1.9. For agencies that require funding to be disbursed using a reimbursable MIPR, a 7600A Support Agreement must be coordinated with DoD OSBP BFM (FS 7600A Template). The Service/Defense Agency PM is responsible for coordinating all final signatures for the 7600A in the appropriate time frame necessary for completion prior to the request for funds.
- i. 3.4.1.10. Provide notification of new MPA awards, current MPA success stories and/or relevant press releases that provide impact to the overall program to the DoD OSBP MPP office for inclusion in DoD quarterly press releases, marketing material, social media outlets and newsletters, etc.
- j. 3.4.1.11. Coordinates the Services/Defense Agencies' endorsement letters for all Nunn-Perry Award submissions.
- k. 3.4.1.12. Coordinates Services/Defense Agencies' letters of capability validation that includes confirmation of the technical need, for mentor applications do not meet mentor eligibility criteria outlined in DFARS Appendix-I (i.e., other than large businesses).
- 3.4.2. Manages all Services/Defense Agencies' MPP Agreements.
 - i. 3.4.2.1. Supports the Services/Defense Agencies' cognizant contracting office on the MPP contract award process.
 - a. 3.4.2.1.1. Ensures inclusion of mandatory reporting and deliverables, or the DoD standard Contract Data Requirements List (CDRL) items in Services/Defense Agencies' Solicitations/BAAs. Any modifications to these deliverables or standard CDRLs must be coordinated with the DoD OSBP MPP Director 30-45 days prior to issuance of the solicitation/BAA.
 - 1. 3.4.2.1.2. The CDRL is a list of authorized data requirements for a specific procurement that forms part of a contract. To standardize the process for all Service/Defense Agencies, each Service/Defense Agency will include a deliverable or CDRL requirement in all MPAs.
 - ii. 3.4.2.2. Performs evaluation of submitted Mentor-Protégé agreements and prepares recommendations for Service/Defense Agency Director, OSBP approval.
- iii. 3.4.2.3. Coordinates proposal cost submission with Director, Service/Defense Agency OSBP and prepares final funding request for their signature which is







submitted along with the associated MPA to Director, DoD OSBP MPP and DoD OSBP BFM for funding. (See <u>Appendix D</u> for sample funding request letter).

- a. 3.4.2.3.1. Prepares and requests funding from the DoD MPP Director for agreements approved for contract award by the Service/Defense Agency Director, SBP
 - 1. 3.4.2.3.1.1. Funding requests for the exercise of options must be submitted to DoD OSBP MPP Director, at least 60 days before the current POP ends.
 - 2. 3.4.2.3.1.2. Reimbursement for costs of assistance for MPAs in excess of \$1M for the Period of Performance (POP) requires a written justification of unusual circumstances including the input from both the mentor and the cognizant Service/Defense Agency Director, SBP to be approved by the Director, DoD OSBP MPP.
- iv. 3.4.2.4. Shall conduct quarterly Program Management Reviews (PMRs) with agreement stakeholders.
- v. 3.4.2.5. Informs DoD OSBP MPP Associate Director and the DoD OSBP BFM team immediately on any changes to an MPA impacting cost, schedule, or performance and coordinates with DCMA, mentors, and protégés on appropriate corrective courses of action.
- vi. 3.4.2.6. Performs routine analysis of the execution of funds for each MPA inclusive of invoice review against performed work and review of burn rates for documentation in the monthly execution reports.
- vii. 3.4.2.7. Monitors and works with the Contracting Office to take timely appropriate action to return unexpended funds 90 days prior to expiration on all MPAs that demonstrate challenges in executing funds for the current POP.
- viii. 3.4.2.8. Monitors and takes timely appropriate action on MPAs that demonstrate a need for additional funds for the current POP, providing early notification of funding needs to the Services/Defense Agency Director, the DoD OSBP MPP Director.
 - ix. 3.4.2.9. Based upon achieved MPA cost, schedule, and performance and DCMA risk writing, the Service/Defense Agency PM notifies mentors and the Services/Defense Agencies' Contracting Office of intent to exercise the follow-on option year in accordance with the MPA contract clause. The Director, DoD OSBP MPP has final financial oversight authority.







- x. 3.4.2.10. Monitors and keeps an active list of all Services/Defense Agencies' MPAs.
- xi. 3.4.2.11. Coordinates with the Services/Defense Agencies Contracting Office on all contract closeout activities for the MPAs.
- xii. 3.4.2.12. May serve as the COR and/or Technical Point of Contact (TPOC) for all Services/Defense Agencies' MPAs, pending Service/Defense Agency Director, SBP nomination, and approval/selection by the Services/Defense Agencies' Contracting/Agreements Officer (AO).
- xiii. 3.4.2.13. Conducts training, education, and outreach on the DoD MPP.

5. 3.5. Contracting Offices:

- i. 3.5.1. Conducts proposal cost analysis and awards the contract.
- ii. 3.5.2. May negotiate an advance agreement on the developmental assistance costs for either credit or reimbursement. The Contract Officer (KO) may be authorized to negotiate the parameters of this agreement with the mentor if desired by the mentor.
 - a. See FAR 31.109 (Developmental Assistance Approach Template).
- iii. 3.5.3. Provides a copy of the final approved MPA and MPP contract award, and all subsequent modifications, to the Service/Defense Agency MPP PM.
- iv. 3.5.4. Appoints a KO/AO(s) and COR and/or TPOC for all MPP agreements to be awarded.
- v. 3.5.5. Advises contractors of reporting requirements in contract award as defined in <u>DFARS Appendix I</u>.
- vi. 3.5.6. Coordinates with DCMA and other appropriate Agencies as needed on MPP contracting issues.
- vii. 3.5.7. Awards MPP contracts in accordance with all applicable policy and regulations, ensuring compliance with <u>DFARS 219.7103-2</u> contracting officer responsibilities and <u>DFARS Appendix-I</u>.
- viii. 3.5.8. Maintains official file of awarded MPP contracts and associated MPAs.
 - ix. 3.5.9. If applicable, modifies contracts as necessary to:
 - a. 3.5.9.1. Establish a contract line item for reimbursement of developmental assistance costs based on criteria in <u>DFARS 219.7103-2</u>.







- b. 3.5.9.2. Accommodate milestones shifts, additions/deletions, and adjustments to costs as necessary.
- c. 3.5.9.3. Modifies applicable contract(s) to incorporate the clause to "reimburse subcontractor advance payments" in accordance with <u>DFARS</u>
 <u>Appendix-I</u> Reimbursable Agreements.
- d. 3.5.9.4. Modifies applicable contract(s) to incorporate other than customary progress payments for protégé firms in accordance with <u>FAR</u> 32.504(c).
- e. 3.5.9.5. Exercises contract option upon availability/approval of funding.
- f. 3.5.9.6. Terminates contracts if required/requested.
- x. 3.5.10. Conducts contract closeout and de-obligates unliquidated obligations.

6. 3.6. MPP Support Staff (DoD OSBP)

- i. 3.6.1. Communicates daily to discuss operations or status of the MPP projects, tasks, and subtasks.
- ii. 3.6.2. Monitors and manages the DoD MPP email inbox (<u>osd.pentagon.ousd-a-s.mbx.osbp-mpp@mail.mil</u>).
 - a. 3.6.2.1. Reviews submitted MPP mentor applications for required information and compliance with applicable statutes and regulations (See application process section) and prepares an approval package for internal coordination.
 - b. 3.6.2.2. Supports the government on all MPP inquiries and provides responses.
- iii. 3.6.3. Collects and supports the review of submitted MERs from the Service/Defense Agency PM to ensure completeness and accuracy.
- iv. 3.6.4. Maintains and updates all electronic databases and files to ensure all data is current and ensure data integrity, accountability, transparency, and ease of use.
- v. 3.6.5. Assists in the planning and execution of monthly, quarterly, and ad hoc program status reviews with DoD component MPP managers, including meeting minutes and the distribution thereof.
- vi. 3.6.6. Provides administrative support relating to the coordination and implementation of the annual MPP Conference.







- vii. 3.6.7. Supports the Nunn-Perry nomination and award process to include support of the annual award ceremony.
- viii. 3.6.8. Develops written products such as PowerPoint presentations, talking points, and reports.
 - ix. 3.6.9. Supports policy memos, program operating procedures, and regulation drafts.
 - x. 3.6.10. Provides research support and analytical feedback for all MPP activities.
 - xi. 3.6.11. Maintains a current and accurate list of all MPAs and mentor approvals.
- xii. 3.6.12. Supports updates regarding MPP on the DoD MPP external website and portal.

7. 3.7. MPP Support Staff (Services/Defense Agencies)

- i. 3.7.1. Provides support to mentor-protégé teams in agreement execution as needed.
- ii. 3.7.2. May assist in the planning and execution of the quarterly program management reviews (PMRs), Services/Defense Agencies MPP Agreements, meeting minutes, and the distribution thereof.
- iii. 3.7.3. May support the MPP BAA or proposal process for Services/Defense Agencies.
- iv. 3.7.4. May support the preparation of MPP proposal recommendation documentation for Services/Defense Agencies' Director, Small Business Programs (SBP), and proposal package.
- v. 3.7.5. May support Services/Defense Agencies' annual budget development and submission and funding request processes to DoD OSBP MPP Director and DoD OSBP BFM team.
- vi. 3.7.6. May support the development of reports relevant to the program and financial status provided to DoD Director MPP and the DCMA for their maintenance of program oversight.
- vii. 3.7.7. May support all component MPP outreach efforts to include discussions with interested program participants, conferences, Services/Defense Agencies' events, and press releases.







- viii. 3.7.8. Supports the development of all written and electronic products, documents, and materials in support of MPP efforts.
 - ix. 3.7.9. May support research and analysis requirements for all MPP efforts.
 - x. 3.7.10. May support management of MPP records and electronic files necessary for program administration.
 - xi. 3.7.11. May support the identification, collection, and publication of accurate and complete information about MPP on the Services/Defense Agencies' external website.

8. 3.8. DoD OSBP Business and Financial Management (BFM)

- i. 3.8.1. Works closely with components/agencies participating in the MPP to receive and process funding requests; funds transfer letters for signature; budget submissions; and MPP monthly financial, contractual, and programmatic execution reports.
- ii. 3.8.2. Performs all activities with respect to Services/Defense Agencies' budget submission.
- iii. 3.8.3. Prepares annual DoD MPP spend plan that includes all Services/Defense Agencies' requests and submits for approval by the DoD OSBP MPP Director (Appendix C).
 - a. 3.8.3.1. Tracks to the spend plan for the next fiscal year.
 - b. 3.8.3.2. Releases each spend plan to the Services/Defense Agencies upon approval of DoD OSBP Director.
 - c. 3.8.3.3. Adjusts and publishes spend plans in direct support of MPP and each participating Service/Defense Agency for DoD MPP execution.
- iv. 3.8.4. Logs all MPP commitments, obligations, and expenditures in the Financial Tracker as they occur.
- v. 3.8.5. Reviews and analyzes Services/Defense Agencies' monthly execution reports (MERs) for accuracy and completeness.
- vi. 3.8.6. Tracks all de-obligations, canceling funds, and dormant accounts for action.
- vii. 3.8.7. Performs records management of all MIPR funding documents (DD448), MIPR acceptances (DD448-2), and contract modifications (obligating documents).







- viii. 3.8.8. Discusses and provides clarity on DoD MPP budget and operations, and tracks status of active DoD MPA program execution with all Services/Defense Agencies to include regular reporting from the financial management system.
 - ix. 3.8.9. Receives, reviews, and finalizes DoD MPP's Budget Estimate Submission (BES) and President's Budget (PB) data for OSD outlining MPP budget requirements for inclusion in OSD's budget during each annual appropriations request during Planning, Programming, Budgeting, and Execution (PPBE) process.
 - a. 3.8.9.1. Edits MPP P-5 Budget Exhibits with updated program-specific goals, initiatives, and accomplishments.
 - b. 3.8.9.2. Receives new or modified MPAs with proposed funding levels from participating Services/Defense Agencies for all reimbursed and hybrid MPAs.
 - x. 3.8.10. Initiates allocation of MPP funds after Services/Defense Agencies submit requests to DoD OSBP MPP Director for concurrence.
- xi. 3.8.11. Coordinates with the cognizant Service/Defense Agency to establish the General Terms and Conditions (GT&C) with the signatory completion of forms FS 7600A and FS 7600B Agreements, to support transfer of funds for all reimbursable MIPR required agreements.
- xii. 3.8.12. Attends/participates in the quarterly Service/Defense Agency PMR and monthly PM meetings with the Director, DoD OSBP MPP to monitor and discuss financials including obligations/expenditures and execution of MPP funds.
- xiii. 3.8.13. Manages all activities related to dormant accounts, canceling funds, and contract closeout activities.

9. 3.9. Defense Contract Management Agency (DCMA)

- 3.9.1. Reviews and approves credit agreement proposals, which are not associated with a specific DoD Service/Defense Agency Program, as outlined in <u>DFARS</u> <u>Appendix-I (110)</u>.
 - a. 3.9.1.1. When requested, DCMA aids other Component/Agencies with reimbursable proposal reviews.
- ii. 3.9.2. Reviews and approves, in collaboration with Services/Defense Agencies, hybrid agreement proposals.

16







- iii. 3.9.3. Collects, reviews, verifies, and approves Semi Annual Reports (SARs) in accordance with <u>DFARS Appendix-I (112.2)</u>. This includes expenditures, technical/developmental assistance, and protégé Return on Investment (ROI) data.
- iv. 3.9.4. Conducts annual performance reviews of progress and accomplishments realized under approved MPAs. In accordance with <u>DFARs Appendix-I (113)</u>, these Annual Reviews (ARs) verify data provided on the SARs and ensure protégés accurately report employment, revenue, and participation in DoD prime and subcontract awards. A risk rating is assigned to every AR.
 - a. 3.9.4.1. Assists with the development of mitigation plans for high-risk-rated MPAs.
 - b. 3.9.4.2. Performs a follow-up review for any MPAs identified as high risk within the AR cycle.
 - c. 3.9.4.3. Performs out-of-cycle evaluations for MPAs identified as at risk outside of the AR cycle.
- v. 3.9.5. Submits annual MPP Executive Summary reports to DoD OSBP MPP Director, these reports outline program execution results via AR data for each active MPA.
- vi. 3.9.6. Shares best practices and fact sheets on MPAs and program participants to DoD OSBP upon request. Reports on programmatic trends and shares best practices with DoD OSBP for dissemination through Services/Defense Agencies.
- vii. 3.9.7. Assists with document and data retention for the MP program.
- viii. 3.9.8. Provides staff augmentation for DoD MPP activities upon request.
 - ix. 3.9.9. Attends quarterly PMRs with the Service/Defense Agency MPP PM and mentor-protégé teams.
 - x. 3.9.10. Reviews post reports for each closed MPA to document protégé progress in employment, revenue, and contract awards from the date of program entry until five (5) years after completion.







CHAPTER 4 – ELIGIBILITY REQUIREMENTS

1. 4.1. Mentor Eligibility

i. 4.1.1. Reference Defense Federal Acquisition Regulation Supplement <u>DFARS</u>

<u>Appendix-I (102)</u> for eligibility requirements.

2. 4.2. Initial Mentor Approval

ii. 4.2.1. Companies who apply for participation will submit requests and receive eligibility approval from the DoD MPP Director. The active mentor list can be found on the DoD OSBP website. If the mentor is not approved, a list of areas to address will accompany the denial of eligibility. Companies not approved will be provided with the reason(s) and given an opportunity to submit additional information for reconsideration.

Applicants must submit their request through the Mentor-Protégé Program Portal located at https://mpp.acq.osd.mil/, following the MPP Portal overview in Appendix E. The applicant will be required to sign in to the MPP Portal utilizing login.gov credentials, accessible through the MPP Portal. In the case that the MPP Portal is not available, applicants must submit the document MPP-Mentor-Application Part 1 and 2 following the Mentor Application Checklist Appendix F. Mentor application templates can also be found at: http://business.defense.gov/programs/mpp/resources/. The application for consideration must be submitted in accordance with the guidance at How to Participate (business.defense.gov).

Once an applicant has submitted the application, and any applicable supporting documentation (Services/Defense Agencies' Endorsement letter, etc.) within the MPP Portal, the MPP support staff will review the application and verify eligibility for Federal Award via SAM.gov. The MPP support staff will pull the unique entry identifier (UEI) and the summary subcontract report (SSR) from the Electronic Subcontractor Reporting System (ESRS) and compile all application documentation. Then the MPP Support staff will draft a determination letter for DoD OSBP MPP Director's signature. Once reviewed and signed, the letter is uploaded into the MPP Portal, the application is approved, and a notification is sent to the applicant, and the approved mentors list is updated accordingly.

a. 4.2.1.1. During the initial review process, the DoD OSBP MPP Director may provide guidance to address any deficiencies in the application before a final decision is made.







b. 4.2.1.2. The applicant will be notified of application approval or denial. See <u>Appendix G</u> or <u>Appendix H</u> for sample response letters. For denials, the DoD OSBP MPP Director shall submit to the applicant a memorandum detailing the rationale for the denial. Within five (5) working days the applicant shall respond in writing addressing any deficiencies or corrective actions listed in the initial denial letter.

3. 4.3. Recertification

i. 4.3.1. Mentors are required to recertify every five (5) years to retain their status as approved mentors. DoD OSBP MPP Director is responsible for reviewing the recertification materials and determining whether the mentors continue to meet program requirements.







CHAPTER 5 – TYPES OF AGREEMENTS

1. 5.1. Types of Agreements

There are three types of MPAs to include Reimbursable, Credit, and Hybrid as identified below. Reference <u>FAR Part 31</u> and <u>DFARS Appendix-I</u>.

- i. 5.1.1. Reimbursable. A reimbursable agreement provides monetary reimbursement for allowable costs of developmental assistance incurred by the mentor and provided to a protégé in accordance with the approved agreement.
 - Developmental assistance costs may only be incurred upon the award of a contract or a contract modification that incorporates a separate line item for the MPA. Note: The official start date is the date of contract award or contract modification.
 - For companies seeking direct reimbursement of developmental assistance costs, the submission should be made through the cognizant Service/Defense Agency OSBP.
- ii. 5.1.2. Credit. Credit agreements allow a mentor to receive credit toward subcontracting goals for costs incurred. Mentors interested in initiating credit agreements should contact DCMA directly as all credit agreements are sponsored by DCMA OSBP. The official start date is the date identified on the DCMA approval letter. For the DCMA homepage, go to http://www.dcma.mil.
- iii. 5.1.3. Hybrid. A hybrid agreement is a combination of both the credit agreement and the reimbursable agreement. A typical term for a hybrid agreement consists of two phases; the first phase is constructed as a credit agreement, and the second phase functions as a reimbursable agreement. Hybrid agreements must be approved by both the Director, Service/Defense Agency OSBP, and the Director, DCMA, OSBP before the agreement starts.

Developmental assistance costs may only be incurred after receipt of an approval letter from the OSBP Director to DCMA. Note: The official start date is the date identified on the DoD OSBP/DCMA approval letter.







CHAPTER 6 – PROPOSAL SUBMISSION AND APPROVAL PROCESS

1. 6.1. Solicitation Announcement

The purpose of this section is to provide MPP solicitation standards while maintaining a level of autonomy for DoD agency Small Business Directors to execute their solicitation in an efficient and effective manner that best meets the needs of the agency as well as the objectives of the DoD MPP. The implementation of a 2-step solicitation process yields greater efficiency in the execution of the agreement development. The first step is a Broad Agency Announcement or an Open Call for submittals and the second step is a request for proposal. The BAA or Open call timelines shall be coordinated with DoD OSBP to ensure ease of access to industry of the information. The solicitation should include information about an agency's mission priorities so that potential Mentor-Protégé (MP) teams can identify their technology transfer for their white paper and their Mentor-Protégé Agreement (MPA). See Appendix I for Sample BAA or Solicitation Language.

 6.1.1. Mission Priorities or Topic Selection and Notification: Services/Defense Agencies MPP PMs collect topics or identify mission priorities and submit them to OSBP for sharing to the MPP community. These mission priorities or topics should be included as part of the published first step of the solicitation.

2. 6.2. Step One: Mentor-Protégé White Paper Submission

The Mentor is responsible for collaborating with the protégé to submit a white paper to allow Services/Defense Agencies to prioritize and select what technology transfer they will pursue. Submissions shall be submitted in accordance with the instructions in the Services/Defense Agencies' BAA and shall be protected from unauthorized disclosure in accordance with stated or highlighted clauses, applicable laws, and DFARS regulations. Offerors that include in their submission, data that they do not want disclosed, shall mark their submission in accordance with the instructions within the BAA, restricting their white paper as appropriate. (Please see <u>Appendix J</u> or a sample white paper and checklist). The white paper should, at a minimum, include the following:

- i. Executive Overview with a summary of what the MP agreement will accomplish, its benefit to the warfighter, and how it will align with mission priorities, program, or system of record.
- ii. Identification of the mentor and protégé firms, their capabilities, key personnel, the relationship between the companies, and program eligibility (requirements for eligibility are contained in DFARS Appendix-I (102) and (Key Personnel Addendum Template).







- a. Mentors are solely responsible for selecting a protégé with whom they will develop a successful business relationship. Selection should be made in accordance with <u>DFARS Appendix-I (104)</u> "Selection of Protégé Firms."
- i. Identification of previous participation by both the Mentor and the Protégé in the Mentor-Protégé Program with certification that what they are proposing is not duplicative of prior/current efforts performed on any other DoD or Federal MPAs.
- ii. Planned developmental assistance based on the protégé needs assessment (Developmental Assistance Approach Template).
- iii. Rough Order of Magnitude (ROM) or a high-level cost estimate, period of performance, and subcontracting opportunities for the protégé must be identified (Rough Order of Magnitude (ROM) Cost Estimate Template).
- iv. Planned use of authorized subcontractors (suggested at a minimum 5% but not to exceed 49%).
- v. Endorsement letters and technical assurance that this is a viable investment.

3. 6.3. Step Two: Mentor-Protégé Proposal

Based on the Services/Defense Agencies' evaluation of the white papers in step one, a request for proposal will be sent to the selected Mentor-Protégé team. The mentor is responsible for working with the protégé to develop an MPA Proposal for each Mentor-Protégé relationship in accordance with the provisions listed in the MPA request for proposal (RFP).

- 6.3.1. Proposal Submission. The mentor is responsible for submitting the signed proposed Mentor-Protégé Package in accordance with the instructions in the MPA RFP.
- ii. 6.3.2. MPP Proposal Package Required Sections. Mentor-Protégé Proposal Packages/Agreements for submission to Component OSBP must contain the following sections with each one separately identified:
 - a. Completed Proposal Package Cover Checklist. (Appendix K).
 - b. Executive Summary. The Executive Summary details the overall summary of the agreement.
 - c. The Signed Mentor-Protégé Agreement. Required elements of MPAs are defined in <u>DFARS Appendix-I (107)</u>. All elements of this section MUST be addressed separately (<u>Mentor-Protégé Agreement Template</u> and Comprehensive Needs Assessment Template).
 - d. Technical Proposal. The Technical Proposal details the developmental assistance plan (DAP), including the tasks, work breakdown structure, and







- milestones, as described in the Mentor-Protégé Agreement <u>DFARS</u>

 Appendix-I (107) (f) and Developmental Assistance Approach Template.
- e. Cost Proposal. The Cost Proposal includes a detailed cost breakout aligning with the statement of work (SOW), schedule, and performance milestones for the contract's duration. The Cost Proposal will also include the HBCU, MSI, SBDC, APEX Accelerator, WBC, and MII sub-contract proposal (Rough Order of Magnitude (ROM) Cost Estimate Template).
- f. Reporting Requirements. Shall include a statement of compliance for reporting from the mentor and protégé in accordance with DFARS Appendix -I (107) (j) and as stated in MPA and all other reporting requirements for the duration of the agreement. Reporting is required of the protege for an additional five (5) years after the MPA concludes. Details can be found in <u>DFARS Appendix I-107</u>.
- iii. 6.3.3. Proposal Evaluation Services/Defense Agencies evaluate and approve proposals, taking into consideration whether the proposal aligns with DoD priorities to include: 1) completion of items on the Proposal Package Checklist; 2) contribution to the Services/Defense Agencies' mission; 3) major programs of record; 4) contribution to critical and emerging technologies; 5) solutions to challenges/threats facing DoD across the entire enterprise; 6) return on investment (ROI); 7) impact on the industrial base; 8) subcontracting opportunities for the protégé; and 9) involvement of HBCU, MSI, Apex Accelerator, SBDC, WBC, MII. The evaluation criteria are in addition to the DFARS Appendix-I requirements.

4. 6.4. MPA Approval Process

- i. In line with DoD OSBP's oversight authority for the OSBP MPP, the DoD OSBP Director has final concurrence or veto authority to fund Services/Defense Agencies' approved MPAs. Services/Defense Agencies Small Business Directors approve their agency's MPAs. After MPA approval by the cognizant Service/Defense Agency Director, a funding request (see Appendix D for funding request letter sample) will be forwarded to the DoD OSBP MPP Director. All Services/Defense Agencies MPP PMs must use the proposal checklist and reference the page number for all required elements of the proposal. For the direction of all requested.
 - a. 6.4.1. Prior to approval for any MPA proposed at \$750,000 or greater per annum, at the direction of the Director of OSBP, such MPA must be reviewed and concurred by the DoD MPP Associate Director.







b. 6.4.1.2 Once final packages are reviewed by the DoD OSBP MPP Director, the Director, SBP, and Service/Defense Agency will notify the mentor of the evaluation result. If favorable, a Letter of Approval will be issued. If the evaluation is not favorable, the Services/Defense Agencies MPP PMs will notify the mentor of disapproval and are encouraged to either debrief the mentor and/or provide them an opportunity to resubmit their MPP Applications for reconsideration.







CHAPTER 7 – AGREEMENT MANAGEMENT AND ADMINISTRATION

1. 7.1. Agreement Kickoff

The Services/ Defense Agencies' PM shall hold an initial kickoff meeting within the first 30 days of the agreement award (Appendix L and Appendix M).

- i. 7.1.1. Initial kickoff purpose:
 - a. Review the high-level program purpose and developmental assistance plan.
 - b. Define program goals and objectives.
 - c. Exchange important contacts and key agency contacts to include DCMA team.
 - d. Review reporting requirements.
 - e. Discuss invoicing procedures.
 - f. Review the milestone schedule.
 - g. Introduce authorized subcontractors and their roles.
 - h. Review travel procedures and expectations of conference attendance and training requirements.
- ii. 7.1.2. Services/ Defense Agencies' PMs can add additional topics where appropriate.

2. 7.2. Quarterly Agreement Reviews (QARs)

Services/ Defense Agencies' PMs shall conduct quarterly assessments to determine program status and address any issues, questions, or concerns. For reimbursable agreements, agency PMs will ensure DCMA and other stakeholders are present during the agency's QARs. Mentors shall address scheduling, expenditures, certification status, training courses, and any other items pertinent to the performance under the agreement.

i. 7.2.1. Service/Defense Agency MPP PM should immediately report any concerns identified during agency QARs to DoD OSBP MPP PM and their SB Director.

3. 7.3. Reporting

As part of the roles, responsibilities, and oversight of each Service/ Defense Agency MPP PM, there are reports required by DoD OSBP and DCMA. The following outlines those reports and the deadlines by which the Service/Defense Agency MPP PMs are expected to encourage and remind participants of reporting compliance.

i. 7.3.1. Quarterly Program Management Reviews. Quarterly Program Management Reviews (PMRs) are required to be briefed to the DoD OSBP MPP Director. Each Service/Defense Agency MPP PM shall complete a quarterly PMR slide deck and







submit the slide deck to the DoD OSBP 48 hours prior to the scheduled quarterly PMR meeting. On average, a minimum of 25% of the MPAs managed by the Service/Defense Agency MPP PM will be briefed and should be inclusive of any agreement that may have identified risks or challenges. It is important that each MPP PM has reconciled with DCMA and the DoD OSBP BFM for all relevant information and data being presented prior to the scheduled quarterly PMR meeting. At the discretion of the DoD OSBP MPP Director, additional information or review may be requested to be briefed.

- ii. The Service/Defense Agency MPP PM should be able to discuss each portion of the PMR slides including financial execution, dormant accounts, performance against milestones, and evaluation of the relationships between mentors and protégés to collect relevant metrics, identify and address issues, receive success stories, and address reporting and programmatic oversight. This financial information includes expenditures, obligations, invoices, risks, milestone achievements, return on investment (ROI), risk ratings, and upcoming options to be exercised. See Quarterly PMR Review Slides Template for the quarterly PMR Review Slides. Please DO NOT alter the template format.
- iii. 7.3.2. Semi-Annual Reports (SARs). SARs are an essential part of the Program's success. These reports are administered and managed by DCMA. The Mentor-Protégé teams are required to submit these reports to the DoD OSBP MPP Director, DCMA, and the Services/Defense Agencies' MPP PMs. These reports should be reviewed by DCMA for accuracy and consistency in accordance with monthly reports and quarterly PMRs submitted throughout the year. If inconsistencies are discovered, they should be reported by DCMA to the mentor and the Services/Defense Agencies MPP PM using the SAR checklist. Once all corrections have been made, the final reports shall be forwarded to the DoD OSBP MPP Director by DCMA. Please see Semi-Annual Report and SAR checklist Template for the DoD Mentor-Protégé Program Semi-Annual Report Template and SAR checklist.
- iv. 7.3.3. Annual Review Reports. Annual Review Reports are very important to program success. Annual DCMA questionnaires, and all backup documentation such as invoices and employee rosters, are submitted to DCMA and the Service/Defense Agency MPP PM by the Mentor-Protégé team. These reports should be reviewed by DCMA for accuracy and consistency in accordance with monthly reports and quarterly PMRs submitted throughout the year. If inconsistencies are discovered, they should be reported by DCMA to the mentor, the protégé, and the Services/Defense Agencies MPP PMs immediately through the DCMA annual review process.
 - a. 7.3.3.1. Risk Factors. After DCMA conducts its annual review of each agreement, a risk rating is assigned. This risk rating is determined by







assessing the semi-annual reports, milestone management, and the ROI. The ratings are LOW, MODERATE, or HIGH.

- v. 7.3.3.2. Agreements given a High-risk rating are required to submit a Corrective Action Plan (CAP) to DCMA, the Service/Defense Agency MPP PM, and the DoD OSBP MPP Director. If termination is recommended, the process by which an agreement is terminated may be found in DFARS Appendix I-111. Refer to DoD Mentor-Protégé Program Annual Review Documents. DoD Mentor-Protégé Program Annual Review Documents include:
 - a. Annual Review Form Credit Template
 - b. Annual Review Form Reimbursable Template
 - c. Credit Mentor Questionnaire Template
 - d. Credit Protège Questionnaire Template
 - e. Credit Annual Review Form Template
 - f. Reimbursable Mentor Questionnaire Template
 - g. Reimbursable Protège Questionnaire Template
 - h. Reimbursable Annual Review Template
 - vi. 7.3.4. Post-Agreement Reports. Post-Agreement Reports are invaluable attributes for measuring the success of the program. DCMA will communicate with the protégé the specific requirements of this reporting aligning with the last annual reporting period (DoD Mentor-Protégé Program Post-Agreement Report Template). The Post-Agreement Report will be provided to both the Services/Defense Agencies MPP PM, and the DoD OSBP MPP Director. These reports are required for all completed agreements even if no activity has occurred. Reports shall be submitted for five (5) consecutive years after agreement completion and must address a complete year. DO NOT alter the template format.

Note: Post reports are not produced on terminated agreements.

4. 7.4. Executive Summary

DCMA performs a review based on all the data from the annual reports and will provide a program summary overview using the <u>Executive Summary Template</u>.

5. 7.5. Agreement Modifications

i. 7.5.1. Period of Performance (POP) Extensions (Cost and No Cost): Mentor shall submit a POP extension request to the Service/Defense Agency MPP PM and DCMA. The Service/Defense Agency PM performs a programmatic and technical review. If acceptable, the Service/Defense Agency PM requests approval from the







Service/Defense Agency Director, OSBP, then provides a written request for approval/concurrence from the DoD OSBP MPP Director. If granted, the Service/Defense Agency PM will work with the Contracting Officer for contract modification. If approved and the modification requires additional funding, the Service/Defense Agency MPP PM will request funding from the Director, DoD OSBP MPP. The Services/Defense Agency's Contracting Officer will issue any required modifications and communicate with the Mentor. If the modification does not require additional funds, the Service/Defense Agency Contracting Officer will issue any required modifications and communicate with the Mentor. All extensions (cost or no cost) will require a letterhead memo, signed by the Service/Defense Agency Small Business Director, highlighting the tasks/performances to be completed, timeline, and additional costs required.

- ii. 7.5.2. Milestone/Performance: If there is a change in the milestones, the mentor must submit a change request to the Service/Defense Agency MPP PM and DCMA clearly identifying and justifying the changes to the developmental assistance plan in the MPA. The Service/Defense Agency PM performs a programmatic and technical review, if approved, then forwards to the Services/Defense Agencies Contracting Officer. The Service/Defense Agency Contracting Officer will issue any required modifications and communicate with the Mentor. If the modification requires additional funds, the Service/Defense Agency MPP PM must submit a request via a letterhead memo, signed by the Service/Defense Agency Small Business Director, detailing the specifics that the funds will cover.
- 7.5.3. Mentor-Protégé Agreement Option-Year Approval: The Services/Defense Agencies' MPP PMs are required to evaluate (at least 90 days prior) MPAs that are being considered for an option-year approval. DCMA recommendations and most current performed annual reviews will be considered during the PMs evaluation. Services/Defense Agencies' MPP PMs are responsible for reviewing the cost, schedule, and performance of the agreement ensuring that the Mentor-Protégé relationship remains consistent with program objectives. All option-year approvals will require a letterhead memo, signed by the Service/Defense Agency Small Business Director, highlighting the option-year, timeline, and funding required.

6. 7.6. DoD MPP Program Reviews:

i. 7.6.1. SBA Report: OSBP MPP support staff must annually draft a report for the Small Business Administration (SBA), <u>Appendix R</u>, in support of the requirement from Section of the Small Business Act for SBA (15 U.S.C. 657r(c)) shall provide to the Administrator, on an annual basis, the information necessary for the Administrator to submit a report that:







- a. 7.6.1.1. Identifies the DoD Mentor-Protégé Program.
- b. 7.6.1.2. Specifies the number of participants within the DoD program that are:
 - 1. 7.6.1.2.1. Small business concerns.
 - 2. 7.6.1.2.2. Small business concerns owned and controlled by service-disabled veterans.
 - 3. 7.6.1.2.3. Qualified HUBZone small business concerns.
 - 4. 7.6.1.2.4. Small business concerns owned and controlled by socially and economically disadvantaged individuals; or
 - 5. 7.6.1.2.5. Small business concerns owned and controlled by women.
- c. 7.6.1.3. Describes the type of assistance provided to protégés.
- d. 7.6.1.4. Describes the benefits provided to mentors.
- e. 7.6.1.5. Describes the progress of protégés with respect to competing for Federal prime contracts and subcontracts.







CHAPTER 8 – FINANCIAL MANAGEMENT

1. 8.1. Budget and Spend Plan Development

- 8.1.1. DoD OSBP Associate Director (AD), BFM releases the call for Component/Agencies to submit a budget, ranked in order of priority, in the 3rd quarter timeframe for the next FY. The request will outline the participating agency's MPP financial requirements by detailing each current and new MPA.
- ii. 8.1.2. Component/Agencies shall submit budgets by the deadline in the 3rd quarter, established by the DoD OSBP AD, BFM.
- iii. 8.1.3. DoD MPP Support Staff compiles responses into a master file for review and approval by the DoD OSBP AD BFM and the DoD OSBP MPP Director.
- iv. 8.1.4. DoD OSBP MPP Director presents the master file to the OSBP Director for review and approval.
- v. 8.1.5. When approved, the DoD MPP Support Staff prepares memorandums for each agency with the spend plan attached for OSBP AD BFM signature.
- vi. 8.1.6. Memorandums are distributed to the Services/Defense Agencies' OSBP Directors and their MPP Program Managers (Appendix C).
- vii. 8.1.7. If there are any necessary changes to a program's spend plan, an update to the original budget submission must be provided to the DoD OSBP MPP Director and DoD OSBP AD BFM for review. The new budget will go through the review and approval process. If approved, a reissuance of the revised spend plan will be provided.

It is imperative that all deadlines are adhered to, as the DoD OSBP BFM derives expected funds for the next year in accordance with what has been expended in the current fiscal year. Upon receipt of the requested budgets, the DoD OSBP BFM team will contact each MPP PM to review and discuss any issues or questions. All final budget approvals will be released in October. Budget approvals are subject to change based on cost analysis by DoD OSBP of each MPA agreement funding request. Please see DoD Mentor-Protégé Program Annual Budget Submission Template. DO NOT alter template format.







8.2. Funds Request

- 8.2.1. Services/Defense Agencies' MPP PM submits the requests for funds on the Services/Defense Agencies' letterhead signed by the Services/Defense Agencies' OSBP Director to the DoD OSBP MPP Director. See <u>Appendix D</u> for a sample.
- ii. 8.2.2. Where applicable, reimbursable MIPR agreements are coordinated with the cognizant Services/Defense Agencies to establish the General Terms and Conditions (GT&C) with the signatory completion of forms FS 7600A and FS 7600B Agreements, to support the transfer of funds for all reimbursable MIPR required agreements (FS 7600A Template).
- iii. 8.2.3. Upon completion of the funding action in the financial management division (FMD) system, the financial team will provide the DD448 (MIPR) to the requesting Services/Defense Agency's PM.
 - a. 8.2.3.1. MIPR Acceptance (DD448-2): All DD448-2s will be returned within seven (7) business days of receipt of the DD448. If additional time is required, the Services/Defense Agencies' MPP PMs will notify the DoD OSBP MPP Director and DoD OSBP AD BFM in writing of the additional time needed to process.
- iv. 8.2.4. Once awarded, the Services/Defense Agency's PM will provide the contract or modification to the OSBP AD BFM within 30 days for processing.
 - a. 8.2.4.1. Awards and modifications must be provided to OSBP AD BFM as soon as possible, but not to exceed 30 business days from the date of award, unless coordinated and authorized by the DoD OSBP MPP Director.
- v. 8.2.5 Both OSD and Services/Defense Agencies' offices will track execution of awards for discussion during financial and program reviews.

2. 8.3. MPA Financial Tracking/Reporting

i. 8.3.1. Monthly Execution Reports (MERs). MERs are due to DoD OSBP AD BFM and to DoD OSBP MPP Director by the 15th of each month. Please see Monthly Execution Report Template for the MER template that should be submitted. Please ensure that all tabs within the template are updated in entirety and DO NOT alter information or format. MER data should change monthly as mentors submit monthly invoices, and financial information is updated. All mentors shall invoice at least once monthly and submit monthly reports to the







Services/Defense Agencies' MPP PMs. Any special arrangements should be annotated in the MER by the Services/Defense Agencies' MPP PMs.

Note: All Services/Defense Agencies' MPP PMs are advised that periodic invoicing is no longer available. At least once monthly invoicing is mandatory.

- ii. 8.3.2. Dormant Account Review Quarterly (DARQ). Quarterly the OSD Comptroller will provide a DARQ list to the DoD OSBP AD BFM. The Services/Defense Agencies' DARQ list will be provided to the Services/Defense Agencies' MPP PMs for review and analysis. Services/Defense Agencies' MPP PMs are expected to adhere to the deadlines established for responding to the DARQ data calls by acting and submitting comments as well as supporting documentation where applicable (i.e., 448-2, contract modifications or contract closeout communication). Please see Dormant Account Review Quarterly (DARQ) Template.
- iii. 8.3.3. Monthly Financial Update. DoD OSBP AD BFM will provide updates during the monthly PM meeting on the availability of funds, outstanding financial actions, and OSD-level financial impacts (i.e., Continuing Resolutions, program portfolio reductions, congressional levied impacts, etc.).

3. 8.4. MPA Closeout

- i. 8.4.1. MPA contract closeout is the responsibility of the Services/Defense Agency Contracting Officer, supported by the Services/Defense Agency MPP PM.
 - a. 8.4.1.1. Services/Defense Agencies' MPP PMs should be diligent in ensuring that all appropriate documentation is provided to the DoD OSBP MPP Director and DoD OSBP AD BFM to facilitate the timely return of funding.
 - b. 8.4.1.2. Current closeout status should be accurately and continuously documented in the MER.

Note: Close attention to this process is imperative for the proper allocation of funding and resources for the overall MPP.

4. 8.5. Financial Inquiries

ALL inquiries, questions, and submissions of financial-related information and associated documentation shall be submitted to the OSD MPP Financial Mailbox at: osd.pentagon.ousd-atl.mbx.osbp-mpp-financials@mail.mil.







CHAPTER 9 – NUNN-PERRY AWARDS

1. 9.1 Overview

The award is named for the contributions of former Senator Sam Nunn and former Secretary of Defense William Perry, who both played critical roles in the implementation of the DoD Mentor-Protégé Program during the first Gulf War. The Nunn-Perry Awards are presented annually to recognize Mentor-Protégé teams who have demonstrated exemplary efforts in developing skills and capabilities of the protégé firm with identified ROIs and providing products and services to our warfighters, accomplishing relevant and technical transition of skills and capabilities that support the DOD mission and requirements. These teams have demonstrated exemplary efforts in providing products and services. Recipients of the Nunn-Perry Award excel in protégé growth and development.

i. 9.1.1. The time for the call for annual nominations may vary.

2. 9.2. Evaluation Process.

- A. 9.2.1. Nunn-Perry Award. The Department's Nunn-Perry selection board is conducted each fiscal year for all agreements sponsored by Services/Defense Agencies. These awards cover a performance period of 12 months. Nomination packages must include the complete requirements set forth in the call for nominations package (Nunn-Perry Award Nomination Package Template):
 - a. Protégé Growth
 - b. Protégé Business Development
 - c. Protégé Technical Development
 - d. Program Management
 - e. Call for Nominations Package
 - f. Utilization of Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs), APEX Accelerators, Women's Business Centers (WBCs), Manufacturing Innovation Institutes (MIIs), or Small Business Development Centers (SBDCs), and other authorized subcontractors
 - ii. 9.2.2. Detailed descriptions of these criteria and the relative weighting of each are stated in the Nunn-Perry Award nomination packages. Nomination package information is sent from the DoD OSBP MPP Director to the Services/Defense Agencies' MPP PMs and DCMA prior to the submission date. Services/Defense Agencies' MPP PMs will send the nomination packages to all eligible participants.







3. 9.3. Nunn-Perry Award Process

- i. 9.3.1. Nominations are received from eligible mentors or protégés.
- ii. 9.3.2. An endorsement letter from their sponsoring DoD Services/Defense Agencies must accompany the nomination submission. The endorsement letter must be signed by the cognizant Services/Defense Agency's Small Business Director. See Appendix N for samples.
- iii. 9.3.3. A review panel is selected to review the submissions based on the criteria in the nomination package (<u>Nunn-Perry Reviewer Evaluation Template</u>). The government panel will consist of Small Business Professionals who do not have any currently active MPAs.
- iv. 9.3.4. A nomination review training session will be provided by DoD OSBP MPP Director to all reviewers.
- v. 9.3.5. The review panel submits its scores for review to the DoD OSBP.
- vi. 9.3.6. The DoD OSBP Director and DoD OSBP MPP Director finalize the results of the review process. In separate emails, all nominees (mentors, proteges, and subcontractors) will be notified of award or non-selection. See <u>Appendix O</u> and <u>Appendix P</u> for sample notifications.
- vii. 9.3.7. Services/Defense Agencies' MPP PMs will coordinate with awardees to provide a brief overview of accomplishments to include a narrative, video, and success story slide (Appendix Q).
- viii. 9.3.8. Awardees will be recognized at a Nunn-Perry Award Ceremony.







CHAPTER 10 – COMMUNICATION AND OUTREACH PROCESSES

1. 10.1. Overview

 10.1.1. Effective communication and outreach play a crucial role in ensuring that MPP initiatives are not only well-received but also achieve their intended impact. Effective communication and outreach empower the DoD to build stronger connections with the public, garner support, and drive positive change in the Defense community.

The primary objective of this communications and outreach plan is to raise awareness of, participation, and successes of the Mentor-Protégé Program to enhance the defense supply chain. The plan will leverage multiple channels, including news outlets, in-person and online events, social media, website, and digital marketing, to effectively reach and engage the target audience. At a minimum, news outreach includes press releases, media kits, media contacts lists, and op-eds; in-person and online events including networking events, webinars, government and industry conferences, and workshops; content calendar and visual assets; website; and digital marketing that includes newsletter, personalized emails, and email banners.

2. 10.2. Speakers and Participants

- i. 10.2.1. The OSBP Strategic Communications team will ensure that participants and speakers have a signed publicity waiver.
 - a. 10.2.1.1. Strategic Communications will post visual information captured for the Mentor-Protégé Program utilizing the following channels (as applicable and at a minimum):
 - LinkedIn: https://www.linkedin.com/company/dod-osbp
 - X, formerly known as Twitter: https://twitter.com/businessdefense
 - Facebook: https://www.facebook.com/BusinessDefense
 - YouTube: https://www.youtube.com/@businessdefense
 - Flickr: https://www.flickr.com/photos/dod-osbp/
 - DVIDs: https://www.dvidshub.net/unit/DoDOSBP
- ii. 10.2.2. The OSBP Strategic Communications team will synergize external communication strategies mentioned above.
 - a. 10.2.2.1. Social Media: Strategic Communications manages the OSBP social media channels listed above and will post content in accordance with routine







OSBP messaging priorities, from an approved editorial calendar and messaging plan, and by ad hoc request (<u>Social Media Request Form Template</u>).

- iii. 10.2.3. News Releases: Strategic Communications manages the review and approval process for all news releases with the OSBP Director and the DoD Public Affairs Office. OSBP Strategic Communications will collaborate with the event or initiative leader on appropriate messaging and content. Subject Matter Experts (SMEs) should expect to be involved in some of the content development process for a news release; however, Strategic Communications will ensure the final release aligns with OSBP messaging strategy, is grammatically correct and free of errors, and follows the appropriate news release format.
- iv. 10.2.4. Media Interviews: Advanced prior coordination and approval with OSBP Strategic Communications is required prior to any conversions with reporters or news personnel. Do not engage in an on-the-record or off-the-record conversation.

3. 10.3. Outreach Events

i. 10.3.1. Event Participation Request: The process for notification or request for participation in outreach events from the Director Mentor-Protégé Program requires the completion of the Event request form found at: https://business.defense.gov/Engage/Speaker-Request. The form is in the Engage menu item on the OSBP website. The form prompts requesters to include the key information needed to evaluate and plan for the Director of the Mentor-Protégé Program to attend an external event, whether virtually or in-person (Mentor-Protégé Program Event Request Form Template). Submitted forms are received by the Industry Engagement Team where the request is shared, evaluated, and vetted with appropriate individuals.

36







FOR FURTHER ASSISTANCE

For further assistance regarding this Standard Operating Procedure, please contact:

DoD OSBP MPP Team

Email: osd.pentagon.ousd-a-s.mbx.osbp-mpp@mail.mil

Office: 571-372-6191







REFERENCES

- 1. National Defense Authorization Act for Fiscal Year 2016: Legislative Text and Joint Explanatory Statement to Accompany S. 1356, Public Law 114-92. Available at: https://republicans-
- <u>armedservices.house.gov/sites/republicans.armedservices.house.gov/files/wysiwyg_uploaded/FY_16%20NDAA%20Joint%20Explanatory%20Statement.pdf.</u>
- 2. Office, U. S. G. A. (n.d.). Small Business Contracting: DOD Should Take Actions to Ensure That Its Pilot Mentor-Protégé Program Enhances the Capabilities of Protégé Firms. Available at: https://www.gao.gov/products/gao-17-172.
- 3. Acquisition.gov. 2022. 219.7103-2 Contracting officer responsibilities. | Acquisition.GOV. [online] Available at: https://origin-www.acquisition.gov/dfars/219.7103-2-contracting-officer-responsibilities [Accessed 8 March 2022].
- 4. Acquisition.gov. 2022. 31.109 Advance agreements. | Acquisition.GOV. [online] Available at: http://www.acquisition.gov/far/31.109 [Accessed 8 March 2022].
- 5. Acquisition.gov. 2022. 32.504 Subcontracts under prime contracts providing progress payments. | Acquisition.GOV. [online] Available at: https://www.acquisition.gov/far/32.504 [Accessed 9 March 2022].
- 6. LII / Legal Information Institute. 2022. 48 CFR Appendix I to Chapter 2 Policy and Procedures for the DoD Pilot Mentor-Protégé Program. [online] Available at: https://www.law.cornell.edu/cfr/text/48/appendix-I to chapter 2[Accessed 9 March 2022].
- 7. 3 Sec. 831 National Defense Authorization Act for Fiscal Year · PDF file1 National Defense Authorization Act for Fiscal Year 1991 [Public Law 101–510; November 5, 1990; 104 Stat. [online] Available at: https://vdocuments.mx/3-sec-831-national-defense-authorization-act-for-fiscal-yea-national-defense-authorization.html [Accessed 10 October 2023].
- 8. Acquisition.gov. 2022. 219.7103-2 Contracting officer responsibilities. | Acquisition.GOV. [online] Available at: 219.7103-2 Contracting officer responsibilities. | Acquisition.GOV.
- 9. Acq.osd.mil. 2022. APPENDIX I POLICY AND PROCEDURES FOR THE DOD PILOT MENTOR-PROTEGE PROGRAM. [online] Available at: https://www.acq.osd.mil/dpap/dars/dfars/html/current/appendix_i.htm.
- 10. Acquisition-staging.gsa.gov. 2022. I-108 Submission and approval of mentor-protege agreements. | Acquisition.GOV. [online] Available at: <u>I-108Submission and approval of mentor-protege agreements</u>. | Acquisition.GOV (gsa.gov).
- 11. Acquisition.gov. 2022. I-102 Participant eligibility. | Acquisition.GOV. [online] Available at: https://www.acquisition.gov/dfars/i-102participant-eligibility.







12. Acquisition.gov. 2022. PART 219 - SMALL BUSINESS PROGRAMS | Acquisition.GOV. [online] Available at: https://www.acquisition.gov/dfars/subpart-219.71-%E2%80%94pilot-mentor-protege-program.







ACRONYMS

AR – Annual Review

A&S – Acquisition and Sustainment

BAA – Broad Agency Announcement

BFM – Business and Financial Manager

DARQ - Dormant Account Review Quarterly

DCMA – Defense Contract Management Agency

DFARS – Defense Federal Acquisition Regulation Supplement

DoD – Department of Defense

ESRS – Electronic Subcontractor Reporting System

FAR – Federal Acquisition Regulation

FMD – Financial Management Division

GAO – Government Accounting Office

GT&C – General Terms and Conditions

MER – Monthly Execution Report

MIPR – Military Interdepartmental Purchase Request

MPA – Mentor-Protégé Agreement

MPP – Mentor-Protégé Program

OMB – Office of Management and Budget

OSBP – Office of Small Business Programs

OUSD – Office of the Under Secretary of Defense

PM – Program Manager

PTACs – Procurement Technical Assistance Centers (now referred to as APEX Accelerators)

SBDCs – Small Business Development Centers

SSR – Summary Subcontract Report