



DoD Subcontracting Program

Business Rules and Processes for

- ❑ Electronic Subcontracting Reporting System (eSRS)
 - ❑ Subcontracting Plans
 - ❑ Preparing and Reviewing Related Subcontract Reports
-

Sept 2019

Defense Pricing and Contracting (DPC)

DoD Office of Small Business Programs (OSBP)

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Overview of Document

This document is the result of a coordinated effort between Defense Pricing and Contracting (DPC) and the DoD Office of Small Business Programs (OSBP) to outline and describe some of the processes specific to DoD's Subcontracting Program. This document serves as a guidance document on the business rules and processes for the Electronic Subcontracting Reporting System (eSRS), including the various roles and responsibilities of DoD and industry personnel; government registrations and the status of reports submitted in eSRS by contractors. This document also provides checklists and detailed explanation on subcontracting plans, as well as preparing and reviewing the related subcontract reports, including the Individual Subcontract Report (ISR) and the Summary Subcontract Report (SSR) submitted under various types of subcontract plans.

The DFARS PGI 219.7 includes the URL to the website where this guidance document is posted and maintained by the DoD OSBP.

Throughout this document, "DoD departments, agencies, and activities" are referred to as "DoD departments and agencies" or "DoD Components."

Change Control Process

DPC and OSBP serve as the Change Control Board (CCB) and are ultimately responsible for maintaining and tracking all approved changes to the *DoD Business Rules and Processes for the Electronic Subcontracting Reporting System (eSRS), Subcontracting Plans and Preparing and Reviewing Related Subcontracting Reports*. All proposed changes to this document must be approved by the CCB. However, DPC and OSBP depend on the DoD users to identify areas that need clarification or changes. Forward questions or request for changes to OSBP at osd.business.defense@mail.mil.

Version Control

Version	Date	Author	Change Description
1	Mar 2017	OSBP	Original Version
2	Jan 2018	OSBP	<ul style="list-style-type: none"> Revised title to be “Business Rules and Processes for Electronic Subcontracting Reporting System (eSRS), Subcontracting Plans, Preparing and Reviewing Related Subcontract Reports”. Revised “List of Appendices” to include “DoD Checklist for Reviewing Subcontracting Plans” as Appendix C and changed letters of remaining appendices accordingly. Revised “Overview of Document”, first paragraph, last sentence to be “This document serves as a guidance document on the business rules and processes for the Electronic Subcontracting Reporting System (eSRS), including the various roles and responsibilities of DoD and industry personnel; government registrations and the status of reports submitted in eSRS by contractors. This document also provides checklists and detailed explanation on subcontracting plans, preparing and reviewing the related subcontract reports, including the Individual Subcontract Report (ISR) and the Summary Subcontract Report (SSR) submitted under various types of subcontract plans.” Revised “Overview of Document”, moved second paragraph at end of first paragraph, revised last sentence to be “This document also provides checklists and detailed explanation on subcontracting plans, as well as preparing and reviewing the related subcontract reports, including the Individual Subcontract Report (ISR) and the Summary Subcontract Report (SSR) submitted under various types of subcontract plans.” Revised “Overview of Document” by inserting new second paragraph, “The DFARS PGI 219.7 includes the URL to the website where this guidance document is posted and maintained by the DoD OSBP.” Revised “Change Control Process”, first sentence with title of the document to be <i>DoD Business Rules and Processes for the Electronic Subcontracting Reporting System (eSRS), Subcontracting Plans and Preparing and Reviewing Related Subcontracting Reports.</i>” Revised Section 1.1 to include additional sentence at end, “POC information is provided under Section 7 -- Resources, of this document.”

		<ul style="list-style-type: none"> • Revised Section 1.3 to include additional sentence at end, “POC information is provided under Section 7 -- Resources, of this document.” • Revised Section 1.6 to include additional sentence at end, “POC information is provided under Section 7 -- Resources, of this document.” • Revised Section 2.1 to be “User Roles, Registration Levels and Applicability” and expanded Table 1 to reflect changes; deleted Table 2 under 2.2 “User Levels”, information placed in Table 1; revised remaining table numbers after deleting Table 2. • Revised 2.1 to include new paragraph after Table 1, “See Appendix A for screenshots highlighting the difference between menus that a person sees when registered in the different roles in eSRS.” • Revised 2.2 to be “DoD eSRS Registrations”. • Added Section 2.2.1, “DoD OSBP Responsibility”. • Added Section 2.2.2 “Department/Agency eSRS Agency Coordinator Responsibility” • Added Section 2.2.3, “Registration Issues”. • Revised Section 4, second paragraph to include and explain “Appendix B”. • Revised Section 4 to include new paragraph and explain “Appendix C”. • Revised Section 5 based on the addition of a new Appendix C; references become Appendix D, E and F. • Revised Section 6 to be “DoD Status Reports”. • Added Section 6.1, “Process for Determining Status of eSRS ISR Reports”. • Added Section 6.2, “Semiannual Status Reports from the Departments and Agencies”. • Revised Section 7.1, paragraph to be “Separate lists of the DoD eSRS Agency Coordinators and the Department/Agency Subcontracting Program Managers are posted on the OSBP website at the following URL: http://businessdefesnes.gov/acquisition/subcontracting.”” • Reformatted Section 7.2 • Revised 7.3 to delete unnecessary sentences. Guidance documents can be used by both government and industry. • Inserted new Appendix A to highlight the differences in menus of the different roles, revised remaining appendices to reflect new Appendix A. • Revised Appendix B date to be “Jan 2018”.
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			<ul style="list-style-type: none"> • Revised Appendix B, section entitled “Authority”, to add statute for DoD Test Program for a CSP • Revised Appendix B, section entitled “Regulations”, to include updated Class Deviation (2018-00010), Temporary Extension of CSP Test Program” • Revised Appendix B, Section entitled “Mandatory Elements Included in Subcontracting Plan” to be “Summary of the 15 Mandatory Elements to be Included in Subcontracting Plans”. • Revised Appendix B, Section entitled “Subcontracting Resources” to include “DoD Checklist for Reviewing Subcontracting Plan” and the URL. • Revised Appendix C to be new document, <i>DoD Checklist for Reviewing Subcontracting Plans (Jan 2018)</i>. • Revised Appendix D to be <i>Guide to Preparing and Reviewing an Individual Subcontract Report (ISR) for an Individual Subcontracting Plan (Jan 2018)</i>. • Revised Appendix E to be <i>Guide to Preparing and Reviewing a Summary Subcontract Report (SSR) for an Individual Subcontracting Plan (Jan 2018)</i>. • Revised Appendix F to be <i>Guide to Preparing and Reviewing a Summary Subcontract Report (SSR) for a Commercial Subcontracting Plan (Jan 2018)</i>. • Revised Appendix F, Section entitled “Includes What?” by highlighting and bolding the “and” in the last line of the 4th bullet. • Updated footer to include revised date / version number and PGI reference.
3	Mar 2018	OSBP	<ul style="list-style-type: none"> • Revised date on title page to be “Mar 2018” • Revised Appendix B date to be “Mar 2018” • Revised Appendix B, section entitled “Commercial Subcontracting Plan”, to include a 6th bullet in the list: “Plan should identify the awarded contract subject to the plan (contract with latest completion date” • Revised Appendix B, section entitled “Summary of the 15 Mandatory Elements to be Included in Subcontracting Plans”, 1st bullet and sub-bullet to be “Separate goals for each SB category, expressed in terms of dollars to be subcontracted” and “For Individual Subcontracting Plans CO may request additional goals to be expressed in terms of total contract dollars” • Revised Appendix C date to be “Mar 2018”

			<ul style="list-style-type: none"> • Revised Appendix C, Item # 21, section “Instructions / Notes” to include “Agencies means Federal agencies” at the end of the note • Revised Appendix C, Item # 44, section “Elements of a Subcontracting Plan”, to be “Does the commercial plan list the contracts or CAGE codes and related DUNS #s of the contracts covered under the plan? Does the commercial plan identify the one awarded contract subject to the plan (contract with latest completion date)?” • Revised Appendix D date to be “Mar 2018” • Revised Appendix E date to be “Mar 2018” • Revised Appendix F date to be “Mar 2018” Revised Appendix F, Item K, section “Preparing SSR” to include additional guidance after the NOTE, “Contractor includes the contract # of the one awarded contract subject to the plan (contract with latest completion date)”
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1 Roles and Responsibilities

Personnel from government and contractors have specific roles and responsibilities related to subcontracting plans and the reporting requirements under each of the plans.

1.1 DoD Small Business Subcontracting Program Manager

The DoD Small Business Subcontracting Program Manager has the overall responsibility for implementing the Subcontracting Program for the DoD, including policy development, oversight and monitoring, and is located in the DoD Office of Small Business Programs. The DoD Subcontracting Program Manager is registered in eSRS at the top level of DoD (9700) and has the role of “Super User” in eSRS. POC information is provided under “Section 7, Resources”, of this document.

1.2 Small Business Liaison Officer (SBLO)

The Small Business Liaison Officer (SBLO) is the contractor’s representative responsible for implementing and monitoring the subcontracting program for the contractor.

Responsibilities for the SBLO include monitoring company goals and actuals, ensuring compliance with subcontracting plans, regulations, policies and flow-down clauses. In addition, SBLOs must ensure that their subcontractors periodically certify their size and socio-economic status and review the ISRs submitted by their next-tier large business subcontractors. The SBLO is also responsible for ensuring that the company’s reports are submitted on time in the eSRS. The SBLOs are sometimes referred to as the “Small Business Diversity Officers.”

1.3 Department/Agency Small Business Subcontracting Program Manager

The Small Business Subcontracting Program Manager is designated by their department or agency and is responsible for implementing and monitoring their overall small business subcontracting program. This includes providing related training on subcontracting; overseeing the review of contractors’ required subcontract reports; and submitting the semi-annual eSRS status reports to OSBP and DPC. The designated Subcontracting Program Manager must be registered in eSRS at the top of the department or agency (e.g. for the Army, the person would be registered at the 2100 level; for the Navy, 1700 level; for the Air Force, 5700 level; or for NAVFAC under the Navy, etc.) and has the role of “Point of Contact (POC)” in eSRS. POC information is provided under “Section 7, Resources”, of this document.

1.4 Procuring Contracting Officer (PCO)

The Procuring Contracting Officer (PCO) is warranted and has the authority to enter into, administer, and/or terminate contracts on behalf of the Government. The PCO typically resides in a contracting activity that has broad authority to conduct acquisition functions. The PCO can keep contract administration functions or delegate all or any part of the administration process to a contract administration office per FAR 42.3 “Contract Administration Office Functions.” Should the PCO retain all administrative responsibilities, the PCO is also deemed the Administrative Contracting Officer (ACO). The PCO is responsible for “acknowledging receipt”

or “rejecting” the ISR submitted by the prime contractor, even if the contract administration has been delegated to another organization, such as DCMA. The PCO is also responsible for the SSR submitted under the Commercial Subcontracting Plan which the PCO approved. The PCO has the role of “Contracting Official (CO)” in eSRS.

1.5 Administrative Contracting Officer (ACO)

Administrative Contracting Officers (ACOs) are warranted contracting officers that reside in a contract administration office (e.g. DCMA) and receive contract administration responsibilities as delegated by the PCOs. The list of actions that can be delegated by the PCO to the ACO can be found in FAR 42.3 “Contract Administration Office Functions.” The ACO is not responsible for “acknowledging receipt” or “rejecting” ISRs or SSRs. The ACO has the role of “Designated Government User (DGU)” in eSRS.

1.6 Department/Agency eSRS Agency Coordinator

The eSRS Agency Coordinator is designated by their agency with responsibilities pertaining to the systems side of the eSRS. In this capacity, the eSRS Agency Coordinator is responsible for reviewing and approving personnel registrations. The designated eSRS Agency Coordinator must be registered in eSRS at the top of the department, agency or organization, (e.g. for the Army, the person would be registered at the 2100 level; for the Navy, 1700 level; for the Air Force, 5700 level; or for NAVFAC under the Navy, etc.). The eSRS Agency Coordinator has the role of “Agency Coordinator (AC)” in eSRS. POC information is provided under “Section 7, Resources”, of this document.

1.7 Small Business Professional

The Small Business Professional, among other duties, is responsible for implementing and monitoring their organization’s small business program, which includes subcontracting. The Small Business Professional assists and supports the Contracting Officer in the review of subcontracting plans and the evaluation of contractor’s performance and compliance with its subcontracting plan. The Small Business Professional has the role of “Designated Government User (DGU)” in eSRS.

1.8 SSR Review Team

The SSR Review Team consists of members from the DCMA Small Business Center who assists the DoD OSBP with the review of DoD SSRs under the Individual Subcontract Plan, which are submitted in eSRS annually at the end of the government fiscal year by contractors. The review effort takes place from November through December. OSBP and DCMA have a Memorandum of Understanding which outlines the effort and schedule. Members from the SSR Review Team have the role of “Super User” in eSRS.

2 Government Registrations in eSRS

2.1 User Roles, Registration Levels and Applicability

Role	Registration	Applicability
Super User	<ul style="list-style-type: none"> • Agency: <ul style="list-style-type: none"> ✓ Dept of Defense (9700) ✓ Other components or organizations as necessary • User Level: <ul style="list-style-type: none"> ✓ Agency ✓ Other levels as necessary 	<ul style="list-style-type: none"> • DoD Small Business Subcontracting Program Manager • Has full access to eSRS for DoD, including all departments and agencies • Able to view/accept/reject all contractor ISRs and SSRs; although does not have this responsibility
Agency Coordinator (AC)	<ul style="list-style-type: none"> • Agency: <ul style="list-style-type: none"> ✓ Top Level of Department/agency ✓ Dept of Defense (9700) • User Level: <ul style="list-style-type: none"> ✓ Agency 	<ul style="list-style-type: none"> • eSRS Coordinator for DoD department, agency or organization • Has full access to eSRS for their parent organization, sub-commands, and below • Manages and approves organization registration requests • Able to view/accept/reject contractor ISRs and SSRs; although does not have this responsibility • Able to run reports on data at registered agency level • Assist Subcontracting Program Manager with preparing component eSRS status report
Point of Contact (POC)	<ul style="list-style-type: none"> • Agency: <ul style="list-style-type: none"> ✓ Top Level of Department/agency ✓ Dept of Defense (9700) • User Level: <ul style="list-style-type: none"> ✓ Agency 	<ul style="list-style-type: none"> • Subcontracting Program Manager for the department, agency or organization • Has same access to eSRS as the AC • Responsible for preparing and submitting component's eSRS status report to DPAP and OSBP

Contracting Official (CO)	<ul style="list-style-type: none"> • Agency: <ul style="list-style-type: none"> ✓ Contracting organization ✓ Dept of Defense (9700) as necessary • User Level: <ul style="list-style-type: none"> ✓ Contracting Office • Contracting Office Number 	<ul style="list-style-type: none"> • Individual responsible for awarding the contract (PCO) or approving the Commercial Subcontracting Plan • Responsible for reviewing/ accepting/rejecting contractor ISRs for specific contracts and SSRs under Commercial Subcontracting Plan which he/she approved • Able to run reports on data at their registered agency level
Designated Government User (DGU)	<ul style="list-style-type: none"> • Agency: <ul style="list-style-type: none"> ✓ Department/Agency/ Contracting Organization which he/she supports ✓ Top Level of Department/agency ✓ Dept of Defense (9700) as necessary • User Level: <ul style="list-style-type: none"> ✓ Agency 	<ul style="list-style-type: none"> • Small Business Professional, ACO, Source Selection Official, GAO or IG Official • Able to view contractor ISRs and SSRs, cannot take action • Able to run reports on data at their registered agency level

Table 1 - Government Registrations in eSRS

See **Appendix A** for screenshots highlighting the difference between menus that a person sees when registered in the different roles in eSRS.

2.2 DoD eSRS Registrations

2.2.1 DoD OSBP Responsibility

The DoD Small Business Subcontracting Program Manager is responsible for addressing requests to register at the “Dept of Defense (9700)” level from GAO, DoD IG and will contact the registrant to determine the need to view contractors’ performance (ISR) on various contracts or other subcontracting reports. If need is legitimate, the approved registration should be as follows:

- Agency = Dept of Defense (9700)
- User Level = Agency
- Role = DGU

The DoD Small Business Subcontracting Program Manager is also responsible for identifying a company as a “CSP Participant” in the company’s registration. If the company participates in the DoD Test Program for a Comprehensive Subcontracting Plan (CPS), the participant would have a unique DUNS # under which to register when entering or exiting the CSP Test Program.

2.2.2 Department/Agency eSRS Agency Coordinator Responsibility

The Department/Agency eSRS Agency Coordinator is responsible for addressing all requests to register at the agency level or at the “Dept of Defense (9700)” when the contracting office code or email address of the requester belongs to the department or agency. Officials from Department or Agency IG or Source Selection Panels need to view contractor’s performance (ISR) on various contracts awarded by department/agency contracting organizations. Contact the registrant to determine the need to view contractors’ subcontracting reports. If the need is legitimate, the approved registration should be as follows:

- Agency = Dept of Defense (9700)
- User Level = Agency
- Role = DGU

If the person’s registration includes a DODAAC number, contact the registrant to verify the DODAAC. Utilize “FPDS Active Issuing Contracting Office Report” to determine the contracting organization in the DoD hierarchy. Get an updated report at least annually.

2.2.3 Registration Issues

The awarding contracting official, who is responsible for taking action on ISRs for contracts he/she awards, may not be able to see and/or take action on the ISR when eSRS shows “Target Agency” to be different from the awarding contracting office. To determine where the system positions or places the report in eSRS, check Item # 4 – Awarding Agency, in

the second section of the ISR. In order for the awarding contracting official to be able to see and take action on the ISR, the eSRS registration must include the following:

- Agency = Dept of Defense (9700)
- User Level = Agency
- Role = Contracting Official

eSRS allows users who have had their accounts disabled due to IT security, a new password is required every 90 days. The system will notify the registrant to re-set their accounts and create a new password via a link provided in the email.

When you encounter a registration where “Agency” is missing, only the Federal Services Desk can resolve.

3 Status of Reports in eSRS

- **Pending (PEN):** The report has been submitted by the contractor and is waiting to be “Accepted” or “Rejected” by the appropriate Government contracting official.
- **Accepted (ACC):** A Government contracting official has reviewed the report and has found no known errors, issues, or concerns and does not require any clarification, information, or corrections at this time; he or she acknowledged receipt of the report; even though a report has been “Accepted,” it can be reviewed again and reopened or rejected at any time.
- **Rejected (REJ):** A Government contracting official has reviewed the report and has found errors, issues, or concerns and requires clarification, information, or corrections to the report.
- **Revised (REV):** The original report was rejected by the appropriate Government contracting official; the report has been revised by the contractor, resubmitted, and is waiting to be “Accepted” or “Rejected” by the appropriate Government contracting official.
- **Reopened (RPN):** The report has been opened by a Government contracting official after previously being “Accepted” into the system; this may occur when the Government contracting official finds errors or issues with the original report; once the report has been reopened, it may be “Accepted” or “Rejected” again.

4 Subcontracting Plans and Reports

Per FAR 52.219-9, Small Business Subcontracting Plan, contractors submit subcontract reports required by their specific subcontracting plan.

Appendix B, titled *DoD Subcontracting Program Fact Sheet – The Basics of Subcontracting*, provides for a concise overview of the policies related to subcontracting, the various types of subcontracting plans, their elements and reporting requirements. The Information is presented in a way which enables anyone to easily and quickly discern the overall differences and similarities among the subcontracting plans. In addition, the fact sheet describes the different socioeconomic categories when considering a small business as a subcontractor. Other information includes a list of resources which contracting officers/specialists and small business professionals can utilize to gain additional information and guidance, whether developing solicitations or reviewing subcontracting reports in the pre or post-award phases of the acquisition process.

Appendix C, titled *DoD Checklist for Reviewing Subcontracting Plans*, is a checklist which the Contracting Officers, Contracting Officials, Small Business Professionals may use when reviewing offerors' subcontracting plans in accordance with FAR 19.705-4 and PGI 219.705-4, to ensure the plan addresses all of the required elements. The checklist serves as a basis and can be expanded to include additional space to address the relevance of the proposed goals, market research information, signatures for approval, etc. The checklist can also be used by contractors when preparing a subcontracting plan.

The following table shows the various subcontract reports required by each subcontracting plan, the submission and review due dates for the contractor to submit various subcontract reports and for the department/agency to take action.

Type Report	Type Subcontracting Plan	Due Date from Contractor	Reviewer		Due Date for Department/ Agency Action
			Prime Contract	Lower Tier Subcontract	
ISR/SF 294	Individual	Apr / Oct 30	PCO who awarded contract	SBLO, Contractor awarding the subcontract	Jun / Dec 15
	Commercial	Not required	Not required	Not required	Not required
	Comprehensive	Not required	Not required	Not required	Not required
SSR	Individual	Oct 30	DoD SSR Review Team	DoD SSR Review Team	Dec 15
	Commercial	Oct 30	CO who approved commercial plan	Not applicable	Dec 15
	Comprehensive	Apr / Oct 30	DCMA CSP Team	DCMA CSP Team	Jun / Dec 15

Table 2 – Schedule for Submitting and Reviewing Reports

5 Preparing and Reviewing the Subcontract Reports Required by Different Subcontracting Plans

Included are several guides to assist contracting officers/specialists and small business professionals from government and industry. The guides can be used by the contractor when preparing the report and by the contracting officer when reviewing the report. Each guide contains information about the subcontract report, a breakdown of the data contained in the report, roles and responsibilities and required actions. In addition, the guides offer pertinent information which must be considered when preparing or reviewing the report.

Appendix D titled *DoD Subcontracting Program – Guide for Preparing and Reviewing an Individual Subcontract Report (ISR) for an Individual Subcontracting Plan*

Appendix E titled *DoD Subcontracting Program – Guide for Preparing and Reviewing a Summary Subcontract Report (SSR) for an Individual Subcontracting Plan*

Appendix F titled *DoD Subcontracting Program – Guide for Preparing and Reviewing a Summary Subcontract Report (SSR) for a Commercial Subcontracting Plan*

6 DoD Status Reports

6.1 Process for Determining Status of eSRS Reports (ad-hoc report)

When trying to determine the status of your component's ISRs in eSRS, you can only run an "ad hoc" report which collects all ISRs submitted in eSRS for **ALL** contracts awarded under DoD. If you use any other method you will not capture those awarded under your department/agency but administered by another DoD agency, such as DCMA, ONR or another contracting organization. This is an issue because eSRS "places" the ISR under the organization that issued the last contract modification prior to the contractor submitting the ISR. In eSRS this is the "Target Agency".

Use the following steps to develop an ad-hoc report

STEP 1: Selecting the data elements for the ad-hoc report

1. Login to eSRS
2. Select "Reporting" function from menu (left side of screen) in eSRS
3. Select "Add New" tab
4. Under "Step 1: Please select an item to be used as the basis for your report." Select "Individual Subcontract Report".
5. Select the following data elements to create ad hoc report
 - a. Status
 - b. Contract
 - c. Target Agency
 - d. Report Submitted As
 - i. Select "Prime Contractor"
 - e. Agency Awarding Contract
 - f. Contracting Office Agency ID
 - g. Contracting Office Agency Name
 - h. Contracting Office ID
 - i. Contracting Office Name
 - j. Reporting Period Month
 - i. (example) Select "Mar 31, 2018" to "Sept 30, 2018" to see all reports submitted for the two report dates in the FY
 - k. Reporting Period Year
 - l. Select "Routed to Other Administering Activity?"
 - m. Select "Administering Activity"
 - n. Select "Other Administering Office"
6. Save as an excel spreadsheet

STEP 2: Developing and Formatting Excel Spreadsheet to Determine Status of ISRs for Department/Agency:

1. Insert “Filter” function into each column header (row 1)
2. Column E (Agency Awarding Contract) filter:
 - a. Select only Dept of Defense, DoD Departments/Agencies and “blanks”
 - b. This will be the “Master List” for all ISRs belonging to DoD
3. Column G (Contracting Office Agency Name) filter
 - a. Select your agency
 - i. Example – Dept of Navy or 9776
 - b. This will be the “Master List” for all ISRs belonging to a department/agency
4. Column A (Individual Subcontract Report: Status) filter:
 - a. Select each separately to determine number of ISRs in each category “Accepted”, “Pending”, “Rejected”, “Reopened”, “Revised”
 - b. To determine number of ISRs requiring review and/or follow up, Select “Pending”, “Rejected”, “Reopened”, “Revised”
This will be the “Master List” of ISRs a department/agency must address, resolve, follow up and ultimately accept.
5. Column C (Target Agency) filter. This can be a one or two-step process. However, the resulting list are those ISRs which are not “sitting” at the awarding contracting office “door”. The awarding contracting official may not be able to see and/or take action on the report.
 - a. Select ALL that are not in **your department/agency**
 - i. Example – (); Dept of Defense (9700); Defense Contract Management Agency; Comprehensive Subcontract Program Division; and ONR.
 - b. Select ALL that are not in the **Awarding Contracting Office of your organization**. Instead, these are sitting at an old (no longer existing) contracting office or at the contracting office that administers the contract.

In both scenarios, the awarding contracting official will need to be notified. The eSRS registration will need to be changed to include an additional role at Dept of Defense (9700), as a contracting official and at the agency level.

As a result of this process, the user will be able to determine the status of an agencies ISR’s, and of those ISR’ which have an issue with “Target Agency” not being the Awarding Contracting Office.

6.2 Semiannual Status Report from the Departments and Agencies

By June 30 and December 30 of each year, each department / agency Subcontracting Program Manager is responsible for submitting the semi-annual eSRS status report to OSBP and DPAP. The purpose is to provide a status of the reporting activities for the preceding reporting period and should include the following:

- Number of outstanding reports (ISRs and SSRs, under a Commercial Subcontracting Plan) which requires action to be taken by the Government, depending on the status of the report along with supporting rationale
- Plans to reduce the number of outstanding reports (to include a timeline for corrective actions)
- Barriers preventing acknowledgement of receipt or rejection action on reports

All eSRS reports submitted by contractors after the due date for department/agency action (June 15 and December 15) shall be included in the eSRS Status Report for the next reporting period.

1 Resources

1.1 eSRS Agency Coordinators and the Department / Agency Subcontracting Program Managers

Separate lists of the DoD eSRS Agency Coordinators for the departments and agencies and the Department/Agency Subcontracting Program Managers are posted on the OSBP website at the following URL: <https://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>

1.2 Websites and training materials

Training materials and guidance documents are maintained and updated on the DoD Office of Small Business Programs website on a regular basis (at least annually):

<https://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>.

The Defense Acquisition University (DAU) has a Small Business Community which serves as a platform to connect Small Business Professionals and Acquisition Workforce Members from across multiple career fields, offering them a chance to talk, share, and acquire knowledge about key Small Business topics. <https://dau.edu/cop/sb/Pages/Default.aspx>

The DoD Office of Small Business Programs receives questions, comments and/or recommendations at osd.business.defense@mail.mil.

1.3 DoD Contractors

An e-mail notification is sent to DoD contractors annually in August with a link to the guidance documents, which are maintained and updated on the DoD Office of Small Business Programs website on a regular basis (at least annually):

<https://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>.

1 Acronym List

AC	Agency Coordinator
ACC	Accepted
ACO	Administering Contracting Office or Officer
ANC	Alaska Native Corporation
BOA	Basic Ordering Agreement
BPA	Blanket Purchase Agreement
CAR	Contract Action Report
CCB	Change Control Board
CEO	Chief Executive Officer
CO	Contracting Office or Officer
CSP	Comprehensive Subcontracting Plan
DCMA	Defense Contract Management Agency
DFARS	Defense Federal Acquisition Regulation Supplement
DGU	Designated Government User
DPC	Defense Pricing and Contracting
DUNS	Data Universal Numbering System
eSRS	Electronic Subcontracting Reporting System
FAR	Federal Acquisition Regulation
FPDS	Federal Procurement Data System
GSA/FSS	General Services Administration/Federal Supply Schedule
IDV	Indefinite Delivery Vehicle
ISR	Individual Subcontract Report
NAICS	North American Industry Classification System
OSBP	Office of Small Business Programs

PEN	Pending
PCO	Procuring Contracting Office or Officer
PIID/IDVPIID	Practice Implementation Indicator Description/Indefinite Delivery Vehicle PIID
POC	Point of Contact
REJ	Rejected
REV	Revised
RPN	Reopened
SBLO	Small Business Liaison Officer
SDB	Small Disadvantaged Business
SSR	Summary Subcontract Report

Table 4 – Acronym List

APPENDIX A

eSRS Registration Roles – Screenshot Perspectives

Super-User Screen

UNCLASSIFIED//FOUO

https://www.esrs.gov/index?_hat=783870ae5db430142fafdf0f2a233 Identified by Entrust eSRS

File Edit View Favorites Tools Help

Wednesday, January 18, 2017 | 11:00 am | jar

eSRS Integrated Award Environment
Electronic Subcontracting Reporting System
FOR GOVERNMENT

Home

- Reports
 - Individual
 - Summary
 - Year-End SDB
 - SDB Participation
- Contractors
 - Organizations
 - Contacts
- Agencies
 - Organizations
 - Contacts
- Contracts
 - Reporting
- System Settings
- My Account

eSRS Home help

Pending Actions

33 New Agency Contact Registrations	eSRS - Last Updated
1664 Individual Report(s) Pending	Agencies
152 Summary Report(s) Pending	Agency Contacts
963 Year-End Report(s) Pending	Accepted ISRs
126 SDB Participation Report(s) Pending	Accepted SSRs
	Accepted Year-En
	Accepted SDBs

Note: Some pending Summary and Year-End Reports may not require action on your part, but should be reviewed for accuracy.

Can Select from Side Menu:

- Home
- Reports
- Contractors
- Agencies
- Contracts
- Reporting
- System Settings
- My Account

Agency Coordinator Screen

The screenshot displays the eSRS (Electronic Subcontracting Reporting System) interface for an Agency Coordinator. At the top, a green bar indicates the document is UNCLASSIFIED//FOUO. The browser address bar shows the URL: https://www.esrs.gov/index?_hat=d53886744b4208912e7378. The page header includes the eSRS logo and the text "Integrated Award Environment Electronic Subcontracting Reporting System FOR GOVERNMENT". A navigation sidebar on the left lists: Home, Reports (Individual, Summary, Year-End SDB, SDB Participation), Agencies (Organizations, Contacts), Contracts, Reporting, and My Account. The main content area, titled "eSRS Home", features a "Pending Actions" section with the following items:

- [11 New Agency Contact Registrations](#)
- [325 Individual Report\(s\) Pending](#)
- [36 Summary Report\(s\) Pending](#)
- [30 Year-End Report\(s\) Pending](#)
- [34 SDB Participation Report\(s\) Pending](#)

A note below the list states: "Note: Some pending Summary and Year-End Reports may not require action on your part, but should be reviewed for accuracy."

Can Select from Side Menu
(black only):

- Home
- Reports
- Contractors**
- Agencies
- Contracts
- Reporting
- System Settings**
- My Account

POC Screen

The screenshot shows the eSRS (Electronic Subcontracting Reporting System) web application. At the top, there is a green bar with the text "UNCLASSIFIED//FOUO". Below this is a browser address bar showing the URL "https://www.esrs.gov/index?_hat=b48c4b9ff7cdd2f634bcf35" and a "General Services Administr..." search bar. The browser menu includes "File", "Edit", "View", "Favorites", "Tools", and "Help". The date "Wednesday, January 1" is displayed in the top right corner. The eSRS logo is prominently displayed, with the text "eSRS Integrated Award Environment Electronic Subcontracting Reporting System FOR GOVERNMENT". A navigation menu on the left side includes: Home, Reports (with sub-items: Individual, Summary, Year-End SDB, SDB Participation), Agencies (with sub-items: Organizations, Contacts), Contracts, Reporting, and My Account. The main content area is titled "eSRS" and has a "Home" tab and a "help" icon. Under the "Pending Actions" section, there are five items listed: "11 New Agency Contact Registrations", "325 Individual Report(s) Pending", "36 Summary Report(s) Pending", "30 Year-End Report(s) Pending", and "34 SDB Participation Report(s) Pending". A note at the bottom of this section states: "Note: Some pending Summary and Year-End Reports may not require action on your part, but should be reviewed for accuracy."

Can Select from Side
Menu (black only):

- Home
- Reports
- Contractors**
- Agencies
- Contracts
- Reporting
- System Settings**
- My Account

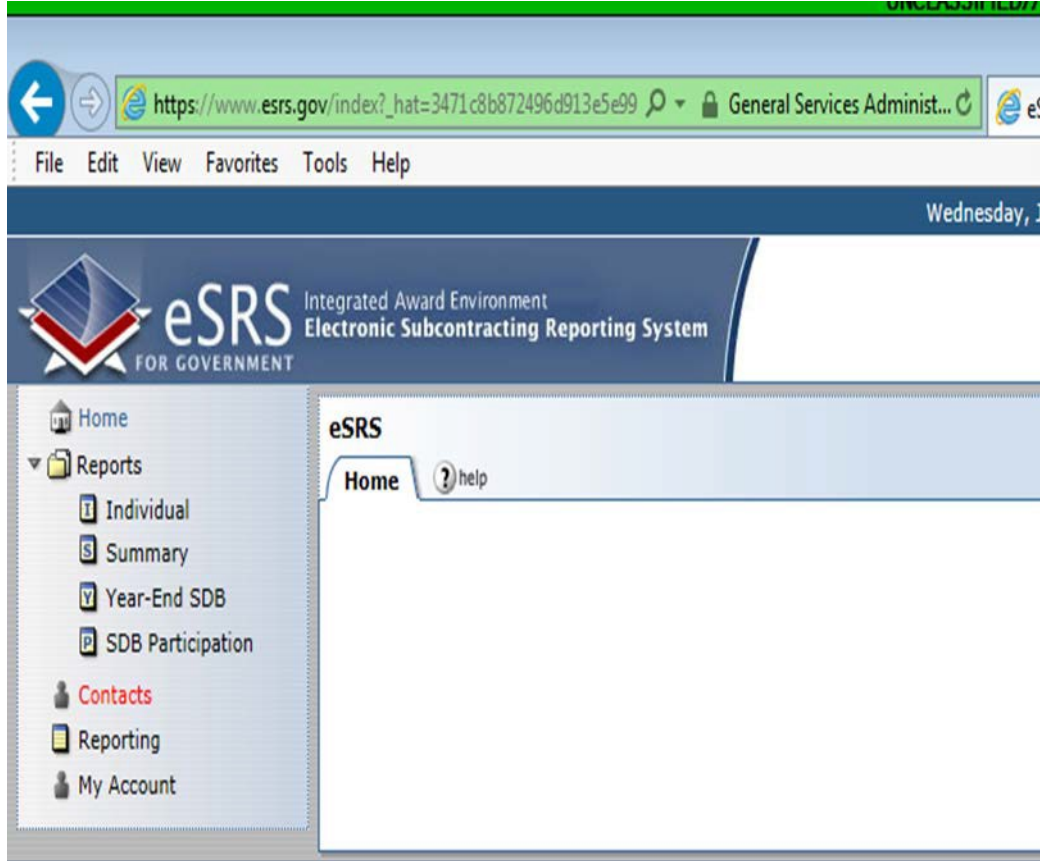
Contracting Official Screen

The screenshot displays the eSRS (Electronic Subcontracting Reporting System) interface for a Contracting Official. At the top, a green bar indicates the document is UNCLASSIFIED//FOUO. The browser address bar shows the URL: https://www.esrs.gov/index?_hat=0a60029f871389796568a4f. The page title is "General Services Administr...". The date is Wednesday, January 1. The eSRS logo is "eSRS FOR GOVERNMENT Integrated Award Environment Electronic Subcontracting Reporting System". A left-hand navigation menu includes: Home, Reports (with sub-items: Individual, Summary, Year-End SDB, SDB Participation), Contacts, Contracts, Reporting, and My Account. The main content area, titled "eSRS Home", shows "Pending Actions": 325 Individual Report(s) Pending, 36 Summary Report(s) Pending, 30 Year-End Report(s) Pending, and 34 SDB Participation Report(s) Pending. A note states: "Note: Some pending Summary and Year-End Reports may not require action on your part, but should be reviewed for accuracy."

Can Select from Side Menu
(black only):

- Home
- Reports
- Contractors
- Agencies
- Contracts
- Reporting
- System Settings
- My Account

Designated Government User Screen



Can Select from Side Menu
(black only):

- Home
- Reports
- **Contractors**
- **Agencies**
- Contracts
- Reporting
- **System Settings**
- My Account

APPENDIX B

The Basics of Subcontracting

DoD SUBCONTRACTING PROGRAM
The Basics of Subcontracting(Sept 2019)

Regulatory Requirements

Authority:	<ul style="list-style-type: none"> Section 8(d) Small Business Act – 15 USC 637(d) 	<ul style="list-style-type: none"> Specifies that small businesses will have maximum practicable opportunity to participate in contract performance consistent with efficient performance Requires the agency to collect data on the extent to which the contractor meets the goals of the subcontracting plan
	<ul style="list-style-type: none"> Section 15(g) Small Business Act – 15 USC 644(g) 15 USC 637 Note 	<ul style="list-style-type: none"> Specifies government-wide goals for contracts and subcontracts awarded to small business concerns Includes reporting on subcontracting DoD Test Program for Comprehensive Subcontracting Plan
Regulations:	<ul style="list-style-type: none"> FAR 19.7 / DFARS 219.7 DFARS 219.7 Class Deviations: 2018-O0007, 12/13/2017 2018-O0010, 1/9/2018 FAR 52.219-9, Small Business Subcontracting Plan, and Alternate III FAR 52.219-8, Utilization of Small Business Concerns DFARS 252.219-7003, Small Business Subcontracting Plan DFARS 252.219-7004, Small Business Subcontracting Plan (Test Program) 	<ul style="list-style-type: none"> Subcontracting plan requirement Challenge any subcontracting plan that does not contain positive goals Upper-tier contractor flows down requirements for subcontracting plan Prime contractors and subcontractors submit ISRs and/or SSRs independently in eSRS Comply in good faith with subcontract plan requirements Imposition of liquidated damages

Subcontracting Requirements

	Utilization of SBs 52.219-8	Subcontracting Plan 52.219-9
When?	<ul style="list-style-type: none"> Contracts > Simplified Acquisition Threshold (SAT) AND Subcontract opportunities exist 	<ul style="list-style-type: none"> Contracts > \$700K (\$1.5M construction) AND subcontract opportunities exist Modifications > \$700K (\$1.5M construction) with new work AND subcontract opportunities exist Multi-year contracts / contracts with options <ul style="list-style-type: none"> Cumulative value of base contract and all options SEPARATE goals for base and each option
Who?	<ul style="list-style-type: none"> ALL business concerns (including small businesses) 	ALL other than small business: <ul style="list-style-type: none"> Large business State & local government Non-profit organizations Public utilities Educational Institutions Foreign-owned firms AbilityOne (unless identified as a small business) Government entities (labs)
When not required?	<ul style="list-style-type: none"> For personal services contracts For contracts / modifications performed entirely outside US & outlying areas 	<ul style="list-style-type: none"> From small businesses For personal services contracts For contracts / modifications performed entirely outside US & outlying areas For modifications that are within the scope of the contract and the contract does not contain the clause at 52.219-8, Utilization of Small Business concerns If no subcontract opportunities, approval required level above CO

The Basics of Subcontracting (Sept 2019)

Types of Subcontracting Plans

Individual	Master	Commercial	DoD Comprehensive
<ul style="list-style-type: none"> • 1 contract – 1 plan • Goals support planned subcontracting for 1 contract • Covers entire contract period (including options) • Contains mandatory elements • CO negotiates goals and challenge any plan that does not contain positive goals 	<ul style="list-style-type: none"> • ACO reviews, evaluates and approves • Includes mandatory elements, excluding goal related elements • CO negotiates goals for each applicable contract under a master plan • Effective for 3 years after approval of CO • May be developed on a Plant / Division basis 	<ul style="list-style-type: none"> • Preferred for contractors furnishing commercial items • Applies to entire production of commercial items sold by either entire company or a portion thereof (Division, plant or product line) • Based on contractor's FY • Annual plan (applies to all Federal contracts in effect during that period) • Contains mandatory elements • Plan should identify the awarded contract subject to the plan (contract with latest completion date) 	<ul style="list-style-type: none"> • DoD Test Program for Negotiation of Comprehensive SB Subcontracting Plans • Similar to a commercial plan <ul style="list-style-type: none"> • May be on a Plant, Division or Corporate basis • Annual plan (applies to DoD contracts in effect during period) • ONLY DCMA is delegated authority to negotiate plan & perform surveillance review functions (with input from MILDEPS / Defense Agencies)

Reporting Requirements

<ul style="list-style-type: none"> • Individual Subcontracting Report (ISR) or SF 294 if applicable, (semiannually) • Summary Subcontracting Report (SSR) annually 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • SSR (annually) • ISR not required 	<ul style="list-style-type: none"> • SSR (semiannually) • ISR not required
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Note: Plan must be accepted *PRIOR* to contract award

Summary of the 15 Mandatory Elements to be Included in Subcontracting Plans

- Separate goals for each SB category, expressed in terms of dollars to be subcontracted
 - For Individual Subcontracting Plans CO may request additional goals to be expressed in terms of total contract dollars
- Description of principle types of supplies/services to be subcontracted (total & by category)
- Description of method used to develop subcontracting goals
- Description of method used to identify potential SB sources
- Statement of indirect costs (included/not included) and methodology used to determine proportionate share of indirect costs for each category
- Name of individual who will administer the subcontracting program and description of duties they will perform
- Description of efforts to ensure SB has an equitable opportunity to compete for subcontracts
- Description of record-keeping procedures / process
- Assurances that the offeror / contractor will perform specific actions identified in the subcontracting plan
- Flow down clauses and requirements for utilization of small businesses, subcontracting plans and related reports in all subcontracts
 - 52.219-8, Utilization of Small Business Concerns
 - 52.219-9, Small Business Subcontracting Plan

The Basics of Subcontracting (Sept 2019)

Categories Included in Subcontracting Plan Goals

Category	Reference	Certification
Small Business (SB)	<ul style="list-style-type: none"> FAR 2.101 - definition DFARS 52.219-9 – also includes subcontracts awarded to an Alaska Native Corporation (ANC) or Indian tribe, regardless of size or SBA certification status of ANC or Indian tribe DFARS 252.219-7003 – also includes subcontracts awarded to qualified non-profit agencies approved by Committee for Purchase from People Who Are Blind or Severely Disabled, the independent federal agency that administers AbilityOne Program (41 U.S.C. 8502-8504) 	Self-certify
Woman-owned Small Business (WOSB)	<ul style="list-style-type: none"> FAR 2.101 - definition 	Self-certify
Historically Underutilized Business Zone (HUBZone)	<ul style="list-style-type: none"> FAR 2.101 - definition 	SBA certified
Veteran-Owned Small Business (VOSB)	<ul style="list-style-type: none"> FAR 2.101 - definition 	Self-certify
Service-Disabled Veteran-Owned Small Business (SDVOSB)	<ul style="list-style-type: none"> FAR 2.101 - definition 	Self-certify
Small Disadvantaged Business (SDB)	<ul style="list-style-type: none"> FAR 2.101 - definition FAR 52.219-9 - also includes subcontracts awarded to an Alaska Native Corporation (ANC) or Indian tribe regardless of size or SBA certification status of ANC or Indian tribe DFARS 252.219-7003 – also includes subcontracts awarded by a mentor firm under the DoD Pilot Mentor-Protégé Program, to (1) protégé firms which are qualified organizations employing severely disabled and (2) former protégé firms that meet the criteria in Section 831(g)(4) of P.L 101-510 	Self-certify

Subcontracting Resources

- DoD Subcontracting Plan Checklist and Preparing / Submission of Subcontracting Reports
<https://business.defense.gov/Acquisition/Subcontracting/Small-Business-Professionals-Government-and-Industry/>
- Electronic Subcontracting Reporting System (eSRS)
<http://www.esrs.gov>
- SBA Government Contracts Overview
<https://www.sba.gov/contracting/finding-government-customers/subcontracting>
- SBA SubNet
<http://web.sba.gov/subnet/search/index.cfm>
- DAU Community of Practice
<https://acc.dau.mil/smallbusiness>
- Procurement Technical Assistance Program (PTAP)
<http://www.dla.mil/HQ/SmallBusiness/PTAP.aspx>
- FEDBIZOPPS
<http://www.fbo.gov>

APPENDIX C

DoD Checklist for Reviewing Subcontracting Plans

DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)

√ if "No"	Item	Elements of a Subcontracting Plan	Instructions / Notes
	1	FAR 52.219-9(d)(1) Does the offeror's subcontracting plan express goals in terms of total dollars subcontracted, and as a percentage of total planned subcontracting dollars for each small business category: small business [including Alaska Native Corporation (ANC) and Indian tribe], veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business [including Alaska Native Corporation (ANC) and Indian tribe], and women-owned small business concerns as subcontractors?	Individual and commercial plans only, not master plans
	2	FAR 52.219-9(d)(1) If required by the contracting officer does the offeror's subcontracting plan express goals in terms of a percentage of total contract dollars?	Individual plans only
	3	FAR 52.219-9(d)(2)(i) Is there a statement of the offeror's total dollars planned to be subcontracted?	Individual plans only
	4	FAR 52.219-9(d)(2)(i) Is there a statement of the offeror's total projected sales, expressed in dollars, and the total value of projected subcontracts to support the sales for a commercial plan?	Commercial plans only, not individual or master plans
	5	FAR 52.219-9(d)(2)(ii-vii) Are there statements of total dollars planned to be subcontracted for each small business category: 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?	Individual and commercial plans only, not master plans
	6	DFARS 219.705-4(d) Are the goals in all of the small business categories (small business [including ANC and Indian tribe], veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business [including ANC and Indian tribe], women-owned small business) positive (greater than zero) or is there a justification for zero goals?	Individual and commercial plans only, not master plans
	7	DFARS 219.705-4(d) Is the proposed small disadvantaged business goal greater than five percent (5%)?	Individual and commercial plans only, not master plans If no, the proposed goal of less than five percent (5%) must be approved one level above the contracting officer.
	8	FAR 52.219-9(c) Is subcontracting separately addressed for the basic contract and for each option?	Individual plans only
	9	FAR 52.219-9(d)(3)(i-vi) Is there a description of the principal types of supplies and services to be subcontracted for each small business category: 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?	Individual and commercial plans only, not master plans
	10	FAR 52.219-9(d)(4) Is there a description of the method used to develop the subcontracting goals?	
	11	FAR 52.219-9(d)(5) Is there a method used to identify potential sources for solicitation purposes?	

DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)

√ if "No"	Item	Elements of a Subcontracting Plan	Instructions / Notes
	12	FAR 52.219-9(d)(6) Is there a statement as to whether or not indirect costs were included in establishing subcontracting goals?	
	13	FAR 52.219-9(d)(6) Is there a description of the method used to determine the proportionate share of indirect costs to be incurred with each small business category: 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?	If indirect costs are not included, skip this question.
	14	FAR 52.219-9(d)(7) Is there an individual named who will administer the offeror's subcontracting program?	
	15	FAR 52.219-9(d)(7) Is there a description of the duties of the individual named who will administer the offeror's subcontracting program?	
	16	FAR 52.219-9(d)(8) Is there a description of the efforts the offeror 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 have an equitable opportunity to compete for subcontracts?	See 19.202-1
	17	FAR 52.219-9(d)(9) Are there assurances that the offeror will include FAR clause 52.219-8, "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities?	
	18	FAR 52.219-9(d)(9) Are there assurances that the offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$700,000 (\$1.5 million for construction of a public facility) with further subcontracting possibilities to adopt a plan that complies with the requirements of FAR clause 52.219-9, Small Business Subcontracting Plan?	
	19	FAR 52.219-9(d)(10)(i) Are there assurances that the offeror will cooperate in any studies or surveys as may be required?	
	20	52.219-9(d)(10)(ii) Are there assurances that the offeror will submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan?	
	21	52.219-9(d)(10)(iii) Are there assurances that the offeror will include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite-quantity contracts intended for use by multiple agencies?	Applicable after November 30, 2017, and only to indefinite-delivery indefinite-quantity contracts intended for use by multiple agencies. "Agencies" means Federal agencies.

DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)

√ if "No"	Item	Elements of a Subcontracting Plan	Instructions / Notes
	22	<p>52.219-9(d)(10)(iv); 52.219-9 ALTERNATE III (d)(10)(iii); Class Deviation 2018-00007</p> <p>Are there assurances that the offeror will submit:</p> <ul style="list-style-type: none"> • the Individual Subcontract Report (ISR), and/or the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS) at http://www.esrs.gov • the SF 294 in lieu of submitting the ISR when Alternate III or the class deviation is used? 	<p>The ISR is related only to the individual subcontract plan.</p> <p>The SSR is related to the individual subcontract plan and the commercial subcontract plan.</p> <p>Alternate III instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for contracts not reported in FPDS.</p> <p>Class Deviation 2018-00007 instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for orders against BOAs and BPAs.</p>
	23	<p>FAR 52.219-9(d)(10)(v); 52.219-9 ALTERNATE III (d)(10)(iv); Class Deviation 2018-00007</p> <p>Are there assurances that the offeror will ensure that its subcontractors with subcontracting plans agree to submit:</p> <ul style="list-style-type: none"> • the ISR and/or the SSR using eSRS or • the SF 294, in lieu of submitting the ISR when Alternate III or the class deviation is used? 	<p>The ISR is related only to the individual subcontract plan.</p> <p>The SSR is related to the individual subcontract plan and the commercial subcontract plan.</p> <p>Class Deviation 2018-00007 instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for orders against BOAs and BPAs.</p> <p>The SF 294 is related only to the individual subcontract plan when alternate III applies.</p> <p>Alternate III instructs the contractor to submit the SF 294, in lieu of submitting the ISR in eSRS, for contracts not reported in FPDS.</p>
	24	<p>FAR 52.219-9(d)(10)(vi)</p> <p>Are there assurances that the offeror will provide its prime contract number, its unique entity identifier (DUNS), 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?</p>	<p>The ISR is related only to the individual subcontract plan</p>
	25	<p>FAR 52.219-9(d)(10)(vii)</p> <p>Are there assurances that the offeror will require that each subcontractor with a subcontracting plan provide the prime contract number, its unique entity identifier (DUNS), 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?</p>	<p>The ISR is related only to the individual subcontract plan</p>

DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)

√ if "No"	Item	Elements of a Subcontracting Plan	Instructions / Notes
	26	FAR 52.219-9(d)(11)(i) Are there assurances that the offeror will maintain source lists (e.g., SAM), guides, and other data that identify small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns?	
	27	FAR 52.219-9(d)(11)(ii) Are there assurances that the offeror will maintain records of organizations contacted in an attempt to locate sources that are small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns?	
	28	FAR 52.219-9(d)(11)(iii)(A)-(F). Are there assurances that the offeror will maintain records on each subcontract solicitation resulting in an award of more than \$250,000 whether each small business category (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) was solicited and, if not, why not?	
	29	FAR 52.219-9(d)(11)(iii)(G) If applicable, are there assurances that offeror will maintain records of the reason award was not made to a small business concern for solicitations over \$250,000?	
	30	52.219-9(d)(11)(iv)(A) Are there assurances that the offeror will maintain records of outreach efforts to contact trade associations?	
	31	FAR 52.219-9(d)(11)(iv)(B) Are there assurances that the offeror will maintain records of outreach efforts to contact business development organizations?	
	32	FAR 52.219-9(d)(11)(iv)(C) Are there assurances that the offeror will maintain records of outreach efforts to contact conferences and trade fairs to locate small, HUBZone small, small disadvantaged, service-disabled veteran-owned, and women-owned small business sources?	
	33	FAR 52.219-9(d)(11)(iv)(D) Are there assurances that the offeror will maintain records of outreach efforts to contact veterans' service organizations?	
	34	FAR 52.219-9(d)(11)(v)(A) Are there are assurances that the offeror will maintain records of internal guidance and encouragement provided to buyers through workshops, seminars, training, etc.?	
	35	FAR 52.219-9(d)(11)(v)(B) Are there are assurances that the offeror will maintain records of internal guidance and encouragement provided to buyers through monitoring performance to evaluate compliance with the program's requirements?	

DoD Checklist for Reviewing Subcontracting Plans (Sept 2019)

√ if "No"	Item	Elements of a Subcontracting Plan	Instructions / Notes
	36	FAR 52.219-9(d)(11)(vi) Are there assurances that the offeror will maintain records on a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor?	Not required for commercial plans
	37	FAR 52.219-9(d)(12) Are there assurances that the offeror will make a good faith effort to acquire articles, equipment, supplies, services, or material, or obtain the performance of construction work from the small business concerns that it used in preparing the bid or proposal, in the same or greater scope, amount, and quality used in preparing the bid or proposal?	See FAR 52.219-9(d)(12) (i) and (ii) for examples of when the offeror used a small business concern in preparing the bid or proposal.
	38	FAR 52.219-9(d)(13) Are there assurances that the contractor will provide to the contracting officer, within 30 days of contract completion, a written explanation if the contractor fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in the bid or proposal?	
	39	FAR 52.219-9(d)(14) Are there assurances that the contractor will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor?	
	40	FAR 52.219-9(d)(15) Are there assurances that the offeror will pay its small business subcontractors on time and in accordance with the terms and conditions of the underlying subcontract, and notify the contracting officer when the prime contractor makes either a reduced or an untimely payment to a small business subcontractor?	See FAR 52.242-5
	41	FAR 52.219-9(f)(2) and DFARS 219.706 Is the master plan up to date?	Master plans
	42	FAR 52.219-9(g) Does the commercial plan relate to the contractor's planned subcontracting for both commercial and Government business, rather than solely to the Government contract?	Commercial plans only
	43	Does the commercial plan have a signature page which includes: a. name, title, email and company name for the person submitting the plan; b. name, title and department/agency contracting organization, date, signature and email of the person approving the plan; c. name, title and email of the person within the company who is submitting the report	Commercial plans only
	44	Does the commercial plan list the contracts or CAGE codes and related DUNS #s of the contracts covered under the plan? Does the commercial plan identify the one awarded contract subject to the plan (contract with latest completion date)?	Commercial plans only

APPENDIX D

Guide to Preparing and Reviewing an Individual Subcontract Report (ISR) for an Individual Subcontracting Plan

DoD SUBCONTRACTING PROGRAM

Guide to Preparing and Reviewing an Individual Subcontract Report (ISR) for an Individual Subcontracting Plan (Sept 2019)

Regulatory Requirements

Authority:	<ul style="list-style-type: none"> Section 8(d) Small Business Act - 15 USC 637(d) 	<ul style="list-style-type: none"> Specifies that small businesses will have maximum practicable opportunity to participate in contract performance consistent with efficient performance Requires the Agency to collect data on the extent to which the contractor meets the goals of the subcontracting plan
	<ul style="list-style-type: none"> Section 15(g) Small Business Act - 15 USC 644(g) 	<ul style="list-style-type: none"> Specifies government-wide goals for contracts and subcontracts awarded to small business concerns Includes reporting on subcontracting
Regulations:	<p>FAR 19.7 / DFARS 219.7</p> <p>FAR 52.219-9, Small Business Subcontracting Plan, and Alternate III</p> <p>DFARS 219.706 Class Deviation 2018-00007 dated 12/13/2017</p> <p>DFARS 252.219-7003, Small Business Subcontracting Plan</p> <p>DFARS 252.219-7004, Small Business Subcontracting Plan (Test Program)</p>	<ul style="list-style-type: none"> Subcontracting plan requirement Upper-tier contractor flows down requirements for subcontracting plan Comply in good faith with subcontracting plan requirements Prime contractors and subcontractors submit ISRs independently in Federal Electronic Subcontracting Reporting System (eSRS) Prime contractors and subcontractors submit SF 294s in lieu of ISRs for contracts not reported in FPDS and for orders under BOAs & BPAs Authority to acknowledge receipt and approve / reject the report for DoD resides with the Procuring Contracting Officer (PCO) who awarded the contract

Individual Subcontract Report (ISR) or Standard Form (SF) 294, when Required

Submit when?	<ul style="list-style-type: none"> Submit semiannually during contract performance Due 30 days after the end of each reporting period (Mar 31 and Sep 30) by Apr 30 and Oct 30 respectively Final ISR/SF 294 is required within 30 days of contractor's completion of subcontract obligations
Submit where?	<ul style="list-style-type: none"> ISR -- in eSRS at https://www.esrs.gov/ SF 294 -- to PCO
Includes what?	<ul style="list-style-type: none"> Dollars subcontracted from the inception of the contract to the report date (Mar 31/Sep 30) May show negative dollars
Correct how?	<ul style="list-style-type: none"> Contractor may make changes or corrections to previously submitted reports when reviewer either "Reopens" or "Rejects" the report
Who reviews? When?	<ul style="list-style-type: none"> PCO is responsible for "acknowledging receipt" or "rejecting" the ISR submitted by the prime contractor, even if the contract administration has been delegated to another organization, such as DCMA Upper-tier contractor is responsible for reviewing their next lower-tier subcontractors' ISRs/SF 294s By Jun 15 and Dec 15 of each year
Not required when?	<ul style="list-style-type: none"> Not required from contractors with commercial subcontracting plans or DoD comprehensive subcontracting plan
Reviewed how?	<ul style="list-style-type: none"> Person responsible for reviewing report should ensure the report is complete and correct; that the contractor is making noticeable progress towards established goals in the subcontracting plan; and provides explanation and mitigation plan when not achieving those goals

Guide to Preparing and Reviewing an ISR for an Individual Subcontracting Plan (June 2019)

Item	Section	Preparing ISR	Reviewing ISR
A	DUNS #	Provided by FPDS.	If incorrect: <ul style="list-style-type: none"> Check the CAR in FPDS. Use agency process to correct in FPDS.
B	Verify Data	Contractor verifies information by selecting "yes." If "no" is selected, the contractor should contact the contracting officer to correct the problem.	Follow up with contractor if "no" is selected.
C	Corporation, Company or Subdivision Covered	Provided by FPDS.	NOTE: The contractor cannot change this information. If incorrect: <ul style="list-style-type: none"> Check the CAR in FPDS. Use agency process to correct FPDS.
D	Date Signed	Provided by eSRS.	No Action Required.
E	Contract Information	Provided by FPDS if available: <ul style="list-style-type: none"> Agency Awarding Contract Contracting Office Agency ID Contracting Office Agency Name Contracting Office ID Contracting Office Name Funding Agency ID Funding Agency Name Funding Office ID Funding Office Name Prime Contract Number Product or Service Code Dollars Obligated Current Contract Value Ultimate Contract Value 	NOTE: The contractor cannot change this information. If incorrect: <ul style="list-style-type: none"> Check the CAR in FPDS. Use agency process to correct FPDS. NOTE: The ISR is associated with a contracting office, not with the specific contracting officer who awarded the contract. As a result, a contracting officer registered at the contracting office level will see all of the submitted ISRs for that office. However, a contracting officer is only responsible for the ISRs for contracts that they awarded.
F	Is your contract administered by an office other than the Contracting Office that awarded the contracts?	Contractor completes: <ul style="list-style-type: none"> If "yes," then contractor must select "DCMA," "ONR" or "Other Administering Office." If "DCMA" is selected, breakout menu includes Dept of Defense (9700)/DCMA (9763)/CSP Team CSP Division. If "ONR" is selected, breakout menu includes Dept of Defense (9700)/Dept of Navy (1700)/ONR. If "Other Administering Office" is selected, breakout menus include all of the DoD departments, agencies and contracting organizations under each. 	Do NOT reject the report based on this information. NOTE: For DoD, when contractor selects "Yes" and identifies administering contracting office, this may impact the ability of the procuring contracting official to see and/or take action on the ISR. This is presently a system issue of which GSA, the agency overseeing eSRS, is aware and working with DoD to resolve. It is recommended that the contractor select "No" since the administering contracting office is not responsible for taking action on the report.
G	Contact Information	Provided by eSRS, based on registration information; contractor inputs telephone number and email address.	No action required by reviewer.
H	Reporting Period from Inception of Contract Thru	Contractor selects "Mar 31" or "Sep 30" and the "year" from drop-down menu.	If incorrect: REJECT ISR and provide explanation so that contractor knows what to correct.
I	Type of Report	Contractor selects "Regular" or "Final."	If incorrect: REJECT ISR and provide explanation so that contractor knows what to correct.

J	Agency Awarding Contract	Provided by FPDS; contractor CANNOT select.	<p>Always Item #4 in the second section of the ISR.</p> <p>NOTE: eSRS uses this data element to determine “Target Agency”, which may not be the procuring/awarding contracting agency/organization.</p> <p>eSRS uses “Target Agency” to determine where to “place” the ISR. This is often an issue for DoD when the administering contracting agency / organization issues last modification prior to contractor preparing the ISR. As a result, the procuring/awarding contracting official may not be able to see and/or take action on the ISR, because the contracting official is not registered at the other organization.</p> <p>In this case, the contracting official must contact the department/agency eSRS Agency Coordinator or the Subcontracting Program Manager for assistance. The eSRS Agency Coordinator may need to create an additional role at a different level for the contracting official.</p> <p>This is presently a system issue of which GSA, the agency overseeing eSRS, is aware and working with DoD to resolve.</p>
K	Report Submitted As	Contractor selects “Prime Contractor” or “Subcontractor.”	<p>NOTE: Government reviews ISRs from prime contractor only.</p> <p>The upper-tier contractor reviews next lower-tier subcontractors’ ISRs.</p>
L	Subcontract Awards	Contractor indicates if Indirect Subcontracting Dollars are or are not included.	<p>If not the same as in the subcontracting plan: REJECT ISR and provide explanation so that contractor knows what to correct.</p>
L	Subcontract Awards (continued)	<p>Current Goal (Whole Dollars and Percentage of total Subcontract Awards)</p> <p>Contractor inputs based on approved subcontracting plan. Goals are not required for large business, HBCU/MI, ANC or Indian Tribes.</p> <p>System does not calculate percentages; system only validates that the dollars for any of the socioeconomic categories cannot be greater than the dollars for small business included in Line Item 2(a).</p>	<p>If not the same as in the subcontracting plan: REJECT ISR and provide explanation so that contractor knows what to correct.</p> <p>NOTE: Per FAR 19.705-1(b)(2) for IDIQ contracts utilized by multiple agencies the contracting officer may also establish subcontracting goals for order. What is the process in eSRS which allows the contractor to include task order goals on the ISR for the IDIQ contract? Presently, eSRS allows the contractor to show goals in the ISR for the IDIQ contract. How does the contractor show separate goals for multiple task orders under the IDIQ contract?</p>
L	Subcontract Awards (continued)	<p>Actual Cumulative (Whole Dollars and Percentage of Total Subcontract Awards)</p> <p>Contractor inputs dollars.</p> <p>System calculates percentages based on total dollars in Line Item 2(C) and validates that the dollars for any of the socioeconomic categories cannot be greater than the dollars for small business included in Line Item 2(a).</p> <p>NOTE: This is not based on the dollars under “Current Goal.”</p>	<p>NOTE: After the first report, the dollars in each subsequent report should be \geq previous report; IF NOT, WHY NOT? Discuss with contractor to determine whether to accept or reject the ISR.</p> <p>Failure to meet goals is not a reason for rejecting ISR.</p> <p>Contractor may input a negative number on the ISR.</p> <p>eSRS calculates “Percentage of Current Contract Value” only if the data is “pulled” from FPDS. However, this is never correct for “D” Type contracts (IDIQ). Check ISR to see if “Current Contract Value” data was “pulled” from FPDS. Contractor has no control over this information.</p> <p>NOTE: FAR 52.219-9(d)(10)(iii) states: "After November 30, 2017, include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite-quantity contracts with individual subcontracting plans where the contract is intended for use by multiple agencies.</p>

M	Which method do you use to collect subcontracting data for this report?	Contractor selects one of three options: "award," "invoiced," or "other" ("other" is a text field).	The contractor should be consistent with whichever option is selected; IF NOT, WHY NOT? Discuss with contractor to determine whether to accept or reject the ISR.
N	Certification	Contractor certifies that the data being submitted on the report is accurate and that the dollars and percentages reported do not include lower-tier subcontracts (except as set forth for ANC and Indian Tribes).	If contractor does not certify: REJECT ISR and provide explanation so that contractor knows what to correct.
O	Remarks	Contractor provides explanation for zero in any small business category or failure to meet the dollar or percentage goals in the individual subcontracting plan. The contractor should explain why and provide a plan of action or comments that would be helpful to the person reviewing the report. NOTE: There are no goals for large businesses, HBCU/MI, ANC or Indian Tribe businesses.	If no comment/explanation or plan of action is provided: REJECT ISR and provide explanation so contractor knows what to correct. NOTE: The contractor's explanation and mitigation plan should demonstrate contractor's good faith effort in meeting the subcontracting goals. The contractor's effort or lack of effort should be assessed annually in CPARS.
P	Contractor's Subcontracting Plan Administrator	Contractor provides name, title and phone number of the company official who administers the contractor's Small Business Subcontracting Program.	This person is an employee of the contractor and not a Government person. If contractor does not provide correct person: REJECT ISR and provide explanation so that contractor knows what to correct.
Q	Email address of Government Employee(s) and/or Other Person(s) to be Notified That You Have Submitted this Report	Contractor provides e-mail address of Government employee(s) and/or other person(s) to be notified about the ISR submission. eSRS will send a notification to listed parties advising that an ISR was submitted.	No action required by reviewer. NOTE: Reports should not be rejected because a contracting official's email address is not included in the report. This does not mean that those notified have the responsibility to review the report.

Other Issues

1. Next-tier subcontractors' ISRs
 - a. Subcontractor must have correct email address of upper-tier contractor's POC who is responsible for reviewing the ISR
 - b. If email address is incorrect, ISR will remain in "pending" status in eSRS, as upper-tier contractor is not aware of report
 - c. Only government reviewer can see these ISRs in eSRS
 - d. Reviewer should assist upper-tier contractor by providing e-mail address to which next-tier contractor submitted ISR
 - e. Federal Services Desk for eSRS (<https://www.fsd.gov/fsd-gov/home.do>) can assist upper-tier contractors with access to reports which were inadvertently sent to someone not responsible for reviewing the reports
2. Reviewing ISRs
 - a. Accomplishing the "acknowledge receipt" function is not considered acceptance of the reported information
 - b. If reviewer "acknowledges receipt" of the report and later determines the report is incorrect, the reviewer may then "Reopen" or "Reject" the report
 - c. Reviewer must provide an explanation for the reopened or rejected report so that the contractor knows what to correct
3. For all reports submitted after the Apr and Oct reporting period end dates, the "acknowledge receipt/reject" functions should be completed within 30 days of a contractor's submission

NOTE: Passwords for all registrations in eSRS must be changed every 90 days. If reset is required, contact the Federal Service Desk for assistance at: <https://www.fsd.gov/fsd-gov/home.do>; 1-866-606-8220 or internationally; 334-206-7828.

APPENDIX E

Guide to Preparing and Reviewing an Summary Subcontract Report (SSR) for an Individual Subcontracting Plan

DoD SUBCONTRACTING PROGRAM
Guide to Preparing and Reviewing a Summary Subcontract Report (SSR)
for an Individual Subcontracting Plan (Sept 2019)

Regulatory Requirements

Authority:	<ul style="list-style-type: none"> Section 8(d) Small Business Act – 15 USC 637(d) 	<ul style="list-style-type: none"> Specifies that small businesses will have maximum practicable opportunity to participate in contract performance consistent with efficient performance Requires the agency to collect data on the extent to which the contractor meets the goals of the subcontracting plan
	<ul style="list-style-type: none"> Section 15(g) Small Business Act – 15 USC 644(g) 	<ul style="list-style-type: none"> Specifies government-wide goals for contracts and subcontracts awarded to small business concerns Includes reporting on subcontracting
Regulations:	<ul style="list-style-type: none"> FAR 19.7 / DFARS 219.7 FAR 52.219-9, Small Business Subcontracting Plan DFARS 219.706 Class Deviation 2018-O0007 dated 12/13/2017 DFARS 252.219-7003, Small Business Subcontracting Plan DFARS 252.219-7004, Small Business Subcontracting Plan (Test Program) 	<ul style="list-style-type: none"> Subcontracting plan requirement Upper-tier contractor flows down requirements for subcontracting plan Comply in good faith with subcontracting plan requirements Prime contractors and subcontractors submit SSRs in Federal Electronic Subcontracting Reporting System (eSRS) Authority to acknowledge receipt and approve / reject the report for DoD resides with DoD SSR Coordinator

Summary Subcontract Report (SSR) for an Individual Subcontracting Plan

Submit when?	<ul style="list-style-type: none"> Annually, submit one consolidated SSR within 30 days of the government's fiscal year end (Sep 30), by Oct 30
Submit where?	<ul style="list-style-type: none"> In eSRS at https://www.esrs.gov/ Contractor must select "Dept of Defense (9700)" in block 7 of the SSR
Includes what?	<ul style="list-style-type: none"> SSR may be submitted on a corporate, company or division (e.g., plant or segment operating as a separate profit center) basis, unless otherwise directed by the agency May include multiple DUNS numbers under the overall corporate or "parent" DUNS Encompasses ALL subcontracting under prime contracts and subcontracts with the DoD, regardless of dollar value, including contracts with no subcontracting plan requirement AND classified contracts Cannot show negative dollars
Correct how?	<ul style="list-style-type: none"> Contractor may make changes or corrections to previously submitted reports when reviewer either "Reopens" or "Rejects" the report
Who reviews? When?	<ul style="list-style-type: none"> DoD SSR Coordinator at OSBP and DPC By Dec 15 each year
Review how?	<ul style="list-style-type: none"> Person responsible for reviewing the report should ensure the report is complete and correct; includes a reasonable explanation for zero dollars and a plan for mitigating during next reporting cycle

**Guide to Preparing and Reviewing an SSR for an Individual Subcontracting Plan
(Sept 2019)**

Item	Section	Preparing SSR	Reviewing SSR
A	Type of Plan	Contractor selects "Individual Plan" as the type of subcontracting plan that requires him to submit this SSR.	No action required by reviewer, unless contractor selected incorrect type subcontracting plan. REJECT the SSR if contractor did not select correct type plan and provide explanation so contractor knows what to do.
B	DUNS number	Contractor inputs DUNS number, which auto fills contractor's physical and mailing addresses.	No action required by reviewer. NOTE: This DUNS number may not match DUNS number on contracts. Contractor may choose to provide "parent", "corporate", division DUNS number.
C	Date Submitted	Contractor selects date from calendar.	No action required by reviewer.
D	Contact Information	Populated by eSRS based on contractor's registration information.	No action required by reviewer.
E	Reporting Period	Contractor selects "Oct 1- Sep 30" and the "year"; eSRS also allows contractor to select "Oct 1 – Mar 31."	For DoD, contractor should select twelve-month period (Oct 1 – Sep 30), NOT the six-month period (Oct 1 – Mar 31). If incorrect: REJECT SSR and provide explanation so contractor knows what to do.
F	Agency to Which the Report is Being Submitted	Contractor selects Dept of Defense (9700) from the top of the second "breakout" menu.	If contractor did not select Dept of Defense (9700): REJECT SSR; provide explanation so that contractor knows what to do. NOTE: Contractors submit a consolidated SSR to Dept of Defense (9700); per Class Deviation 2018-O0007, dated 12/13/2017
G	Report Submitted As	Contractor selects: "Prime Contractor," "Subcontractor," or "Both."	No action required by reviewer.
H	Contractor's Major Products or Service Lines	Contractor provides at least one major product/service and associated NAICS code.	No action required by reviewer.
I	Cumulative Fiscal Year Subcontract Awards	Contractor inputs whole dollars; system calculates percentages based on total dollars entered in Line Item 1(c) and validates that the dollars for any of the socioeconomic categories cannot be greater than the dollars for small business in Line Item 1(a).	If SSR contains negative numbers: REJECT SSR; provide explanation so that contractor knows what to do. NOTE: Contractor should NOT input a negative number on the SSR.
J	Remarks	Contractor provides explanation for zero dollars in any small business category. The contractor should explain why and provide a plan of action or comments that would be helpful to the person reviewing the report. NOTE: There are no goals for large businesses, HBCU/MI, ANC or Indian Tribe businesses.	If no comment/explanation or plan of action is provided for categories where contractor entered zero: REJECT SSR and provide explanation so contractor knows what to do. NOTE: The contractor's explanation and mitigation plan should demonstrate its good faith effort in meeting the subcontracting goals. The contractor's effort or lack of effort should be assessed annually in CPARS.

**Guide to Preparing and Reviewing an SSR for an Individual Subcontracting Plan
(Sept 2019)**

Item	Section	Preparing SSR	Reviewing SSR
K	Contractor's Official Who Administers Subcontracting Program	Contractor provides name, title and phone number of the company official who administers the contractor's Small Business Subcontracting Program.	This person is an employee of the contractor and not a Government person. If contractor does not provide correct person: REJECT SSR and provide explanation so that contractor knows what to do.
L	Certification	Contractor certifies that the data being submitted on the report is accurate and that the dollars and percentages reported do not include lower-tier subcontracts, except as set forth for ANC and Indian Tribes.	If contractor does not certify: REJECT SSR and provide explanation so contractor knows what to do.
M	Chief Executive Officer (CEO) and date certified	Contractor provides the full name and title of the CEO or the most senior executive for the company submitting this report; no delegation of authority is accepted. Contractor selects date from pull-down calendar.	No action required by reviewer, unless Reviewer has information indicating that the information provided is inaccurate.
N	CEO Approval	Contractor indicates whether or not the individual who is listed as the CEO on the report will sign a paper print-out of this report and keep it on file.	If no one certifies: REJECT SSR and provide explanation so contractor knows what to do.
O	Email address of Government Employee(s) and/or Other Person(s) to be Notified that You Have Submitted this Report	Contractor provides e-mail address of Government employee(s) and/or other person(s) to be notified about the SSR submission. eSRS will send a notification to listed parties advising that an SSR was submitted.	No action required by reviewer. NOTE: Reports should not be rejected because a contracting official's email address is not included in the report. This does not mean that those notified have the responsibility to review the report.

Other Issues

1. Reviewing SSRs

- a. Accomplishing the "acknowledge receipt" function is not considered acceptance of the reported information
- b. If reviewer "acknowledges receipt" of the report and later determines the report is incorrect, the reviewer may then "Reopen" or "Reject" the report.
- c. Reviewer must provide an explanation for the reopened or rejected report so that the contractor knows what to correct

2. For all reports submitted after the Oct reporting period end dates, the "acknowledge receipt/reject" functions should be completed within 30 days of a contractor's submission

NOTE: Passwords for all registrations in eSRS must be changed every 90 days. If reset is required, contact the Federal Service Desk for assistance at: <https://www.fsd.gov/fsd-gov/home.do>; 1-866-606-8220 or internationally; 334-206-7828.

APPENDIX F

Guide to Preparing and Reviewing a Summary Subcontract Report (SSR) for a Commercial Subcontracting Plan

DoD SUBCONTRACTING PROGRAM
Guide to Preparing and Reviewing a Summary Subcontracting Report (SSR)
for a Commercial Subcontract Plan (Sept 2019)

Regulatory Requirements

Authority:	<ul style="list-style-type: none"> Section 8(d) Small Business Act – 15 USC 637(d) 	<ul style="list-style-type: none"> Specifies that small businesses will have maximum practicable opportunity to participate in contract performance consistent with efficient performance Requires the agency to collect data on the extent to which the contractor meets the goals of the subcontracting plan
	<ul style="list-style-type: none"> Section 15(g) Small Business Act – 15 USC 644(g) 	<ul style="list-style-type: none"> Specifies government-wide goals for contracts and subcontracts awarded to small business concerns Includes reporting on subcontracting
Regulations:	<ul style="list-style-type: none"> FAR 19.7 / DFARS 219.7 FAR 52.219-9, Small Business Subcontracting Plan DFARS 252.219-7003, Small Business Subcontracting Plan FAR 52.212-5 Contract Terms/Conditions Required to Implement Statutes or Executive Orders – Commercial Items (Jan 2017) 	<ul style="list-style-type: none"> Subcontracting plan requirement Comply in good faith with subcontract plan requirements Contractors with government approved commercial subcontracting plan on a prime contract submit SSR in Federal Electronic Subcontracting Reporting System (eSRS) Authority to acknowledge receipt and approve / reject the report for resides with the Procuring Contracting Officer (PCO) who approved the commercial subcontracting plan

Summary Subcontract Report (SSR) for a Commercial Subcontracting Plan

Submit when?	<ul style="list-style-type: none"> Annually, submit one consolidated SSR within 30 days of the government's fiscal year end (Sep 30), by Oct 30
Submit where?	<ul style="list-style-type: none"> In eSRS at https://www.esrs.gov/ To the contracting organization of the contracting official who approved the commercial subcontracting plan; the contractor must “drill down” within the DoD hierarchy to select the contracting organization
Includes what?	<ul style="list-style-type: none"> Report is based on total subcontract awards for both Federal AND non-Federal Government business, rather than solely Federal Government business Report includes all subcontract awards under all contracts covered by contractor's commercial plan in effect during the Government's fiscal year If performing work for more than one executive agency, Contractor must specify a percentage of total dollars attributable to each agency from which contracts were received; percentages should be small, as this is based on total subcontracting for both Federal AND non-Federal Government business and applies to entire production of commercial items or services sold Cannot show negative numbers
Correct how?	<ul style="list-style-type: none"> Contractor may make changes or corrections to previously submitted reports when reviewer either “Reopens” or “Rejects” the report
Who reviews? When?	<ul style="list-style-type: none"> PCO who approved the commercial subcontracting plan By Dec 15 of each year
Review how?	<ul style="list-style-type: none"> PCO must determine if “Total Dollars” reported represent subcontracting for both Federal Government AND non-Federal Government business PCO should ensure report is complete and correct; includes reasonable explanation for zero dollars and a plan for mitigating during next reporting cycle

Guide to Preparing and Reviewing an SSR for a Commercial Subcontracting Plan (Sept 2019)

Item	Section	Preparing SSR	Reviewing SSR
A	Type of Plan	Contractor selects “Commercial Plan” as the type of subcontracting plan that requires submission of this SSR.	No action required by reviewer, unless contractor selected incorrect type subcontract plan. REJECT the SSR if not correct type plan.
B	DUNS number	Contractor inputs DUNS number, which auto fills contractor’s physical and mailing addresses.	No action required by reviewer. NOTE: This DUNS number may not match DUNS number on contracts. Contractor may choose to provide “parent”, “corporate”, division DUNS number.
C	Date Submitted	Contractor selects date from calendar.	No action required by reviewer.
D	Contact Information	Populated by eSRS based on contractor’s registration information.	No action required by reviewer.
E	Reporting Period	Contractor selects government Fiscal Year; eSRS populates period.	If incorrect: REJECT SSR and provide explanation so contractor knows what to correct.
F	Report Submitted As	Contractor selects “Prime Contractor,” “Subcontractor,” or “Both”.	If the contractor selects “Subcontractor”: REJECT the SSR and provide explanation so that contractor knows what to correct. NOTE: A contractor must have at least one prime contract in order to have a commercial subcontracting plan approved by a Contracting Official; a subcontractor (only) cannot have a commercial subcontracting plan; however, eSRS allows a contractor to select “Commercial Plan” and “Subcontractor” when submitting the SSR. NOTE: Construction contractors inadvertently select “Commercial Plan” because they are thinking it includes construction of commercial properties.
G	Contractor’s Major Products or Service Lines	Contractor provides at least one major product/service and the associated NAICS code.	If the contractor indicates construction and related maintenance repair or a NAICS code beginning with 23: REJECT the SSR and provide explanation so that contractor knows what to correct; most likely, the contractor inadvertently selected “Commercial Plan” when they should have selected “Individual Plan”. NOTE: Construction and related maintenance-repair-type work are not acceptable for commercial subcontracting plans (any NAICS code beginning with 23).
H	Cumulative Fiscal Year Subcontract Awards	Contractor inputs whole dollars; system calculates percentages based on total dollars entered in Line Item 1(c) and validates that the dollars for any of the socioeconomic categories cannot be greater than the dollars for small business in Line Item 1(a).	If totals represent subcontracting dollars spent exclusively on Government or DoD contracts: REJECT the SSR and provide explanation so that contractor knows what to do. NOTE: The dollars represent the total amount of subcontract awards spent (performed in the United States and its outlying areas) for the items/services under the approved commercial subcontracting plan. These totals represent subcontracting for both Federal Government AND non-Federal Government business, rather than solely to Federal Government contracts. If SSR contains negative numbers: REJECT and provide an explanation so contractor knows what to do. NOTE: Contractor should NOT input a negative number on the SSR.

Guide to Preparing and Reviewing an SSR for a Commercial Subcontracting Plan (Sept 2019)

Item	Section	Preparing SSR	Reviewing SSR
I	Specify Agencies to Which You are Submitting this Report and Percentages of Dollars Attributable to Each	Contractor selects the Federal agencies and/or contracting organizations which awarded prime contracts covered by the contractor's commercial subcontracting plan. For each identified agency/organization, the contractor enters a number which represents the percentage of the total subcontracting dollars attributable to each agency/organization.	<p>Contractor cannot have 100 percent for:</p> <ul style="list-style-type: none"> • Federal Government as a whole • Any single Government agency • Or any combination thereof <p>If so, REJECT the SSR and provide explanation so that contractor knows what to correct.</p> <p>NOTE: Any figure between 50 percent and 99 percent is suspect; one would think that the portion of subcontracting dollars for the Federal Government should be quite small in comparison to the overall subcontracting dollars (on the entire product line or service performed in the United States and its outlying areas) and even smaller to a specific Federal agency; however, this is just a good guideline to follow and is not set in stone; verify with the contractor.</p>
J	Approver	Contractor checks the contracting organization responsible for accepting and rejecting this report.	<p>If the contractor selects Dept of Defense (9700) or the top level of a DoD department/agency and not a contracting office organization:</p> <p>REJECT SSR and provide explanation so that contractor knows what to correct.</p> <p>NOTE: The CO who approved the contractor's commercial subcontract plan is responsible for reviewing and approving the related SSR.</p> <p>NOTE: The CO who approved the commercial subcontracting plan should send an email to other agencies listed with percentages attributable, and request justifications to reject the report; otherwise Reviewer should move forward and approve or reject the report.</p> <p>NOTE: In order to "see" the SSR in eSRS, the approver must be registered in eSRS at the contracting office level. The contractor must select the same contracting office level when identifying the office of the contracting official who approved the commercial subcontracting plan.</p> <p>NOTE: DCMA does not approve commercial subcontracting plans.</p>
K	Remarks	<p>Contractor provides explanation for zero dollars in any small business category or failed to meet the dollar or percentage goals in the commercial subcontracting plan. The contractor should explain why and provide a plan of action or comments that would be helpful to the person reviewing the report.</p> <p>NOTE: There are no goals for large businesses, HBCU/MI, ANC or Indian Tribe businesses.</p> <p>Contractor includes the contract # of the one awarded contract subject to the plan (contract with latest completion date</p>	<p>If no comment/explanation or plan of action is provided for categories where contractor entered zero dollars or did not meet goal:</p> <p>REJECT SSR and provide explanation so that contractor knows what to correct.</p> <p>NOTE: The contractor's explanation and mitigation plan should demonstrate its good faith effort in meeting the subcontracting goals. The contractor's effort or lack of effort should be assessed annually in CPARS.</p>

Guide to Preparing and Reviewing an SSR for a Commercial Subcontracting Plan (Sept 2019)

Item	Section	Preparing SSR	Reviewing SSR
L	Contractor's Official Who Administers Subcontracting Program	Contractor provides name, title and phone number of company official who administers the contractor Small Business Subcontracting Program.	This person is an employee of the contractor and not a Government person. If contractor does not provide correct person: REJECT SSR and provide explanation so that contractor knows what to do.
M	Certification	Contractor certifies that the data being submitted on the report is accurate and that the dollars and percentages reported do not include lower-tier subcontracts, except as set forth for ANC and Indian Tribes.	If contractor does not certify: REJECT the SSR and provide explanation so that contractor knows what to correct.
N	Chief Executive Officer (CEO) and date certified	Contractor provides the full name and title of the CEO or the most senior executive for the company submitting the report; no delegation of authority is accepted. Contractor selects date from pull-down calendar.	No action required by reviewer, unless reviewer has information indicating that the information provided is inaccurate
O	CEO Approval	Contractor indicates whether or not the individual who is listed as the CEO on the report will sign a paper print-out of the report and keep it on file.	If no one certifies: REJECT SSR and provide explanation so that contractor knows what to correct.
P	Email address of Government Employee(s) and/or Other Person(s) to be Notified that you Have Submitted this Report	Contractor provides e-mail address of Government employee(s) and/or other person(s) to be notified about the submitted SSR. eSRS will send a notification to listed parties advising that an SSR was submitted.	No action required by reviewer. NOTE: Reports should not be rejected because a contracting official's email address is not included in the report. This does not mean that those notified have the responsibility to review the report.

Other Issues

1. Reviewing SSRs
 - a. Accomplishing the "acknowledge receipt" function is not considered acceptance of the reported information
 - b. If reviewer "acknowledges receipt" of the report and later determines the report is incorrect, the reviewer may then "Reopen" or "Reject" the report.
 - c. Reviewer must provide an explanation for the reopened or rejected report so that the contractor knows what to correct
2. For all reports submitted after the Oct reporting period end dates, the "acknowledge receipt/reject" functions should be completed within 30 days of a contractor's submission

NOTE: Passwords for all registrations in eSRS must be changed every 90 days. If reset is required, contact the Federal Service Desk for assistance at: <https://www.fsd.gov/fsd-gov/home.do>; 1-866-606-8220 or internationally; 3