SUBCONTRACTING PLAN

|  |  |  |
| --- | --- | --- |
| **Company Name:** | Cornell University |  |
| **DUNS #:** | 872612445 |  |
| **Cage Code: SAM ID #:** | 4B578 G56PUALJ3KT5 |  |
| **Tax ID#:** | 15-0532082 |  |
| **Address:** | 341 Pine Tree Road, Ithaca, NY 14850 |  |
| **Date Prepared:** |  |  |
| **Solicitation #:** | **Contract #:** |  |
| **Period of Performance:** |  |  |

# TYPE OF PLAN:

|  |  |  |
| --- | --- | --- |
| **X** | **INDIVIDUAL PLAN** | means a subcontracting plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror’s planned subcontracting in support of the specific contract except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract. |
|  | **MASTER PLAN** | means a subcontracting plan that contains all the required elements of an individual contract plan, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved. |

**\*The term Small Business Concerns covers** Small Disadvantaged (including ANCs and Indian tribes), Veteran Owned, Service-Disabled Veteran Owned, Woman Owned, Economically Disadvantaged Woman Owned, and Historically Underutilized Business Zone Small Business.

1. Total dollar value of contract proposal including all options: $\_\_\_\_\_\_\_\_
2. Total estimated dollar value of subcontract possibilities: $\_\_\_\_\_\_\_\_

**B1**. Total Small Business Subcontracted dollars: $\_\_\_\_\_\_\_\_

**B2**. Total Other than small business Subcontracted dollars:

$\_\_\_\_\_\_\_\_

1. **Subcontracting Goals** (FAR 52.219-9(d)(1), FAR 52.219-9(d)(2)(ii-vii))**:**

Total subcontracted dollars and subcontracting percentage goals as compared to **SUBCONTRACTED DOLLARS ONLY** for the complete period of performance

|  |  |  |
| --- | --- | --- |
| Business Socioeconomic Status | Subcontracted Dollars | % of Total Subcontracted Dollars (identified in **B.** above) |
| Small Business (SB)\* | $ |  |
| Small Disadvantage Business (SDB) | $ |  |
| Women Owned Small Business (WOSB) | $ |  |
| Veteran Owned Small Business (VOSB) | $ |  |

|  |  |  |
| --- | --- | --- |
| Service Disabled Veteran Owned Small Business (SDVOSB) | 0 |  |
| HUBzone Small Business | 0 |  |
| Historically Black College & Minority Owned Small Business (HBCU & MI)\*- | 0 |  |

Cornell University does not have identified vendors for Historically Black College & Minority Owned Small Business (HBCU & MI), Veteran Owned Small Business (VOSB), Service Disabled Veteran Owned Small Business (SDVOSB) or HUBzone Small Business in the categories identified for procurement opportunities. The location of Cornell University in Central New York State limits the available pool of vendors. Cornell is currently seeking qualified vendors for these categories.

Subcontracting to \_\_\_\_\_ is due to their status as a research collaborator. The company was actively involved in the development of the project and will be involved specifically for their intellectual contributions. They have expertise in establishing field sampling campaigns, obtaining analytical data, and performing data analyses. This spend is excluded from the calculation of funds available for small business subcontracting opportunities. Research Collaborators are involved due to unique characteristics and are included in the proposed project plan approved by sponsor agencies.

1. **SB Commitment Goals** FAR 52.219-9(d)(1)

Total dollars planned to be subcontracted to the following to include percentage of **TOTAL CONTRACT VALUE** for the complete period of performance:

|  |  |  |
| --- | --- | --- |
| Business Socioeconomic Status | Subcontracted Dollars | % of Total Contract Value (identified in **A.**  above) |
| Small Business (SB)\* | $ |  |
| Small Disadvantage Business (SDB) | $ |  |
| Women Owned Small Business (WOSB) | $ |  |
| Veteran Owned Small Business (VOSB) | $ |  |
| Service Disabled Veteran Owned Small Business (SDVOSB) | $ |  |
| HUBzone Small Business | $ |  |
| Historically Black College & Minority Owned Small Business (HBCU & MI) | $ |  |

## Justification for Socioeconomic Categories with Zero Goals:

Cornell University does not have identified vendors for Historically Black College & Minority Owned Small Business (HBCU & MI), Veteran Owned Small Business (VOSB), Service Disabled Veteran Owned Small Business (SDVOSB) or HUBzone Small Business in the categories identified for procurement opportunities. The location of Cornell University in Central New York State limits the available pool of vendors. Cornell is currently seeking qualified vendors for these categories.

1. **DESCRIPTION OF PRODUCTS/SERVICES** FAR 52.219-9(d)(3)(i-vi)**:**

A description of ALL Supplies/Services to be subcontracted under this contract are as follows:

|  |  |  |  |
| --- | --- | --- | --- |
| Business Name | Business Size | Supplies/Service Description | Estimated Dollar amount |
|  | (Other than Small, Small, Small Disadvantaged, Veteran Owned, Service Disabled Veteran Owned, Woman Owned, Economically Disadvantaged Woman Owned, Historically Underutilized Business Zone Small Business,  HBCU/MI) |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## DESCRIPTION OF THE METHOD USED TO DEVELOP SUBCONTRACTING GOALS FOR SB AND SB CONCERNS FAR 52.219-9(d)(4):

Cornell University endeavors to promote the development of mutually beneficial business partnerships so that small, small disadvantaged, small woman-owned, small veteran-owned, small service-disabled veteran-owned, and small HUBZone business have competitive access to participate under Cornell University's procurement of materials, supplies, and services consistent with effective and economic purchasing practices. Cornell University's departments and purchasing personnel plan procurements consistent with forecast requirements in a manner that encourages participation by small business concerns, including economic quantities, reasonable delivery schedules and allowing sufficient time to these types of business enterprises to submit bids. When mutually beneficial, Cornell University will provide assistance to small/small disadvantaged business concerns.

Cornell does not have specific established small business subcontracting goals at an institutional level. Cornell develops small business subcontracting goals for projects based on sponsor mandated and/or suggested goals, along with an analysis of feasibility according to classes of procurement anticipated and availability of eligible small businesses.

Cornell University excludes amounts of subcontracts to research collaborators when calculating small business goals. These collaborations are established due to the unique intellectual contributions of each collaborator and are not selected through a competitive procurement process.

1. **POTENTIAL SOURCES FOR SOLICITATION** FAR 52.219-9(d)(5)**:**

The method used to identify potential sources for solicitation is as follows:

Cornell University will use New York State OGS Contracts. We will locate various vendors through Dun & Bradstreet Supplier Location and use the Upstate Minority Purchasing Council membership list.

University procurement staff attend small and minority business procurement conferences and trade fairs. Cornell has electronic tools that are used for the certification of small business concerns. Cornell has an electronic bid system which provides listings of small businesses within a given commodity structure. Cornell uses electronic tools and data to assist users in finding diverse businesses, and provides diverse businesses to identify growth opportunities, and hold Diverse Supplier workshops.

Cornell has identified specific diverse businesses to mentor and assist in growing business. Cornell has hosted diverse supplier workshops and matchmakers to increase exposure to

users. We provide diverse suppliers with premium space in our e-Procurement tool and at our large-scale supplier fair. We provide consultative expertise to selected suppliers who request assistance through Cornell’s Big Red Consulting at no charge.

Laboratory and science vendors make up a majority of the procurement opportunities under this award and contracts have specifically been negotiated for this spending and is shown here.

## INDIRECT COST FAR 52.219-9(d)(6):

Indirect and overhead costs HAVE / x HAVE NOT been included in the subcontracting goals.

1. **PROGRAM ADMINISTRATOR** FAR 52.219-9(d)(7)**:**

This individual is employed by our company and will be the administrator of our Subcontracting Program:

|  |  |
| --- | --- |
| Name: | Thomas Romantic |
| Title: | Senior Director of Procurement Services |
| Address: | 377 Pine Tree Road, Ithaca NY 14850 |
| Telephone Number: | 607-255-8574 |
| E-Mail Address: | [twr2@cornell.edu](mailto:twr2@cornell.edu) |

The Program Administrator’s duties are as follows FAR 52.219-9(d)(7):

Description

Yes No\*

x (a) Develop and promote company-wide policy initiatives that demonstrate the company’s support for awarding contracts and subcontracts to SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB concerns; and assures that these concerns are included on the source lists for solicitations for products and services they are capable of providing

x (b) Develop and maintain bidder source lists of SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB concerns from all possible sources

x (c) Ensures periodic rotation of potential subcontractors on bidder’s lists

x (f) Ensures that SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB businesses are included on the bidders’ list for every subcontract solicitation for products and services that they are capable of providing.

x (g) Ensures that Requests for Proposals (RFPs) are designed to permit the maximum practicable Participation of SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB concerns

x (h) Reviews subcontract solicitations to remove statements, clauses, etc., which might tend to restrict or prohibit SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB participation

|  |  |  |
| --- | --- | --- |
| x |  | (i) Accesses various sources for the identification of SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB concerns to include the SBA’s PRO-Net and SUB-Net Systems, ([http://www.sba.go](http://www.sba.gov/)v), the National Minority Purchasing Council Vendor Information Service, the Office of Minority Business Data Center in the Department of Commerce, local small business and minority associations, contact with local chambers of commerce and Federal agencies’ Small Business Offices |
| x | x | (j) Establishes and maintains contract and subcontract award records |
| x |  | (k) Participates in Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc |
| x |  | (l) Ensures that SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB concerns are made aware of Subcontracting opportunities and assisting concerns in preparing responsive bids to the Company |
| x |  | (m) Conducts or arranges for the conduct of training for purchasing personnel regarding the intent and impact of Section 8(d) of the Small Business Act, as amended. |
| x |  | (n) Monitors the company’s subcontracting program performance and makes any adjustments necessary to achieve the subcontract plan goals |
|  | x | (o) Prepares and submits timely, required subcontract reports |
|  | x | (p) Coordinates the company’s activities during the conduct of compliance reviews by Federal agencies |

(j) Contracts and subcontracts to other universities are managed by the Cornell Office of Sponsored Programs. Required flow-down provisions are included in all applicable subcontracts. Vendor procurement documentation is maintained by Procurement Services, under the auspices of the Program Administrator.

(o) Administrators in Sponsored Financial Services prepare and submit the required small business subcontracting reports from financial records in their system.

(p) The Associate Director of Sponsored Financial Services is responsible for overseeing all compliance reviews.

1. **OPPORTUNITIES FOR SUBCONTRACTING** FAR 52.219-9(d)(8) See 19.202-1**:**

See Section 5 above for a description of Cornell’s efforts. Additional efforts are as follows:

* + Promote a competitive procurement processes that includes all segments of the business community and incorporate socially responsible and sustainable purchasing practices.
  + Enhance our supplier population to secure better prices and higher quality products and services through increased competition.
  + Develop and maintain a supplier population that is representative of the racial, ethnic, and gender diversity of the community we serve.
  + Reflect our commitment as an economic partner in the communities in which we conduct business.
  + Provide university staff who are involved in the acquisition of materials and services with adequate tools and training to locate and utilize vendors who meet their spending requirements.

# STATEMENT OF FLOW DOWN:

|  |  |  |
| --- | --- | --- |
| Yes | No | Assertion: |
| x | (a) Clause 52.219-8 Utilization of Small Business Concerns will be included in all subcontracts that offer further subcontracting opportunities.  FAR 52.219-9(d)(9) | |
| x | (b) All subcontractors (except small businesses) that receive subcontracts in excess of $750,000 ($1.5 Million for Construction) will be required to adopt a plan that complies with the requirements of the clause at 52.219-9 Small Business Subcontracting Plan.  FAR 52.219-9(d)(9) | |

## Assurances

Cornell University provides/agrees to/will comply with the following assurances: Yes No Assurances:

x (i) Cooperate in any studies or surveys as may be required FAR 52.219-9(d)(10)(i)

x (ii) Submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan

FAR 52.219-9(d)(10)(ii)

x (iii) After November 30, 2017, include subcontracting data for each order when reporting subcontracting achievements for indefinite- delivery, indefinite-quantity contracts intended for use by multiple agencies

FAR 52.219-9(d)(10)(iii)

x (iv) Submit the Individual Subcontract Report (ISR), and the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS) ([http://www.esrs.gov](http://www.esrs.gov/) ), following the instructions in the eSRS and in accordance with FAR 52.219-9(d)(10)(iv); 52.219-9 ALTERNATE III (d)(10)(iii); Class

Deviation 2018-O0007

x (iv,A) The ISR shall be submitted semi-annually during contract performance for the periods ending March 31 and September 30.

A report is also required for each contract within 30 days of contract completion.

Reports are due 30 days after the close of each reporting period, unless otherwise directed by the contracting officer.

Reports are required when due, regardless of whether there has been any subcontracting activity since the inception of the contract or the previous reporting period.

|  |  |
| --- | --- |
|  | When a contracting officer rejects an ISR, contractor is required to submit a revised ISR within 30 days of receiving the notice of the ISR rejection |
| x | (iv, B) The SSR shall be submitted annually by October 30 for the twelve-month period ending September 30. When an SSR is rejected, the contractor is required to submit a revised SSR within 30 days of receiving the notice of SSR rejection; |
| x | (v) Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using the eSRS |
| x | (vi) Provide its prime contract number and its unique entity identifier, 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  FAR 52.219-9(d)(10)(vi) |
| x | (vii) Require that each subcontractor with a subcontracting plan provide the prime contract number, its own unique entity identifier, 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  FAR 52.219-9(d)(10)(vii) |

# TYPES OF RECORDS THAT WILL BE MAINTAINED:

Cornell University assures to:

A description of the types of records that will be maintained concerning the procedures adopted to comply with the requirements and goals in this plan, including establishing source lists; and a description of our efforts to locate small businesses, and small business concerns and to award subcontracts to them.

|  |  |  |
| --- | --- | --- |
| Yes | No | Description |
| x | 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 FAR 52.219-9(d)(11)(i) | |
| x | 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 FAR 52.219-9(d)(11)(ii) | |

|  |  |  |
| --- | --- | --- |
| x |  | Maintain records on each subcontract solicitation resulting in an award of more than the simplified acquisition threshold 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 FAR 52.219-9(d)(11)(iii)(A)-(F) |
| x |  | Maintain records of the reason award was not made to a small business concern for solicitations over the simplified acquisition threshold? FAR 52.219-9(d)(11)(iii)(G) |
| x |  | Maintain records of outreach efforts to contact trade associations FAR 52.219- 9(d)(11)(iv)(A) |
| x |  | Maintain records of outreach efforts to contact business development organizations. FAR 52.219-9(d)(11)(iv)(B) |
| x |  | 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. FAR 52.219-(d)(11)(iv)(C) |
| x |  | Maintain records of outreach efforts to contact veterans’ service organizations FAR 52.219-9(d)(11)(iv)(D) |
| x |  | Maintain records of internal guidance and encouragement provided to buyers through workshops, seminars, training, etc. FAR 52.219-9(d)(11)(v)(A) |
| x |  | Maintain records of internal guidance and encouragement provided to buyers through monitoring performance to evaluate compliance with the program’s requirements. FAR 52.219-9(d)(11)(v)(B) |
| x |  | Maintain records of internal guidance and encouragement provided to buyers through monitoring performance to evaluate compliance with the program’s requirements. FAR 52.219-9(d)(11)(v)(B) |
| x |  | 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). FAR 52.219-9(d)(11)(vi) |

**Other Assurances:**

1. Cornell University assures to make a good faith effort to acquire articles, equipment, supplies, services, or materials, or obtain the performance of construction work from the small business concerns that the was used in preparing the bid or proposal, in the same or greater scope, amount, and quality used in preparing and submitting the bid or proposal.

Responding to a request for a quote does not constitute use in preparing a bid or proposal. An offeror used a small business concern in preparing the bid or proposal if:

1. The offeror identifies the small business concern as a subcontractor in the bid or proposal or associated small business subcontracting plan, to furnish certain supplies or perform a portion of the contract; or
2. The offeror used the small business concern's pricing or cost information or technical expertise in preparing the bid or proposal, where there is written evidence of an intent or understanding that the small business concern will be awarded a subcontract for the related work if the offeror is awarded the contract

FAR 52.219-9(d)(12) (i) and (ii)

1. Cornell University assures to provide the contracting officer with a written explanation if the contractor fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in (a)(12) of this section. This written explanation will be submitted to the contracting officer within 30 days of contract completion.
2. Cornell University assures 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; and
3. Cornell University will pay its small business subcontractors on time and in accordance with the terms and conditions of the underlying subcontract and shall notify the contracting officer when the prime contractor makes either a reduced or an untimely payment to a small business subcontractor (see 52.242-5).

|  |  |
| --- | --- |
| **Preparer of the Subcontracting Plan** | |
|  | **Date://2023** |
| **Name:** |  |
| **Title:** |  |
| **Telephone#** |  |
| **Email Address:** |  |