

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT			1. CONTRACT ID CODE J	PAGE OF PAGES 1   6
2. AMENDMENT/MODIFICATION NUMBER 0001	3. EFFECTIVE DATE 23 APR 2025	4. REQUISITION/PURCHASE REQUISITION NUMBER	5. PROJECT NUMBER ( <i>If applicable</i> ) 505014	
6. ISSUED BY  W072 ENDIST LOUISVILLE KO CONTRACTING DIVISION, 600 DR MARTIN LUTHER KING JR PL LOUISVILLE, KY 40202-2230 UNITED STATES ALEX HAMILTON, EMAIL: ALEX.J.HAMILTON@USACE.ARMY.MIL	CODE W912QR	7. ADMINISTERED BY ( <i>If other than Item 6</i> )  SCD: PAS:	CODE	
8. NAME AND ADDRESS OF CONTRACTOR ( <i>Number, street, county, State and ZIP Code</i> )			(X)	9A. AMENDMENT OF SOLICITATION NUMBER  W912QR25RA023
			<input checked="" type="checkbox"/>	9B. DATED ( <i>SEE ITEM 11</i> ) 31 MAR 2025
			<input type="checkbox"/>	10A. MODIFICATION OF CONTRACT/ORDER NUMBER
			<input type="checkbox"/>	10B. DATED ( <i>SEE ITEM 13</i> )
CODE	FACILITY CODE			

CODE

**FACILITY CODE**

**11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS**

The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers  is extended.  is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods:

(a) By completing items 8 and 15, and returning 1 copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or electronic communication which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by letter or electronic communication, provided each letter or electronic communication makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

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**12. ACCOUNTING AND APPROPRIATION DATA (If required)**

SEE SECTION G - CONTRACT ADMINISTRATION DATA

**13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS.  
IT MODIFIES THE CONTRACT/ORDER NUMBER AS DESCRIBED IN ITEM 14.**

CHECK ONE	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: ( <i>Specify authority</i> ) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NUMBER IN ITEM 10A.
<input type="checkbox"/>	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES ( <i>such as changes in paying office, appropriation data, etc.</i> ) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
<input type="checkbox"/>	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
<input type="checkbox"/>	D. OTHER ( <i>Specify type of modification and authority</i> )

**E. IMPORTANT:** Contractor \_\_\_\_\_ is not \_\_\_\_\_ is required to sign this document and return copies to the issuing office.

**14. DESCRIPTION OF AMENDMENT/MODIFICATION** (*Organized by UCF section headings, including solicitation/contract subject matter where feasible.*)

SEE SCHEDULE

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER ( <i>Type or print</i> )	16A. NAME AND TITLE OF CONTRACTING OFFICER ( <i>Type or print</i> )		
15B. CONTRACTOR/OFFEROR	15C. DATE SIGNED	16B. UNITED STATES OF AMERICA	16C. DATE SIGNED
<hr/> <i>(Signature of person authorized to sign)</i>		<hr/> <i>(Signature of Contracting Officer)</i>	

**SECTION SF 30 BLOCK 14 CONTINUATION PAGE****SUMMARY OF CHANGES****Block 14 (Description of Amendment/Modification): SOLICITATION AMENDMENT 0001**

Solicitation No. W912QR25RA023 for the Construction of a Microgrid System at Conroe Army Reserve Center (ARC) located in Conroe, TX is hereby amended as follows:

- A. The proposal due date has been extended from 30 April 2025 at 2:00 PM ET to 14 May 2025 at 2:00 PM ET.
- B. The ability to enter technical inquiries and questions relating to proposal procedures or bonds has been extended. ProjNet will be disabled on Friday, 02 May 2025 at 3:00 PM ET. No Government responses will be entered into the ProjNet system after Friday, 09 May 2025 at 3:00 PM ET.
- C. The following items have been revised under SECTION 00 22 12 PROCEDURES FOR SUBMITTAL OF OFFERS AND PROPOSAL EVALUATION CRITERIA:
  - 1.) Paragraph 5 Volume I - Factor I: Past Performance, Subparagraph 5.1.1 has been deleted in its entirety.
  - 2.) Paragraph 5 Volume I - Factor I: Past Performance, Subparagraph 5.1.5 has been revised to remove item c. from the additional considerations.
  - 3.) Paragraph 5 Volume I - Factor I: Past Performance, Subparagraph 5.2.4 has been deleted in its entirety.
  - 4.) Paragraph 6 Volume I - Factor II: Technical Approach, Subparagraph 6.3.1. has been revised to replace "Equipment lightoff" with Equipment startup".
- D. Offerors must acknowledge all amendments.
- E. All other terms and conditions remain unchanged.

**SECTION 00 22 12**  
**PROCEDURES FOR SUBMITTAL OF OFFERS AND PROPOSAL EVALUATION CRITERIA**

**1. Overview.**

- 1.1 The intent of this solicitation is to select one (1) contractor for Construction of a Microgrid system at Conroe Army Reserve Center (ARC) in Conroe, TX. This is a single-phase procurement, and the basis of award is the Best Value Trade-Off process. Potential offerors are invited to submit the information described in this Section 00 22 12 for review and evaluation by the Government. The Government will evaluate the proposals in accordance with the criteria described herein. The Contracting Officer will award a firm-fixed-price (FFP) contract to the responsible offeror whom the Source Selection Authority (SSA) determines conforms to the solicitation, is fair and reasonable, and offers the best overall value to the Government, all factors considered. The Government reserves the right to accept other than the lowest priced offer or to reject all offers.
- 1.2 This project is for a Design-Bid-Build, Request for Proposal (RFP), Solicitation No. W912QR25RA023, for Construction of a Microgrid system at Conroe Army Reserve Center (ARC) in Conroe, TX. The design/bid/build construction project provides energy resiliency by providing an on-site, automated energy control / generation storage management system: Construct a microgrid system, including a smart grid control system, that will have full islanding capability. The microgrid system will incorporate a new 388kW carport mounted photovoltaic (PV) solar array and 1-340kW natural gas backup generator system, with load-balancing controllers to reduce fuel use. The microgrid system will include master microgrid controller, and an automated distribution switch to disconnect the Army Reserve Center (ARC) from local electrical utility grid during grid outages. Microgrid will be installed on a closed restricted network (CRN) requiring an Authority to Operate (ATO) IAW Department of Defense (DoD) policies. System cybersecurity requirements IAW UFC 4-010-06 “Cybersecurity for Facility Related Control Systems” are included in the specifications.
- 1.3 The microgrid system will support energy resiliency by providing on-site energy generation, this includes the installation of natural gas (NG) generators, PV system, microgrid control system, electrical interconnection switchgear, interconnection circuit wirings, and modification to the existing electrical distribution system as necessary to establish the Conroe ARC microgrid network. The PV array shall meet IEEE (Institute of Electrical and Electronic Engineers) Standard 1741-SA, 2018 IEEE 1547 for Interconnection, as well as meet all federal, state, and local code requirements. The PV system will be designed to utilize PV power on-site prior to feeding into the local grid. The net metering and interconnection agreements will require approval by the utility provider, CenterPoint Energy. Contract duration is estimated at 660 calendar days from contract Administrative Notice to Proceed.

**2. Submittal of offers.**

- 2.1 Offerors submitting proposals for this project should limit submissions to data essential for evaluation of proposals so that a minimum of time and monies will have been expended in preparing information required herein. However, in order to be effectively and equitably evaluated, the proposals must include information sufficiently detailed to clearly describe the offeror's capability for successfully completing the solicited project. Requirements stated in this RFP are minimums. Proposals should follow in the order of sequence set forth in the RFP. Information provided out of sequence may not be evaluated and may result in the offeror's disqualification from award.

2.2 Offerors are required to submit a proposal consisting of the information identified in paragraphs 2.3 and 2.4 below. All proposal materials shall be submitted electronically with a table of contents and section dividers in accordance with the Electronic Submittal Instructions via the Procurement Integrated Enterprise Environment (PIEE) Solicitation Module to the U.S. Army Corps of Engineers – Louisville District, no later than the time specified in Block 13 of the Standard Form 1442. Hard copies of proposals will not be accepted. Offerors are encouraged to save a copy of their confirmation of upload in the event there is a technical issue to show proof of upload. The sections should parallel the submission requirements identified herein.

**\*NOTE:** The Louisville District is in the **Eastern Time Zone**.

2.3 Volume I shall be submitted electronically in accordance with the Proposal Submission Instructions in Section 00 21 00 of the solicitation and include the following information:

- Volume I – Factor I: Past Performance
- Volume I – Factor II: Technical Approach
  - Element A: Management Plan
  - Element B: Schedule Narrative
- Volume I – Factor III: Small Business Participation Plan

2.4 Volume II shall be submitted electronically in accordance with the Proposal Submission Instructions in Section 00 21 00 of the solicitation and include the following information:

- Volume II – Tab A: Standard Form 1442 and Price Breakout Schedule
- Volume II – Tab B: Joint Venture Agreements
- Volume II – Tab C: Evidence of Ability to Obtain Bonding and Proof of Financial Ability
- Volume II – Tab D: Pre-Award Information
- Volume II – Tab E: Subcontracting Plan

**\*NOTE 1:** Failure to place the required submission information under the appropriate tab may result in a lower rating if the evaluators cannot readily find the appropriate information. Any specified page limits will be strictly adhered to and enforced. Information submitted that exceeds the specified limit will not be evaluated.

**\*NOTE 2: ALL SUBMISSIONS TO THIS PROPOSAL ANNOUNCEMENT SHALL BE SUBMITTED ELECTRONICALLY THROUGH THE PROCUREMENT INTEGRATED ENTERPRISE ENVIRONMENT (PIEE) SOLICITATION MODULE.** No paper copies, CD-ROMs or facsimile, email or DoD SAFE submissions will be accepted. Electronic Proposal Submission is required through the PIEE Solicitation Module (<https://piee.eb.mil/>). The PIEE Solicitation module application is the Department of Defense's core tool for facilitating full utilization of electronic processing of data and documents, providing timestamped submission of contractor proposals for DoD Contracting offices, and is designed to support large file sizes (1.9 GB per file, with no limit on the number of files) that would normally be too large to send via email. PIEE user accounts are required. The Solicitation's Electronic Proposal Submission instructions, found in Section 00 21 00 of the solicitation, provides basic instructions on navigating to the PIEE website and establishing a user account, as well as instructions on electronic submission of proposals in the PIEE Solicitation Module. When posting the Solicitation via the PIEE Solicitation Module, the solicitation is transmitted to the System for Award Management (<https://sam.gov/>). Interested offerors may access the links transmitted to SAM to directly retrieve the solicitation attachments from the PIEE Solicitation Module, receive web-based training, or obtain registration instructions for the website.

### 3. Proposal Evaluation Process.

- 3.1 A Source Selection Evaluation Board (SSEB) comprised of representatives of the Corps of Engineers, User/Customer, and other required personnel will evaluate the proposals. Offerors are advised that the technical evaluation and rating of proposals will be conducted in strict confidence. Technical proposals (Volume I) will be reviewed and rated without knowledge of the price offered. The number and identities of offerors are not revealed to anyone not involved in the evaluation and award process or to other offerors. Proposals will be evaluated based on the factors described herein, and the basis of award is a Best Value Trade-Off, as stated above in Paragraph 1.1.
- 3.2 The evaluation process essentially consists of four (4) parts: proposal compliance review and responsibility determination, past performance/technical evaluation, price evaluation, and price/technical trade-off analysis.
  - 3.2.1 Proposal Compliance/Responsibility Review: This is an initial review to ensure that all required forms and certifications are complete, that both a technical and price proposal were received, and that the offeror is financially capable of sustaining performance under the contract and is able to obtain the required level of performance and payment bonds from an acceptable surety.
  - 3.2.2 Past Performance/Technical Evaluation: The SSEB will evaluate and rate the Volume I proposals against the RFP requirements. Factor I – Past Performance will be rated using Paragraph 4.6, Tables 1 (Past Performance Relevancy Ratings) and Table 2 (Performance Confidence Rating). The rating will be based on overall confidence in performance, with the final confidence assessment rating based on the extent of recent, relevant past performance and the quality of the offeror's performance. Factor II – Technical Approach will be rated using Table 3 (Combined/Technical Risk Assessment Ratings) and Factor III – Small Business Participation Plan will be rated using Table 4 (Small Business Ratings).
  - 3.2.3 Price Evaluation: The SSEB and Contracting Officer/Source Selection Authority (SSA) will evaluate price proposals independent of, and subsequent to, the technical evaluation. The SSEB will not have access to price information until completion of the technical evaluation.
  - 3.2.4 Price/Technical Trade-off Analysis: After all the above evaluations are complete, the SSA will compare the relative advantages and disadvantages of technical proposals and compare prices. The SSA will then consider all factors to select the proposal offering the best value to the Government.

#### **4. Proposal Information and Related Evaluation Factors.**

- 4.1 Proposals will be evaluated in accordance with the factors below, listed in relative order of importance. **All evaluation factors, other than price, when combined are considered approximately equal to price.** The Government intends to evaluate proposals and award a contract without discussions with offerors (except clarifications as described in FAR 15.306(a)). Therefore, the offeror's initial proposal should contain the offeror's best terms from a price and technical standpoint. The Government reserves the right to conduct discussions if the Contracting Officer later determines them to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.
- |     |                                                                               |                           |
|-----|-------------------------------------------------------------------------------|---------------------------|
| 4.2 | Volume I – Factor I – Past Performance                                        | <sup>1<sup>st</sup></sup> |
| 4.3 | Volume I – Factor II –Technical Approach                                      | <sup>2<sup>nd</sup></sup> |
|     | ○ Element A - Management Plan                                                 |                           |
|     | ○ Element B - Schedule Narrative                                              |                           |
| 4.4 | Volume I – Factor III – Small Business Participation Plan                     | <sup>3<sup>rd</sup></sup> |
| 4.5 | Volume II - Price and Pro Forma Information (Separate file from Volume 1)     |                           |
|     | Tab A Standard Form 1442 and Price Breakout Schedule                          | Not Rated                 |
|     | Tab B Joint Venture Agreement                                                 | Not Rated                 |
|     | Tab C Evidence of Ability to Obtain Bonding and<br>Proof of Financial Ability | Not Rated                 |
|     | Tab D Pre-Award Information                                                   | Not Rated                 |
|     | Tab E Subcontracting Plan (Large Business Offerors Only)                      | Acceptable / Unacceptable |

4.6 Ratings:

Evaluators will apply the adjectival rating for the definition that most closely matches the evaluation.

TABLE 1

<b>Past Performance Relevancy Ratings</b>	
<b>Rating</b>	<b>Description</b>
Very Relevant	Present/past performance effort involved essentially the same scope and magnitude of effort and complexities this solicitation requires.
Relevant	Present/past performance effort involved similar scope and magnitude of effort and complexities this solicitation requires.
Somewhat Relevant	Present/past performance effort involved some of the scope and magnitude of effort and complexities this solicitation requires.
Not Relevant	Present/past performance effort involved little or none of the scope and magnitude of effort and complexities this solicitation requires.

TABLE 2

<b>Performance Confidence Assessment Ratings</b>	
<b>Rating</b>	<b>Description</b>
Substantial Confidence	Based on the offeror's recent/relevant performance record, the Government has a high expectation that the offeror will successfully perform the required effort.
Satisfactory Confidence	Based on the offeror's recent/relevant performance record, the Government has a reasonable expectation that the offeror will successfully perform the required effort.
Neutral Confidence	No recent/relevant performance record is available, or the offeror's performance record is so sparse that no meaningful confidence assessment rating can be reasonably assigned. The offeror may not be evaluated favorably or unfavorably on the factor of past performance.
Limited Confidence	Based on the offeror's recent/relevant performance record, the Government has a low expectation that the offeror will successfully perform the required effort.
No Confidence	Based on the offeror's recent/relevant performance record, the Government has no expectation that the offeror will successfully perform the required effort.

**TABLE 3**

<b>Combined Technical / Risk Assessment Ratings</b>	
<b>Adjectival Rating</b>	<b>Description</b>
Outstanding	Proposal demonstrates an exceptional approach and understanding of the requirements and contains multiple strengths and/or at least one significant strength, and risk of unsuccessful performance is low.
Good	Proposal indicates a thorough approach and understanding of the requirements and contains at least one strength or significant strength, and risk of unsuccessful performance is low to moderate.
Acceptable	Proposal meets requirements and indicates an adequate approach and understanding of the requirements, and risk of unsuccessful performance is no worse than moderate.
Marginal	Proposal has not demonstrated an adequate approach and understanding of the requirements, and/or risk of unsuccessful performance is high.
Unacceptable	Proposal does not meet the requirements of the solicitation, and thus, contains one or more deficiencies and is unawardable, and/or risk of performance is unacceptably high.

**TABLE 4**

<b>Small Business Ratings</b>	
<b>Rating</b>	<b>Description</b>
Outstanding	Proposal indicates an exceptional approach and understanding of the small business objectives.
Good	Proposal indicates a thorough approach and understanding of the small business objectives.
Acceptable	Proposal indicates an adequate approach and understanding of small business objectives.
Marginal	Proposal has not demonstrated an adequate approach and understanding of the small business objectives.
Unacceptable	Proposal does not meet small business objectives.

#### 4.7 Definitions

1. Access Control Systems. Refers to the security measures implemented within the microgrid's control system, limiting who can access and modify its operational parameters, ensuring only authorized personnel can manage the generation, distribution, and load balancing functions of the microgrid, preventing unauthorized changes or potential disruptions to the power supply.
  
2. Adverse Past Performance. Past performance information that supports a less than satisfactory rating from sources where the information is from other than formal rating systems such as “CPARS” or “FAPIIS.” Adverse past performance that must be addressed with Offerors includes unfavorable comments received from sources such as those received from respondents from past performance questionnaires or interviews that have not been finalized within a formal rating system.

3. Centralized Generation. The process of producing electricity at large facilities and distributing it to consumers through a power grid.
4. Clarification. Limited exchanges between the Government and offerors that may occur when award without discussions is contemplated. See FAR 15.306(a)(1).
5. Competitive Range is all the most highly rated proposals (based on the rating of each proposal against all evaluation criteria), unless the range is further reduced for purposes of efficiency. See FAR 15.306(c).
6. Deficiency. A material failure of a proposal to meet a Government requirement or a combination of significant weaknesses in a proposal that increases the risk of unsuccessful contract performance to an unacceptable level. See FAR 15.001.
7. Discussions are exchanges (i.e., negotiations) in a competitive environment that are undertaken with the intent of allowing the offeror to revise its proposal. Discussions take place after establishment of the competitive range. See FAR 15.306(d).
8. Distributed Energy Resources (DER). Smaller generation units that are located on the consumer's side of the meter. Examples of distributed energy resources that can be installed include roof top solar photovoltaic units, wind generating units, battery storage.
9. Duct Bank. A protective conduit system that carries electrical and communication cables for a microgrid. Duct banks can be installed underground or above ground.
10. Generation Storage Management System. A software platform designed to efficiently manage and optimize the storage of data generated by power plants or other energy generation sources.
11. Generator. Generators harness mechanical energy, fueled by natural gas in this case, to create electricity. Natural gas generators use fuels such as propane or natural gas, drawn either from a direct line piped in by utility suppliers or via a tank, to generate electricity.
12. Load-Balancing Controllers. A specialized control unit that actively manages the distribution of electrical load across different distributed energy resources (DERs) within the microgrid.
13. Microgrid. A group of interconnected loads and distributed energy resources within clearly defined electrical boundaries that acts as a single controllable entity with respect to the grid. A microgrid can connect and disconnect from the grid to enable it to operate in both grid-connected mode and island mode.
14. Performance Confidence Assessment. Evaluation of the likelihood (or Government's confidence) that the Offeror will successfully perform the solicitation's requirements; the evaluation is based upon past performance information.
15. Photovoltaics (PV). PV is the conversion of light into electricity using semiconducting materials that exhibit the photovoltaic effect. A photovoltaic system employs solar modules, each comprising a number of solar cells, which generate electrical power. PV installations may be ground-mounted, rooftop-mounted, wall-mounted or floating. The mount may be fixed or use a solar tracker to follow the sun across the sky.

16. Recency. As it pertains to past performance information, recency is a measure of the elapsed time since the past performance reference occurred. Recency is generally expressed as a time period during which past performance references are considered relevant.
17. Relevancy as it pertains to past performance information, is a measure of the extent of similarity between the service/support effort, complexity, dollar value, contract type, and subcontract/teaming or other comparable attributes of past performance examples and the solicitation requirements; and a measure of the likelihood the past performance is an indicator of future performance.
18. Risk as it pertains to source selection, is the potential for unsuccessful contract performance. The consideration of risk assesses the degree to which an offeror's proposed approach to achieving the technical factor or subfactor may involve risk of disruption of schedule, degradation of performance, the need for increased Government oversight, and the likelihood of unsuccessful contract performance.
19. Significant Strength. An aspect of an offeror's proposal with appreciable merit or will exceed specified performance or capability requirements to the considerable advantage of the Government during contract performance.
20. Significant Weakness. A flaw in the proposal that appreciably increases the risk of unsuccessful contract performance. See FAR 15.001.
21. Strength. An aspect of an offeror's proposal that has merit or will exceed specified performance or capability requirements to the advantage of the Government during contract performance.
22. Switchgear. A centralized collection of electrical devices like circuit breakers, fuses, and disconnect switches that function to control, isolate, and protect the flow of power within the microgrid, essentially acting as a central hub for managing electricity distribution and ensuring safety during faults or maintenance needs; it allows for the selective disconnection of circuits when necessary while maintaining power to other parts of the microgrid.
23. Uncertainty. Any aspect of a non-cost/price factor proposal for which the intent of the offeror is unclear (e.g., more than one way to interpret the offer or inconsistencies in the proposal indicating that there may have been an error, omission, or mistake).
24. Weakness. A flaw in the proposal that increases the risk of unsuccessful contract performance. See FAR 15.001.

## **AMENDMENT 0001\*\*\*\*\***

### **5. Volume I – Factor I: Past Performance**

#### **5.1 Submission Requirements:**

- 5.1.1 Provide descriptions of up to three (3) projects substantially complete or completed by the offeror as the Prime Contractor within the last six (6) years (from the solicitation issue date) that are similar to this project in size and scope. Projects completed more than six (6) years before the solicitation issue date may be considered for evaluation purposes but may lessen the overall relevancy rating for that project. Projects are deemed substantially complete when at least 95% of the construction work, including commissioning activities, has been completed. If commissioning is not finalized, provide the current status of

commissioning activities and description of activities remaining. Projects that do not have finalized commissioning activities may be considered for evaluation purposes but may lessen the overall relevancy rating for that project. An Indefinite Delivery Indefinite Quantity (IDIQ) contract may be submitted only if a single task order could be considered similar to this project. Task orders may not be combined in order for the project to be considered similar.

- 5.1.2 Projects considered similar in size to this requirement shall include construction of a microgrid demonstrating at least one (1) of the following size elements. Sizes greater than those identified below will be considered similar in size:
- a. Installation & construction of distributed energy resources (DER) to handle loads of 100 to 500 kW.
  - b. Installation of electrical and telecommunication duct bank for control of distributed energy resources of 100kW and above.
  - c. Installation of switchgear and necessary breakers for systems control of distributed energy resources of 100kW and above.
- 5.1.3 Projects considered similar in scope shall include construction of a microgrid demonstrating at least three (3) of the following scope elements:
- a. Installation of Photovoltaic systems.
  - b. Installation of centralized generation.
  - c. Installation of electrical and telecommunication duct bank and controls for Microgrids.
  - d. Commissioning of Microgrid systems.
  - e. Implementation of control systems for electrical peak shaving.
- 5.1.4 The prime contractor must have self-performed at least fifteen (**15%**) percent of the direct contract labor (including testing and layout personnel) with its own employees, exclusive of other general conditions or field overhead personnel, material, equipment, or subcontractors to be considered similar.
- 5.1.5 Additional consideration may be given for projects that contain at least one of the following features:
- a. Performance of a new construction project for USACE.
  - b. Meet all similar in size and scope criteria.
- 5.1.6 The following information shall be provided for each project:
- a) Project Title, Location, and Contract Number/Unique Identifier.
  - b) Current percentage of construction complete and the date it was or will be complete.
    - a. For projects that are not yet complete, provide percent of work complete and a description of work remaining to be completed.
  - c) Scope of the project, to include purpose/use of facility.
  - d) Size of the project, differentiate square footage of new construction versus renovation if the project includes both.
  - e) Role of firm: Provide a description of the type of work performed and the percentage of work that was self-performed.
  - f) Dollar value of the project.
  - g) Whether the project was Design/Build or Design/Bid/Build
  - h) Two references for the project, with emails and telephone numbers.

**\*NOTE:** There is a page limit of fifteen (15) single sided, 8.5" x 11" pages, using a minimum font size of 11 and a minimum margin of one-half inch on all sides for the Past Performance factor. Past-

Performance Questionnaires/CPARS Evaluations do not count toward this page count. Information submitted that exceeds the specified limit will not be evaluated.

- 5.1.7 For this factor, also include any ratings, letters, awards, etc. that support past performance on these projects. Any of this information that is submitted shall clearly identify to which of the submitted projects it pertains. A sample Past Performance Questionnaire (PPQ) is attached for your convenience. If used, the PPQ must be submitted by the Offeror with the proposal submission and **not** sent directly to the agency from the reference. For each project, the Offeror may provide information on problems encountered on the identified contracts and the Offeror's respective corrective action. **Note: Project references, CPARS, PPQs, letters, awards, etc. which support past performance on these projects do not count toward the 3-page limitation for project description details.**

**\*NOTE:** For purposes of evaluating past performance, the Prime Contractor is defined as the contractor identified in Block 14 of the Standard Form 1442. Projects performed by contractors other than the offeror, including, but not limited to, teaming partners, subcontractors, and sister or parent companies will not be evaluated for past performance, unless those other contractors are part of a joint venture (JV) offeror as demonstrated by a signed JV agreement.

If more than one contractor is listed in Block 14, then a signed JV agreement must be submitted with the proposal and the JV shall be registered as such in the System for Award Management (SAM). However, each party of the JV must submit their own Unique Entity Identifier Number with the JV proposal. In addition to the joint venture agreement, small business offerors submitting a proposal as a Mentor-Protégé JV under the SBA Mentor-Protégé program (MPP) shall submit a copy of their SBA-approved Mentor-Protégé agreement under Volume II, Tab B of the proposal. (See Paragraph 8.2). If the offeror represents the combining of two (2) or more companies as a JV for the purpose of this RFP, each company in the JV may submit project examples, but the total number of projects submitted by the JV will not exceed three (3) projects.

Relevant past performance information provided for affiliates of the offeror will be considered. Affiliates (as defined by FAR 2.101) means associated business concerns or individuals if, directly or indirectly either one controls or can control the other; or third-party controls or can control both. Affiliation will be determined in accordance with 13 CFR 121.103. In determining whether affiliation exists, the Government will consider the totality of the circumstances and may find affiliation even though no single factor is sufficient to constitute affiliation. If an offeror is submitting the past performance of an affiliate, the offeror must submit proof of affiliation pursuant to 13 CFR 121.103.

## 5.2 Evaluation Criteria:

- 5.2.1 The SSEB will first evaluate the relevancy of recent past performance identified in the proposal in response to paragraph 5.1 above. By using the criteria identified above, the SSEB will determine how relevant a past project is when compared to the scope, size, and magnitude of effort and complexities of the solicited project and the offeror's experience in successfully delivering the project(s) on time and within budget. A relevancy rating will be assigned to each submitted project using the Past Performance Relevancy Ratings table (Table 1) in Paragraph 4.6.
- 5.2.2 The SSEB will next review how well the offeror performed on those projects. The Government reserves the right to check any or all cited references to verify supplied information and to assess owner satisfaction. The Government also reserves the right to not contact the provided references. In addition to the information submitted by the offeror, the Government reserves the right to review any other sources of relevant information for evaluating past performance, including projects other than those submitted by the offeror. The Government will, at a minimum, review past performance information retrieved through

the Contractor Performance Assessment Reporting System (CPARS), using all CAGE/Unique Entity Identifier (UEI) numbers identified in the offeror's proposal. Other sources may include, but are not limited to, past performance information retrieved from inquiries of owner representative(s), Federal Awardee Performance and Integrity Information System (FAPIIS), Electronic Subcontract Reporting System (eSRS), and any other known sources not provided by the offeror. Past performance information retrieved through CPARS, or other sources are not subject to the same evaluation criteria but will instead be reviewed for recent negative performance, trends of negative performance, and any other performance information that may negatively impact the offeror's Confidence rating.

- 5.2.3 The SSEB will review all past performance information collected and determine the quality of the offeror's performance, general trends, and usefulness of the information and incorporate this information into the performance confidence assessment. The SSEB will assign a final, overall Performance Confidence rating, using the ratings in the Performance Confidence Assessment Ratings table (Table 2) in Paragraph 4.6, based on the SSEB's assessment of (1) the degree of the offeror's recent, relevant past performance, and (2) how well the offeror performed that past performance.

\*\*\*\*\*AMENDMENT 0001

## **6. Volume I – Factor II: Technical Approach:**

### **6.1 Submission Requirements:**

The Technical Approach factor will consist of a Management Plan and Schedule Narrative.

#### **6.1.2 Evaluation Criteria:**

The SSEB will evaluate the two (2) elements listed below and determine the overall quality of the offeror's Technical Approach. The SSEB will assign an overall Technical/Risk Rating using the ratings in the Combined Technical/Risk Assessment table (Table 3) in Paragraph 4.6 for the Technical Approach Factor. The Management Plan and Schedule Narrative will not be individually assigned ratings.

### **6.2 Element A: Management Plan**

#### **6.2.1 Submission Requirements:**

Provide a management plan narrative for the project that describes how your labor, resources, designers, subcontractors, and material suppliers will be managed, supervised, coordinated, and used to ensure successful completion of the project. Additionally, the Management Plan shall include the following information:

- Identify significant areas of risk and provide your plan for mitigating the identified risk during contract performance to include coordination with subcontractor, general labor, privatized utilities, Base Civil Engineering, and Security Forces.
- Describe your communication process and frequency for progress meetings. To include agenda topics for progress meetings to ensure successful project completion. Pay close attention to the frequency requirements for the meetings.

**\*NOTE:** There is a page limit of eight (8) single sided, 8.5" x 11" pages, using a minimum font size of 11 and a minimum margin of one-half inch on all sides for the Management Plan portion of this factor.

Certificates and qualifications do NOT count towards the total page limit. Information submitted that exceeds the specified limit will not be evaluated.

#### 6.2.2 Evaluation Criteria:

Management Plan narratives will be evaluated based on the level of understanding of the work and the involvement the contractor will have in the management, oversight, control, and coordination of the work performed during construction of the project. The Management Plan will be evaluated for how well it demonstrates how the offeror plans to manage this project in particular, what critical tasks in this solicitation they believe needs more attention to help mitigate risk, experience managing other USACE projects, and experience using the Resident Management System (RMS). Narratives that demonstrate a clear understanding of the project requirements and provide a thorough approach for successfully managing the solicited project may be rated more favorably by the SSEB.

### **AMENDMENT 0001\*\*\*\*\***

#### 6.3 **Element B: Schedule Narrative**

##### 6.3.1 Submission Requirements

Based on the project budget and scope, provide a schedule narrative describing the construction sequence/process for successful completion of the project within the duration shown in FAR 52.211-10. At a minimum, the Schedule Narrative shall address the timing and process(es) necessary to complete the key activities indicated below:

- Pre-Construction Submittals and Government Review
- Long Lead Items
- Storm Water Pollution Prevention Plan (SWPP) Process Activities
- Key Permits
- Equipment **startup** through full system Commissioning Activities and Critical Submittals
- Project Closeout Planning and Coordination including Red Zone Meeting
- As-Builts

Additionally, Offerors are to provide a simple bar chart that shows the key activities indicated above.

**\*NOTE:** There is a page limit of five (5) single sided, 8.5" x 11" pages, using a minimum font size of 11 and a minimum margin of one-half inch on all sides, for the Schedule Narrative portion of this factor. There is a page limit of three (3) 11" x 17" pages, using a minimum font size of 11 and a minimum margin of one-half inch on all sides, for the bar chart portion of this element. Information submitted that exceeds the specified limit will not be evaluated.

### **\*\*\*\*\*AMENDMENT 0001**

##### 6.3.2 Evaluation Criteria

The narrative will be evaluated based on the understanding of the key activities identified in paragraph 6.3.1 above and the offeror's capability to complete the schedule within the contract duration. The bar chart will be evaluated based on the Offeror's understanding of the appropriate sequencing and durations of the identified key activities. Narratives that demonstrate a clear understanding of the schedule impacts

of the key activities and tasks and provide a thorough approach for successfully completing the contract within the contract duration may be rated more favorably by the SSEB.

**\*NOTE:** The SSEB will evaluate the offeror's schedule narrative using calendar days, not dates.

## 7. Volume I – Factor III: Small Business Participation Plan

### 7.1 Submission Requirements:

**ALL OFFERORS ARE REQUIRED TO SUBMIT A SMALL BUSINESS PARTICIPATION PLAN.** The Small Business Participation Plan shall be based on the offeror's best effort and is required to address each of the following areas individually:

- The extent to which the small business programs listed in FAR 19 (small business, small disadvantaged business, woman-owned small business, HubZone, service disabled veteran owned small business, etc.) are specifically identified in the Small Business Participation Plan;
- The extent of participation of such firms in terms of the value of the total acquisition in %'s for the base year and for each individual option year; the extent of commitment to use such firms (for example, enforceable commitments, i.e., teaming agreements signed, are to be considered more heavily than non-enforceable ones);
- The complexity and variety of the work small firms are to perform on this acquisition;
- The practicality of the Small Business Participation Plan, i.e., aggressive goals.

The Small Business Participation Plan shall be organized as follows:

- (1) Prime Contractor type of business (check all that apply):
  - Large
  - Small (also check type of small business)
  - Small Non-Disadvantaged Business
  - Small Disadvantaged Business
  - Woman-Owned Small Business
  - HUBZone Small Business
  - Veteran Owned Small Business
  - Service Disabled, Veteran Owned Small Business
- (2) Percentage of your participation as a prime contractor: \_\_\_\_\_ %

**\*NOTE:** Small Business primes' self-performance counts as Small Business Participation, and small business primes may achieve small business participation goals through their own performance/participation as a prime and/or through subcontracting to other small businesses.

- (3) Percentage of total contract value of subcontracts planned for:

	% of Total Contract Value
Large	%
Total Small	%
Small Non-Disadvantaged	%
Small Disadvantaged	%
Small Woman Owned	%
Small HUB Zone	%
Small Veteran Owned	%
Small Service Disabled Veteran Owned	%

Each percentage above shall be accompanied by detailed supporting documentation regarding individual commitments.

NOTE: The sum of the percentages of Small Non-Disadvantaged and Small Disadvantaged should equal the entries for the Total Small; however, the sum of all of the percentages need not equal 100% since the prime is not included and individual subcontractors may be counted towards more than one category.

- (4) List principal supplies/services (be specific) to be subcontracted to:

	Name of Company	Type of Service/Supply
Large		
Small Non-Disadvantaged		
Small Disadvantaged		
Small Woman Owned		
Small HUB Zone		
Small Veteran Owned		
Small Service Disabled Veteran Owned		

- (5) Prior Performance Information: Provide any information substantiating the offeror's track record of utilizing small business on past contracts.
- (6) For Large **and** Small Businesses provide descriptive information for all small business categories. Any information concerning long-term relationships with Small Business subcontractors, such as mentor-protégé relationships, should be provided.
- (7) Extent of Commitment: Provide documentation regarding enforceable commitments to utilize any small business category as defined in FAR Part 19 as subcontractors.
- (8) Small Business Subcontracting Plan: Each **Large Business Offeror** shall provide a Small Business Subcontracting Plan that contains all of the elements required by FAR Clause 52.219-9 Alt II. This Plan **shall** be submitted separately from the Small Business Participation information required above which applies to both Large and Small Businesses. The Subcontracting Plan is not a requirement for evaluation in source selection but rather a

requirement for award to a Large Business. The approved Small Business Subcontracting Plan will be incorporated into any resultant contract(s).

#### 7.2 Evaluation Criteria:

The Small Business Participation Plan will be evaluated based on the offeror's best efforts, the level of small business commitment that is being demonstrated for the proposed acquisition, and the prior level of commitment to utilizing small businesses in performance of prior contracts. The Small Business Participation Plan must meet the minimum Total Small Business Participation goal of twenty (20%) percent of the total contract value (through collective small business participation from any type of small business or sub-category small business).

The Small Business Participation Plan will be rated using the ratings in the Small Business Ratings table (Table 4) in Paragraph 4.6.

Pursuant to DFARS PGI 215.304(c)(i)(A), the following elements will be considered in evaluating an offeror's Participation Plan:

- The extent to which such firms, as defined in FAR Part 19, are specifically identified in plans;
- The extent of commitment to use such firms (enforceable commitments will be weighted more heavily than non-enforceable ones);
- The complexity and variety of the work such firms are to perform;
- The realism of the plans;
- Past performance of offerors in complying with the requirements of the Subcontracting Plan Goals for such firms and monetary targets for participation;
- The extent of participation of such firms in terms of the proposed subcontracted value; and
- The extent to which the offeror provides detailed explanations/documentation supporting the proposed participation percentages, or lack thereof. The Department of Defense (DOD) has established small business goals to help ensure small business receives a fair proportion of DOD awards.

## **8. Volume II - Price and Proforma Information**

### **8.1 Tab A - Standard Form 1442 and Proposal Price Breakout Schedule.**

#### 8.1.1 Submission Requirements:

The offeror shall complete and submit Standard Form 1442 and Section 00 10 00, Proposal Price Breakout Schedule. Both of these forms are included in the this solicitation.

#### 8.1.2 Evaluation Criteria:

- The Standard Form 1442 will not be rated. The form will be reviewed to determine if required information is provided, amendments are acknowledged, and the offer signed.
- The Government will evaluate price proposals in accordance with FAR Part 15.404 independent of the Past Performance and Technical evaluations. The price will be evaluated on Base proposal plus all Options. The price will be evaluated for fairness and reasonableness using price analysis.

Price will also be checked for unbalancing of line items. Offerors are cautioned to distribute costs appropriately.

## 8.2 **Tab B – Joint Venture Agreements**

### 8.2.1 Submission Requirements:

If more than one (1) contractor is listed in Block 14, or the offeror listed in Block 14 is a joint venture (JV), then a signed JV agreement must be submitted with the proposal and the offeror shall be registered in the System for Award Management (SAM) as a legal entity separate from the individual JV members. However, each member of the JV must submit its own Unique Entity Identifier (UEI) with the proposal.

In addition to the JV agreement, Small Business offerors (e.g., 8(a), HUBZone, SDVOSB, etc.) submitting a proposal as a Mentor-Protégé JV under the SBA Mentor-Protégé program (MPP) shall submit a copy of their SBA-approved Mentor-Protégé Agreement. Joint Venture agreements and approved 8(a) Mentor-Protégé agreements must be submitted with the proposal.

NOTE: A small business joint venture offeror must submit, with its offer, the representation required in paragraph (c) of FAR solicitation provision 52.212-3, Offeror Representations and Certifications-Commercial Products and Commercial Services, and paragraph (c) of FAR solicitation provision 52.219-1, Small Business Program Representations, in accordance with 52.204-8(d) and 52.212-3(b) for the following categories:

- (A) Small business;
- (B) Service-disabled veteran-owned small business;
- (C) Women-owned small business (WOSB) under the WOSB Program;
- (D) Economically disadvantaged women-owned small business under the WOSB program; or
- (E) Historically underutilized business zone small business.

### 8.2.2 Evaluation Criteria:

This information will be used for the purpose of completing the Pre-Award Survey and will not be rated. Small Business Joint Venture Agreements and Mentor-Protégé agreements must comply with the relevant regulations in Title 13 of the Code of Federal Regulations in order for an offeror to be eligible for any small business-related price preference.

## 8.3 **Tab C – Evidence of Ability to Obtain Bonding and Proof of Financial Ability**

### 8.3.1 Submission Requirements:

- A. Financial Capability. Submit Proof of Financial Ability (Most recent financial statement covering assets and liabilities). Include the name, address, and telephone number of offeror's banking institution. If the offeror is a joint venture, submit this information for all joint venture members.
- B. Bonding Capability. Submit information showing offeror's ability to be bonded for this project. Include the name, address, and telephone number of the offeror's bonding company, which must be on the approved Treasury list available at <https://fiscal.treasury.gov/surety-bonds/list-certified-companies.html>.

8.3.2 Evaluation Criteria:

This information will be used for the purpose of completing the Pre-Award Survey and will not be rated. See FAR Part 28 for information related to bonds.

**8.4 Tab D – Pre-Award Information**

8.4.1 Submission Requirements:

- A. The offeror shall submit one completed copy of Section 00 45 00, Representations and Certification.
- B. The offeror shall submit the following information:
  - a) Number of years the firm has been in business
  - b) Name, address, and telephone numbers of two (2) credit/trade references
  - c) A list of present commitments, including the dollar value

If the offeror is a joint venture, submit this information for all joint venture members.

8.4.2 Evaluation Criteria:

This information will be used for the purpose of completing the Pre-Award Survey and will not be rated.

**8.5 Tab E - Subcontracting Plan**

8.5.1 Submission Requirements:

Large business offerors shall submit a Subcontracting Plan in accordance with FAR Clauses 52.219-8 and 52.219-9 Alt II. To be acceptable, plans must adequately address the required statutory elements and provide sufficient information to enable the Contracting Officer to answer affirmatively questions 1 through 13 of Appendix DD, Part 3, AFARS 5119.705-4. The offeror may use the attached **sample** Sub-Contracting Plan as a starting point. Percentage goals apply to the total amount being subcontracted.

8.5.2 Evaluation Criteria:

Submitted information will be evaluated for acceptability in accordance with AFARS 5119.705. To be acceptable, subcontracting plans must:

- (a) Adequately address the required statutory elements.
- (b) Provide sufficient information to enable the Contracting Officer to answer affirmatively questions 1 through 13 of Appendix DD, Part 3, AFARS 5119.705-4, a copy of which is attached.
- (c) To be acceptable, subcontracting plans must meet all of the requirements outlined in Appendix DD, Part 3, AFARS 5119.705. If discussions with offerors are necessary, those areas where the plan is deficient will be reviewed with each offeror with the goal of correcting deficiencies.

<b>USACE PAST PERFORMANCE QUESTIONNAIRE (Form PPQ-0)</b>	
<b>CONTRACT INFORMATION (Contractor to complete Blocks 1-4)</b>	
<b>1. Contractor Information</b>	
Firm Name:	CAGE Code:
Address:	Unique Entity Identifier:
Phone Number:	
Email Address:	
Point of Contact:	Contact Phone Number:
<b>2. Work Performed as:</b>	<input type="checkbox"/> Prime Contractor <input type="checkbox"/> Sub Contractor <input type="checkbox"/> Joint Venture <input type="checkbox"/> Other (Explain)
Percent of project work performed:	
If subcontractor, who was the prime (Name/Phone #):	
<b>3. Contract Information</b>	
Contract Number:	
Delivery/Task Order Number (if applicable):	
Contract Type: <input type="checkbox"/> Firm Fixed Price <input type="checkbox"/> Cost Reimbursement <input type="checkbox"/> Other (Please specify):	
Contract Title:	
Contract Location:	
Award Date (mm/dd/yy):	
Contract Completion Date (mm/dd/yy):	
Actual Completion Date (mm/dd/yy):	
Explain Differences:	
Original Contract Price (Award Amount):	
Final Contract Price ( <i>to include all modifications, if applicable</i> ):	
Explain Differences:	
<b>4. Project Description:</b>	
Complexity of Work <input type="checkbox"/> High <input type="checkbox"/> Med <input type="checkbox"/> Routine	
How is this project relevant to project of submission? ( <i>Please provide details such as similar equipment, requirements, conditions, etc.</i> )	
<b>CLIENT INFORMATION (Client to complete Blocks 5-8)</b>	
<b>5. Client Information</b>	
Name:	
Title:	
Phone Number:	
Email Address:	
<b>6. Describe the client's role in the project:</b>	
<b>7. Date Questionnaire was completed (mm/dd/yy):</b>	
<b>8. Client's Signature:</b>	

NOTE: USACE REQUESTS THAT THE CLIENT COMPLETES THIS QUESTIONNAIRE AND SUBMITS DIRECTLY BACK TO THE OFFEROR. THE OFFEROR WILL SUBMIT THE COMPLETED QUESTIONNAIRE TO USACE WITH THEIR PROPOSAL, AND MAY DUPLICATE THIS QUESTIONNAIRE FOR FUTURE SUBMISSION ON USACE SOLICITATIONS. THE GOVERNMENT RESERVES THE RIGHT TO VERIFY ANY AND ALL INFORMATION ON THIS FORM.

***ADJECTIVE RATINGS AND DEFINITIONS TO BE USED TO BEST REFLECT  
YOUR EVALUATION OF THE CONTRACTOR'S PERFORMANCE***

RATING	DEFINITION	NOTE
<b>(E) Exceptional</b>	Performance meets contractual requirements and exceeds many to the Government/Owner's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor was highly effective.	An Exceptional rating is appropriate when the Contractor successfully performed multiple significant events that were of benefit to the Government/Owner. A singular benefit, however, could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.
<b>(VG) Very Good</b>	Performance meets contractual requirements and exceeds some to the Government's/Owner's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.	A Very Good rating is appropriate when the Contractor successfully performed a significant event that was a benefit to the Government/Owner. There should have been no significant weaknesses identified.
<b>(S) Satisfactory</b>	Performance meets minimum contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.	A Satisfactory rating is appropriate when there were only minor problems, or major problems that the contractor recovered from without impact to the contract. There should have been NO significant weaknesses identified. Per DOD policy, a fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract.
<b>(M) Marginal</b>	Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.	A Marginal is appropriate when a significant event occurred that the contractor had trouble overcoming which impacted the Government/Owner.
<b>(U) Unsatisfactory</b>	Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.	An Unsatisfactory rating is appropriate when multiple significant events occurred that the contractor had trouble overcoming and which impacted the Government/Owner. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating.
<b>(N) Not Applicable</b>	No information or did not apply to your contract	Rating will be neither positive nor negative.

**TO BE COMPLETED BY CLIENT**

<b>PLEASE CIRCLE THE ADJECTIVE RATING WHICH BEST REFLECTS YOUR EVALUATION OF THE CONTRACTOR'S PERFORMANCE.</b>						
<b>1. QUALITY:</b>						
a) Quality of technical data/report preparation efforts	E	VG	S	M	U	N
b) Ability to meet quality standards specified for technical performance	E	VG	S	M	U	N
c) Timeliness/effectiveness of contract problem resolution without extensive customer guidance	E	VG	S	M	U	N
d) Adequacy/effectiveness of quality control program and adherence to contract quality assurance requirements (without adverse effect on performance)	E	VG	S	M	U	N
<b>2. SCHEDULE/TIMELINESS OF PERFORMANCE:</b>						
a) Compliance with contract delivery/completion schedules including any significant intermediate milestones. ( <i>If liquidated damages were assessed or the schedule was not met, please address below</i> )	E	VG	S	M	U	N
b) Rate the contractor's use of available resources to accomplish tasks identified in the contract	E	VG	S	M	U	N
<b>3. CUSTOMER SATISFACTION:</b>						
a) To what extent were the end users satisfied with the project?	E	VG	S	M	U	N
b) Contractor was reasonable and cooperative in dealing with your staff (including the ability to successfully resolve disagreements/disputes; responsiveness to administrative reports, businesslike and communication)	E	VG	S	M	U	N
c) To what extent was the contractor cooperative, businesslike, and concerned with the interests of the customer?	E	VG	S	M	U	N
d) Overall customer satisfaction	E	VG	S	M	U	N
<b>4. MANAGEMENT/ PERSONNEL/LABOR</b>						
a) Effectiveness of on-site management, including management of subcontractors, suppliers, materials, and/or labor force?	E	VG	S	M	U	N
b) Ability to hire, apply, and retain a qualified workforce to this effort	E	VG	S	M	U	N
c) Government Property Control	E	VG	S	M	U	N
d) Knowledge/expertise demonstrated by contractor personnel	E	VG	S	M	U	N
e) Utilization of Small Business concerns	E	VG	S	M	U	N
f) Ability to simultaneously manage multiple projects with multiple disciplines	E	VG	S	M	U	N
g) Ability to assimilate and incorporate changes in requirements and/or priority, including planning, execution and response to Government changes	E	VG	S	M	U	N
h) Effectiveness of overall management (including ability to effectively lead, manage and control the program)	E	VG	S	M	U	N
<b>5. COST/FINANCIAL MANAGEMENT</b>						
a) Ability to meet the terms and conditions within the contractually agreed price(s)?	E	VG	S	M	U	N

b) Contractor proposed innovative alternative methods/processes that reduced cost, improved maintainability or other factors that benefited the client	E      VG      S      M      U      N
c) If this is/was a Government cost type contract, please rate the Contractor's timeliness and accuracy in submitting monthly invoices with appropriate back-up documentation, monthly status reports/budget variance reports, compliance with established budgets and avoidance of significant and/or unexplained variances (under runs or overruns)	E      VG      S      M      U      N
d) Is the Contractor's accounting system adequate for management and tracking of costs? <i>If no, please explain in Remarks section.</i>	Yes                  No
e) If this is/was a Government contract, has/was this contract been partially or completely terminated for default or convenience or are there any pending terminations? <i>Indicate if show cause or cure notices were issued, or any default action in comment section below.</i>	Yes                  No
f) Have there been any indications that the contractor has had any financial problems? <i>If yes, please explain below.</i>	Yes                  No
<b>6. SAFETY/SECURITY</b>	
a) To what extent was the contractor able to maintain an environment of safety, adhere to its approved safety plan, and respond to safety issues? (Includes: following the users rules, regulations, and requirements regarding housekeeping, safety, correction of noted deficiencies, etc.)	E      VG      S      M      U      N
b) Contractor complied with all security requirements for the project and personnel security requirements.	E      VG      S      M      U      N
<b>7. GENERAL</b>	
a) Ability to successfully respond to emergency and/or surge situations (including notifying COR, PM or Contracting Officer in a timely manner regarding urgent contractual issues).	E      VG      S      M      U      N
b) Compliance with contractual terms/provisions ( <i>explain if specific issues</i> )	E      VG      S      M      U      N
c) Would you hire or work with this firm again? <i>(If no, please explain below)</i>	Yes                  No
d) In summary, provide an overall rating for the work performed by this contractor.	E      VG      S      M      U      N

Please provide responses to the questions above (*if applicable*) and/or additional remarks. Furthermore, please provide a brief narrative addressing specific strengths, weaknesses, deficiencies, or other comments which may assist our office in evaluating performance risk (*please attach additional pages if necessary*):

## **SUBCONTRACTING PLAN**

### **AFARS -- Appendix DD Subcontracting Plan Evaluation Guide**

#### **Part 1 – Introduction**

##### **DD-100 Purpose.**

The guide provides a methodology for uniform and consistent evaluation of subcontracting plans within the Army. It is designed to facilitate compliance with the mandates of 15 U.S.C. § 637(d) to increase opportunities for small and small disadvantaged businesses.

##### **DD-101 Applicability.**

In accordance with requirements of FAR 19.705-4, DFARS 219.705-4 and AFARS 5119.705-4, the contracting officer shall use this guide to review all subcontracting plans (except those for commercial items), including those submitted in response to the provisions in FAR 19.705-2(d) and (e). When the contract will require subcontracting plans, use the clauses designated by FAR 19.708(b)(1) and (2) and DFARS 219.708(b)(1)(A) in the solicitation. A copy of the completed evaluation shall be included in the contract file.

##### **DD-102 Goals.**

Contracting officers must place special emphasis on negotiating subcontracting goals that are realistic, challenging and attainable. The plan must express goals in terms of percentages of total planned subcontracting dollars and must be comparable to the dollar commitments in the small business participation plan. In accordance with FAR 19.705-4(d), the contracting officer must review enough evidence to determine that the:

1. Offeror can meet subcontracting plan goals;
2. Offeror's goals are consistent with their cost or pricing data or information other than cost or pricing data;
3. Offeror will honor the terms of subcontract agreements (i.e., timely payments of amounts owed, use of firms cited in proposal, etc.); and
4. Offeror's make or buy policy or program does not conflict with the proposed subcontracting plan and is in the Government's best interest.
5. Plan includes the contractor's commitment to adopt and comply with its requirements and goals for small business utilization.

### **DD-103 Evaluation Rating.**

Either the contracting officer, the small business representative, or both, shall evaluate and rate the subcontracting plan as “acceptable” or “unacceptable,” in the context of the particular procurement. For instance, in smaller dollar value contracts, or contracts for uniquely manufactured items, it might be impracticable or not cost effective for offerors to take the type of actions that might be appropriate in contracts for larger dollar values or commercial components. To receive an “Acceptable” rating, the contractor must satisfy all objectives in Part 2 and meet each statutory subcontracting plan requirement outlined in Part 3. Failure to receive a subcontracting plan rating of acceptable could jeopardize the offeror’s selection for contract award. The contracting officer must document the decisions in the contract file.

### **DD-104 Modification of Guide.**

Pursuant to AFARS 5101.403, only senior contracting officials may approve individual deviations to this evaluation guide. This approval authority may not be further delegated.

### **DD-105 Use of Preaward Surveys.**

For contracts administered by the Defense Contract Management Agency, obtain information needed to assess contractor compliance with subcontracting plans in current and previous contracts by requesting a preaward survey in accordance with FAR 9.106, DFARS 209.106 and DFARS PGI 209.106.

### **Part 2 – Rating System**

#### **DD-201 Acceptable Plans.**

Objective: The subcontracting plan meets all of the requirements outlined in Part 3. The offeror has provided details that demonstrate an acceptable approach to assisting, promoting and utilizing small businesses, small disadvantaged businesses, women-owned small businesses, historically underutilized business zone small businesses, veteran-owned small businesses, service disabled veteran-owned small businesses and, for Defense Research Programs, historically black colleges and universities and minority serving institutions. The offeror has demonstrated an ability to meet prior subcontracting plan goals and honor the terms of subcontract agreements. Offeror has outlined an approach utilizing mentor protégé firms, joint venture teams, or other partners. The subcontracting goals are realistic, challenging, and attainable. Clarifications and minor rework of the submission may be required to correct slight omissions that do not prejudice other offers.

#### **DD-202 Unacceptable Plans.**

Objective: The subcontracting plan fails to meet a requirement outlined in Part 3. The offeror has not provided an acceptable approach to assisting, promoting, and utilizing small businesses. The offeror has a history of failing to honor subcontract agreements. The offeror did not discuss the establishment of mentor protégé relationships, teaming, or joint venture agreements with other firms. Ensure the proposed subcontracting goals are attainable in light of the contractor’s past performance in meeting subcontracting goals. Proposed subcontracting goals reflect less than a good faith effort. Substantial rework of the document is required to correct omissions and establish realistic, challenging, and attainable goals. Failure to receive a rating of acceptable may jeopardize offeror’s eligibility for contract award. See FAR 19.702(a)(1).

### **Part 3 – Subcontracting Plan Requirements**

#### **DD-301 Requirements.**

If any of the following are answered “NO”, the plan is not acceptable, and the offeror must revise it before contract award. Does the plan:

1. Contain a policy statement or evidence of internal guidance to company buyers that commits to complying with the Small Business Act (Public Law 99-661, Section 1207 and Public Law 100-180)?
2. Identify separate percentage goals for utilizing small businesses (including Alaska Native Corporations (ANCs) and Indian tribes), veteran-owned small businesses (VOSB), service-disabled veteran-owned small businesses (SDVOSB), historically underutilized business zone small businesses (HUBZone), small disadvantaged businesses (SDB), women-owned small businesses (WOSB), and, for Defense Research Programs, historically black colleges and universities and minority serving institutions where applicable? Negotiated subcontracting goals must correlate with percentages of small business utilization identified in the contractor’s small business participation plan, see FAR 15.304 and DFARS 215-304, and/or minimum targets identified in the solicitation or contract modification. FAR 19.704(a)(1).
3. Project the total dollars planned to be subcontracted and a separate statement of the total dollars planned to be subcontracted to small business (including ANCs and Indian tribes), VOSB, SDVOSB, HUBZone, SDB, and WOSB concerns? FAR 19.704(a)(2).
4. Describe the principal types of supplies and services to be subcontracted and identify the types planned for subcontracting to small business (including ANCs and Indian tribes), VOSB, SDVOSB, HUBZone, SDB and WOSB concerns?
5. Describe the method to be used to develop the subcontracting goals? FAR 19.704(a)(4)
6. Describe the method for identifying potential sources for solicitation purposes? FAR 19.704(a)(5)
7. State if the offeror included indirect costs in establishing subcontracting goals, and a description of the method used to determine the proportionate share of indirect costs to be incurred with small business, VOSB, SDVOSB, HUBZone, SDB (including ANCs and Indian tribes), and WOSB concerns? FAR 19.704(a)(6)
8. Identify the name of the employee who will administer the offeror’s subcontracting program and describe that person’s duties? FAR 19.704(a)(7)
9. Provide an approach for ensuring that small businesses, VOSB, SDVOSB, HUBZone, SDB, (including ANCs and Indian tribes) and WOSB concerns will have an equitable opportunity to compete for subcontracts?
10. Require the offeror to include the clause at FAR 52.219-8, Utilization of Small Business Concerns in all subcontracts that offer further subcontracting opportunities and require all subcontractors (except small business concerns) that receive subcontracts over \$650,000 (\$1,500,000 for construction) to adopt a plan that complies with the requirements of the clause at FAR 52.219-9 Alt II, Small Business Subcontracting Plan?

11. Provide assurances that the offeror will:
  - a. Cooperate in required studies or surveys;
  - b. Submit periodic reports so that the Government can determine the extent of offeror's compliance with the subcontracting plan;
  - c. Submit semi-annual Individual Subcontract Reports (ISRs) and/or Summary Subcontract Reports (SSR) in the Electronic Subcontracting Reporting System (eSRS) (<http://www.esrs.gov>) in accordance with FAR 52.219-9 Alt II or provide other ancillary reports as requested by the contracting officer or Army Small Business Office;
  - d. Ensure that its subcontractors with subcontracting plans agree to submit the ISRs and/or SSRs using the eSRS;
  - e. Provide its prime contract number and its UEI number and the e-mail address of the Government or contractor employee 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; and
  - f. Require each subcontractor with a subcontracting plan to provide the prime contract number and its own UEI number, and the e-mail address of the Government or contractor official responsible for acknowledging or rejecting the reports, to its subcontractors with subcontracting plans? FAR 19.704(10)
12. Describe the types of records that the contractor will maintain concerning procedures adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the offeror's efforts to locate small business, VOSB, SDVOSB, HUBZone, SDB, and WOSB concerns and to award subcontracts to them? FAR 19.704(11)
13. Does plan, pursuant to FAR 19.704(11)(c), provide a separate goal for the basic contract and, if applicable, each option?

## SMALL BUSINESS SUBCONTRACTING PLAN (SAMPLE)

Federal Acquisition Regulation (FAR), paragraph 19.708(b)(1)) prescribes the use of the clause at FAR 52.219-9 Alt II entitled "Small Business Subcontracting Plan." The following is a suggested model for use when formulating such subcontracting plan. While this model plan has been designed to be consistent with FAR 52.219-9 Alt II, 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 model is not intended to waive other requirements that may be applicable under FAR 52.219-9 Alt II. "SUBCONTRACT," as used in this clause, means any agreement (other than one involving an employer-employee relationship) entered into by a federal government prime contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.

### **I. IDENTIFICATION DATA:**

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

Date Prepared: _____	Solicitation Number: _____
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Description: \_\_\_\_\_

Contract Dollar Value: \_\_\_\_\_

### **II. TYPE OF PLAN (circle one)**

- A. Individual Plan (All elements developed specifically for this contract and applicable for the full term of this contract, including any option periods.)
  
- B. Master Plan (Goals developed for this contract; all other elements standard; must be renewed every three years)
  
- C. Commercial Plan Commercial products/service plan, including goals, covers the offeror's fiscal year and applies to the entire production of commercial items or delivery of services sold by either the entire company or a portion thereof (e.g., division, plant, or product line); this includes planned subcontracting for both commercial and Government business. In accordance with FAR 19.704(d), "A commercial plan (as defined in FAR 19.701) is the preferred type of subcontracting plan for contractors furnishing commercial items." (Contractor sells large quantities of off-the-shelf commodities to many Government agencies. Plans/goals negotiated by a lead agency on a company-wide basis rather than for individual contracts. Plan effective only during the year for which it is approved. The contractor must provide a copy of the lead agency approval.)

### III. GOALS:

*(For information purposes only: FAR 19.704(a)(1) requires separate percentage goals for using Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns as subcontractors; and a statement of the total dollars planned to be subcontracted to Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns. NOTE: The dollar amounts planned for subcontracting must be expressed as percentages of total subcontracting dollars as shown below.)*

State separate dollar and percentage goals, expressed in terms of percentages of total subcontracting dollars, for the use of Large Business, Small Business, Veteran-Owned Small Business, Service Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, Woman-Owned Small Business, and Historically Black Colleges and Universities/Minority Institutions concerns as subcontractors. The offeror shall include all subcontracts that contribute to contract performance, and may include a proportionate share of products and services that are normally allocated as indirect costs in the following format. (For a contract with options,

provide a separate statement for the basic contract and individual statements for each option year.)

A. **BASE BID ONLY:** The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars) and dollar amounts are applicable to the contract cited above or to the contract awarded under the solicitation cited. Total Base Bid is \$ \_\_\_\_\_.

(i) Total estimated dollar value of all planned subcontracting for an individual contract plan; or the offerors total projected sales, expressed in dollars, and the total value of projected subcontracts to support the sales for a commercial plan; i.e., the sum of a and b above: \$ (100 Percent) \$ \_\_\_\_\_ and \_\_\_\_\_ %

(ii) Total estimated dollar value and percent of planned subcontracting with Small Business (including Veteran-Owned Small Business, Service Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, Woman-Owned Small Business, and Historically Black Colleges and Universities/Minority Institutions concerns): (% of "(i)") \$ \_\_\_\_\_ and \_\_\_\_\_ %

(iii) Total estimated dollar value and percent of planned subcontracting with large businesses (all business concerns classified as "other than small"): (% of "(i)") \$ \_\_\_\_\_ and \_\_\_\_\_ %

(iv) Total estimated dollar value and percent of planned subcontracting with Small Disadvantaged Business concerns (SDB): \$ \_\_\_\_\_ and \_\_\_\_\_ % of total planned subcontracting dollars under this contract will be awarded to subcontractors who are small concerns owned and controlled by socially and economically disadvantaged individuals and appear on the Small Business Administration's list. (% of "(i)")

(v) Total estimated dollar value and percent of planned subcontracting with Women-Owned Small Business concerns (WOSB): \$ \_\_\_\_\_ and \_\_\_\_\_ % of total planned subcontracting dollars under this contract will be awarded to subcontractors who are WOSB. (% of "(i)")

(vi) Total estimated dollar value and percent of planned subcontracting with Veteran-Owned Small Business concerns (VOSB): \$ \_\_\_\_\_ and \_\_\_\_\_ % of total planned subcontracting dollars under this contract will be awarded to subcontractors who are VOSB. (% of "(i)")

(vii) Total estimated dollar value and percent of planned subcontracting with Service-Disabled Veteran-Owned Small Business concerns (SDVOSB): \$ \_\_\_\_\_ and \_\_\_\_\_ % of total planned subcontracting dollars under this contract will be awarded to subcontractors who are SDVOSB. (% of "(i)")

(viii) Total estimated dollar value and percent of planned subcontracting with Historically Black Colleges and Universities/Minority Institutions (HBCU/MI): \$ \_\_\_\_\_ and \_\_\_\_\_ % of total planned subcontracting dollars under this contract will go to HBCU's who are an institution determined by the Secretary of Education to meet the requirements of 34 CFR 608.2, the term also includes any nonprofit research institution that was an integral part of such a college or university before November 14, 1986; or MI's who are an institution of higher education meeting the requirements of Section 1046(3) of the Higher Education Act of 1965 (20 U.S.C. 1135d-5(3)) which, includes a Hispanic-serving institution of higher education as defined in Section 316(b)(1) of the Act (20 U.S.C. 1059c(b)(1)). (% of "(i)")

(ix) Total estimated dollar value and percent of planned subcontracting with HUBZone Small Business concerns: \$ \_\_\_\_\_ and \_\_\_\_\_ % of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns located in a historically underutilized business zone which is an area located within one or more qualified census tracts, qualified non-metropolitan counties, or lands within the external boundaries of an Indian reservation and appear on the Small Business Administration's HUBZONE web site at [www.sba.gov/HUBZONE](http://www.sba.gov/HUBZONE). (% of "(i)")

The following principal products and/or services will be subcontracted under the Base Bid of this contract, and the distribution among Large Business, Small Business, Veteran-Owned Small Business, Service Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, Woman-Owned Small Business, and Historically Black Colleges and Universities/Minority Institutions is as follows: **(Check all that apply)**

(ATTACHMENT MAY BE USED IF ADDITIONAL SPACE IS REQUIRED)

- B. **OPTIONS:** You must include a separate goal for each option. See the attached Continuation Sheet for Paragraph A for each option.
- C. The following method was used in developing subcontract goals (i.e., Statement explaining how the product and service areas to be subcontracted were established, how the areas to be subcontracted to Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns were determined, and how Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns' capabilities were determined, to include identification of source lists utilized in making those determinations. Also, a statement as to what efforts will be taken to improve on past goals and how SB and SDB firms will be included in areas without previous SB/SDB involvement).
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- D. A description of the method used to identify potential **SOURCES** for solicitation purposes (e.g., whether you used existing company source lists, the System for Award Management (SAM) of the Small Business Administration (SBA), veterans service organizations, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, HUBZone, disadvantaged, and women-owned small business trade associations. A firm may rely on the information contained in SAM as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a small, veteran-owned, service-disabled veteran-owned, HUBZone small, small disadvantaged and women-owned small business source list. Use of SAM as its source list does not relieve a firm of its responsibilities e.g., outreach, assistance, counseling, and publicizing subcontracting opportunities) in this clause.
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- E. Indirect and overhead costs (check one):  HAVE  HAVE NOT been included in the goals specified in Paragraph A and Paragraph B.

- F. If "HAVE" was selected in Paragraph E, explain the method used in determining the proportionate share of indirect and overhead cost to be allocated as subcontracts to Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns. (NOTE: Commercial Plans Must Include Indirect Costs).
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#### **IV. PROGRAM ADMINISTRATOR:**

*(For information purposes only: FAR 19.704(a)(7) requires information about the company employee who will administer the subcontracting program. Please provide the name, title, address, telephone number, fax machine number, email address, position within the corporate structure, and the duties of that employee.)*

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Position: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone \_\_\_\_\_

Fax No: \_\_\_\_\_

Email \_\_\_\_\_

This individual's specific duties, as they relate to the firm's subcontracting program, are as follows:  
General overall responsibility for this company's Small Business Program, the development, preparation and execution of individual subcontracting plans and for monitoring performance relative to contractual subcontracting requirements contained in this plan, including but not limited to:

- A. Developing and maintaining offerors/bidders lists of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns from all possible sources. Our firm may rely on the information contained in the SBA Small Business Source System, as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business source list. The Small Business Administration's (SBA's) list of Small Disadvantaged Businesses and small HUBZone businesses can be accessed through [www.sam.gov](http://www.sam.gov). Select "Dynamic Small Business Search" to access the SBA small business source system.
  
- B. Ensuring that procurement packages are structured to permit Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns to participate to the maximum extent possible.

- C. Assuring inclusion of Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns in all solicitations for products or services that they are capable of providing.
- D. Reviewing solicitations to remove statements, clauses, etc., which may tend to restrict or prohibit Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business participation, including recommendations to set aside competitions for SDB's
- E. Ensuring periodic rotation of potential subcontractors on bidders' lists.
- F. Ensuring that the bid proposal review board documents its reasons for not selecting low bids submitted by Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns.
- G. Ensuring the establishment and maintenance of records of solicitations and subcontract award activity.
- H. Attending or arranging for attendance of company counselors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
- I. Conducting or arranging for conduct of motivational training for purchasing personnel pursuant to the intent of Public Laws 95-507, 99-661, and 100-180.
- J. Monitoring attainment of proposed goals.
- K. Preparing and submitting timely, required subcontract reports
- L. Coordinating contractor's activities during the conduct of compliance reviews by Federal agencies.
- M. Coordinating the conduct of contractor's activities involving its Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business subcontracting program.
- N. Ensuring Individual Subcontract Reports (ISRs) and Summary Subcontract Reports (SSRs) are submitted using eSRS (<http://www.esrs.gov>), following the instructions in the eSRS.
- O. Notifying the Contracting Officer or his representative in writing of any substitutions of firms that are not Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business for the firms listed in the subcontracting plan.
- P. Additions to (or deletions from) the duties specified above are as follows:  

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## V. EQUITABLE OPPORTUNITY:

*(For information purposes only: FAR 19-704(8) requires a description of the efforts the contractor will make to ensure that Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns will have an equitable opportunity to compete for subcontracts.)*

The following efforts will be taken to assure that Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns will have an equitable opportunity to compete for subcontracts, including items not traditionally awarded to SB or SDB firms:

A. Outreach efforts will be made by:

- (i) Contacts with minority and small business trade associations such as veterans service organizations, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce.
- (ii) Contacts with business development organizations.
- (iii) Attendance at small and minority business procurement conferences and trade fairs.
- (iv) Sources will be requested from Small Business Administration's small business source system.
- (v) Reviews to determine the competence, ability, experience and capacity available from SB and SDB firms and providing technical assistance to same.
- (vi) Evaluations of our SB, SDB, WOSB, VOSB, SDVOSB and HUBZone award performance and program effectiveness against goals established company wide.

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

- (i) Workshops, seminars and training programs will be conducted.
  - (ii) Activities will be monitored to evaluate compliance with this subcontracting plan, evaluating SB, SDB, WOSB, VOSB, SDVOSB and HUBZone award performance and program effectiveness.
  - (iii) Small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concern source lists, guides and other data identifying small, small disadvantaged and women-owned small business concerns will be maintained and utilized by buyers in soliciting subcontracts.
  - (iv) Additions to (or deletion from) the above listed efforts are as follows:
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## **VI. FLOW DOWN CLAUSE:**

*(For information purposes only: FAR 19-704(a)(9) requires that your company include FAR 52.219-8, "Utilization of Small Business Concerns," in all subcontracts that offer further subcontracting opportunities. Your company must require all subcontractors, except small business concerns, that receive subcontracts in excess of \$700,000 (\$1,500,000 for construction) to adopt a plan that complies with the requirements of FAR 52.219-9 Alt II, "Small Business Subcontracting Plan.")*

The offeror (contractor) agrees that the clause entitled "Utilization of Small Business Concerns" at FAR 52.219-8 will be included in all subcontracts that offer further subcontracting opportunities, and all subcontractors (except small business concerns) who receive subcontracts in excess of \$750,000 (\$1,500,000 for construction) will be required to adopt a subcontracting plan that complies with FAR 52.219-9 Alt II. Such plans will be reviewed by comparing them with the provisions of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business subcontractors, and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractors facilities to review applicable records and subcontracting program progress.

## **VII. REPORTING AND COOPERATION:**

*(For information purposes only: FAR 19-704(a)(10) requires your company (i) cooperate in any studies or surveys as may be required, (ii) submit periodic reports which show compliance with the subcontracting plan; (iii) submit the Individual Subcontract Report (ISR), and the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS); (iv) ensure that subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS, (v) provide the prime contract number, UEI number, and the e-mail address of the offeror's 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, and (vi) require that each subcontractor with a subcontracting plan provide the prime contract number, its own UEI 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.)*

The offeror/contractor agrees to submit such periodic reports and cooperate in any studies or surveys as may be required by the contracting agency or the Small Business Administration in order to determine the extent of compliance by the offeror/contractor with the subcontracting plan and with the clause entitled "Utilization of Small Business Concerns," contained in the contract. The above reports will include submission of its Individual Subcontracting Report (ISR) and Summary Subcontract Report (SSR)

The offeror/contractor further agrees to ensure that its subcontractors agree to submission of ISRs and SSRs. **ISRs and SSRs shall be submitted via the Electronic Subcontracting Reporting System (eSRS) website [www.esrs.gov](http://www.esrs.gov)**

Reporting Period	Report Due	Due Date
Oct 1 - Mar 31	ISR/SF294	4/30
Apr 1 - Sept 30	ISR/SF294	10/30
Oct 1 – Mar 31	SSR/SF295	4/30 (for contracts with the DOD)
Apr 1 – Sept 30	SSR/SF295	10/30 (for contracts with DOD)
Oct 1 - Sept 30	SSR/SF295	10/30 (for civilian agencies)
Contract Completion	SSR/SF295	30 days after close of contractor's fiscal year (Commercial Plan)

The offeror/contractor agrees to ensure that subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS and to provide the prime contract number, UEI number, and the e-mail address of the offeror's 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.

The offeror/contractor agrees to require each subcontractor with a subcontracting plan provide the prime contract number, its own UEI 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.

## VIII. RECORDKEEPING:

*(For information purpose only: FAR 19-704(a)(11) requires a list of the types of records your company will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan.)*

The offeror/contractor agrees that he will maintain at least the following types of records to document compliance with this subcontracting plan:

- A. Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concern source lists, guides and other data identifying SB/SDB concerns.
- B. Organizations contacted for Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business sources.
- C. On a contract-by-contract basis, records on all subcontract solicitations over \$250,000, indicating on each solicitation (i) whether small business concerns were solicited, and if not, why not; (ii) whether Veteran-

Owned Small Business concerns were solicited, and if not, why not; (iii) whether Service-Disabled Veteran-Owned Small Business concerns were solicited, and if not, why not; (iv) whether HUBZone Small Business concerns were solicited, and if not, why not; (v) whether Small Disadvantaged business concerns were solicited, and if not, why not; (vi) whether Women-Owned Small Business concerns were solicited, and if not, why not; and (vii) reasons for the failure of solicited Small Business, Veteran-Owned Small Business, Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business, and Women-Owned Small Business concerns to receive the subcontract award.

- D. Records to support other outreach efforts: Contacts with veteran service organizations, Minority and Small Business Trade Associations, etc., and attendance at small and minority business procurement conferences and trade fairs.
  - E. Records to support internal activities to guide and encourage buyers: Workshops, seminars, training programs, etc., monitoring activities to evaluate compliance.
  - F. On a contract-by-contract basis, records to support subcontract award data to include name and address and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.
  - G. Records to be maintained in addition to the above are as follows:
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## **IX. ASSURANCES**

*(For information purpose only: FAR 19.704(a)(12-15) requires assurances from your firm)*

- A. The offeror/contractor 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. Responding to a request for a quote does not constitute use in preparing a bid or proposal. An offeror used a small business concern in preparing the bid or proposal if-
  - (i) The offeror identifies the small business concern as a subcontractor in the bid or proposal or associated small business subcontracting plan, to furnish certain supplies or perform a portion of the contract; or
  - (ii) The offeror used the small business concern's pricing or cost information or technical expertise in preparing the bid or proposal, where there is written evidence of an intent or understanding that the small business concern will be awarded a subcontract for the related work if the offeror is awarded the contract;
- B. The offeror/contractor 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; and

- C. The offeror/contractor will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor.
- D. The offeror/contractor 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).

**X. SIGNATURES REQUIRED:**

**This subcontracting plan was SUBMITTED by:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

Phone Number: \_\_\_\_\_

**Contracting Officer Approval:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**CONTINUATION OF PARAGRAPH A  
(SUBMIT ADDITIONAL OPTION PAGES FOR EACH OPTION)**

NAME OF OPTION: \_\_\_\_\_

	<b>Dollars</b>	<b>Percentage</b>
1. Total option contract price	_____	_____
2. Total to be subcontracted (to all types of businesses)	_____	_____
a. To Large Business	_____	_____
b. To Small Business	_____	_____
i. To Veteran-Owned Small Business	_____	_____
ii. To Service-Disabled Veteran-Owned Small Business	_____	_____
iii. To HUBZone Small Business	_____	_____
iv. To Small Disadvantaged Business	_____	_____
v. To Women-Owned Small Business	_____	_____

The following principal products and/or services will be subcontracted under Option 1 of this contract, and the distribution among LB, SB, SDB, WOSB, VOSB, SDVOSB, HBCU/MI, and HUBZone SB is as follows: **(Check all that apply)**