



DEPARTMENT OF THE NAVY
OFFICE OF NAVAL RESEARCH
CHICAGO REGIONAL OFFICE
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CHICAGO IL 60604-1595

IN REPLY REFER TO

ONR-CHI/KMM
SSIC 4330
SER. 245/FY22-600
23 August 2022

Danielle Cyrus
Director of Purchasing
Michigan Technological University
1400 Townsend Dr
Houghton, MI 49931

Dear Ms. Cyrus:

This office has completed its review of Michigan Technological University's proposed Master Subcontracting Plan for DoD contracts and subcontracts that will be awarded during the period of May 1, 2022 through April 30, 2025.

In accordance with FAR 19.704 and 52.219-9, the attached Master Subcontracting Plan is approved for incorporation into individual plans contingent on the following conditions:

First, this approval does not relieve the University of its obligation to provide the Government with acceptable individual subcontracting goals under a basic contract award in accordance with FAR 52.219-9.

Second, the University agrees to ensure that the master plan is updated as required and provides copies of the approved master plan, including evidence of its approval, as required by the Government. Third, the goals and any deviations from the master plan deemed necessary by the Government to satisfy the requirements of the contract are set forth in the individual subcontracting plan.

Any deviations or changes required to update the master plan requires the approval of the assigned Administrative Contracting Officer. When required, the University may submit the first page of the Master Subcontracting Plan as documentation of the Government's approval of the master plan, a separate statement outlining the goals, and a brief description of the principal types or supplies or services to satisfy the statutory requirements under FAR 19.7 and FAR 52.219-9.

If you have any questions pertaining to the above, please contact me at (217) 282-0136.

Regards,

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MCCORMICK.KEVIN.M.13965038
IN.M.1396503847⁴⁷
Date: 2022.08.23 15:59:16 -05'00'

KEVIN McCORMICK
Sr. Administrative Contracting Officer

Michigan Technological University

SMALL BUSINESS MASTER SUBCONTRACTING PLAN

May 1, 2022 through April 30, 2025



SUBMITTED BY

Michigan Technological University

Danielle Cyrus
Signature

Danielle Cyrus
Director of Purchasing

Date: 04/26/2022

APPROVED BY

Office of Naval Research

See Attached Approval Letter
Signature

Administrative Contracting Officer

Date: _____

MICHIGAN TECHNOLOGICAL UNIVERSITY
SMALL BUSINESS MASTER SUBCONTRACTING PLAN

This Master Subcontracting Plan is submitted to satisfy the applicable requirements of Public Law 95-507, 103-355, 105-135 and 106-50 as implemented by the Federal Acquisition Regulation, the Defense Supplement thereto, Public Law 100-180 and 103-337.

The University will, to the maximum extent possible, consistent with sound and ethical business practices, make a concerted effort to seek out and encourage the following types of business concerns to ensure equitable opportunity:

- Small business concerns (SB)
- Small disadvantaged businesses (SDB) - businesses owned and controlled by socially and economically disadvantaged individuals
- Women-owned small businesses (WOSB)
- Historically underutilized business zone small businesses, (HUBZone SB)
- Veteran-owned small businesses (VOSB)
- Service-disabled veteran-owned small businesses (SDVOSB), including
- Historically Black Colleges and Universities/Minority Institutions (HBCU/MI) and
- Alaska Native Corporations (ANC) and Indian Tribes

This Master Subcontracting Plan, which contains all the elements required by FAR 52.219-9 except goals, shall be incorporated by reference as a part of each individual subcontract plan required of University, provided:

- i. The master subcontracting plan has been approved by the University's cognizant Administrative Contracting Office,
- ii. University provides copies of the approved master subcontracting plan and evidence of its approval to the Contracting Officer,
- iii. Separate goals for the basic contract and, if necessary, each option have been established, and
- iv. Any deviations from the master subcontracting plan, deemed necessary by the Contracting Officer to satisfy requirements of the relevant contract, are set forth in the individual subcontract plan for the contract.

Each individual subcontract plan shall contain a description of the principal types of supplies and services to be subcontracted, and an identification of the types planned for subcontracting to SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSB, and HUBZone. Any goals less than the desired minimum will contain a description of the effort to find sources and an explanation as to why those efforts have been unsuccessful.

1. Goals – FAR 19.704, 52.219-9(d)(1), (2), and (3) – Percentage and Dollar Goals

The University views the support of small business (and all the categories identified above) under the requirements of FAR 19.7 (DFARS 219.7), 52.219-8, 52.219-9 (DFARS 52.219-7003), 52.219-16 and DFARS 252.219-7004, as an extension of the University's published social and economic responsibilities to the general public. It is the intent of Michigan Technological University to assist SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSD, and HUBZone to the maximum extent practicable consistent with sound business practices and with the efficient performance of the University's contract requirements and obligations.

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Individual subcontracting goals, which will include percentages, dollars and a description of products and/or services to be obtained, will be established for each federal contract requiring the submission of an individual subcontract plan as exemplified by Attachment A.

It is also the University's intent to give such small business concerns a fair and equitable opportunity to compete for business, consistent with the efficient performance of the University's contractual obligations. The University pledges to make a concerted effort to locate small business, and each of the categories of small business mentioned above, to provide an equitable opportunity in competing for subcontract requirements.

2. Methods Used to Develop Subcontracting Goals – FAR 52.219-9 (d)(4)

Small business subcontracting goals are developed based on the award's budget, Statement of Work, and stated supply and service needs by the University's Small Business Administrator (SBA) in consultation with the Principal Investigator (PI), department staff researchers, and Sponsored Programs Office (SPO). As needed to facilitate establishment of the goals, the SBA and PI utilize the expertise of SPO and consider past experience regarding the availability of small businesses to fulfill specific requirements in the area of research or supporting requirements.

Capabilities and past performance are considered when determining whether or not to include the small business concerns in the goals. Qualified small business concerns, VOSBs, SDVOSBs, HUBZone, SDBs, and WOSBs are sourced to meet program goals whenever possible. Reasonable goals are established based on the determination of the type and value of the subcontract and the availability of qualified firms.

3. Description of Method Used to Identify Potential Sources for Solicitation Purposes – FAR 52.219-9 (d)(5)

The University understands that it may rely on the information contained in SAM as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSB, and HUBZone source list. The University also understands that use of SAM as its source list does not relieve itself from other responsibilities contained in FAR 52.219-9 (d)(5) (e.g., outreach, assistance, counseling, or publicizing subcontracting opportunities).

Other methods used by the University to identify potential sources for solicitation purposes may include:

- System for Award management (SAM) <https://www.sam.gov/SAM/>
- SBA Dynamic Small Business Search (DSBS) <http://dsbs.sba.gov/dsbs/search>
- SBA HUBZone-Certified Search http://dsbs.sba.gov/dsbs/search/dsp_searchhubzone.cfm
- State of Michigan Certified Small Business Directory <https://www.sbam.org/business-directory/>
- The University currently has a vendor database which allows flagging of small and diverse businesses, so that project teams can easily identify small and diverse businesses.

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4. Indirect Costs – FAR 52.219-9 (d)(6)

Indirect and overhead costs are **not included** in the goals specified in item 1 above.

5. Plan Administrator and Duties – FAR 52.219-9 (d)(7)

The designated individual assigned overall responsibility for administering the master subcontracting plan for the University (the “University Small Business Administrator”) is:

Danielle Cyrus, Director of Purchasing
Michigan Technological University
1400 Townsend Drive
Houghton, MI 49931
(906) 487-2512
dcyrus@mtu.edu

The University has established shared responsibility for administration of the master subcontracting plan and individual subcontract plans. It is the intent of the University to have the duties performed as outlined below; however, duties may be delegated to other parties on an as needed basis.

Small Business Administrator:

- Assures that the University’s intent to give small business concerns maximum practicable opportunity to compete for subcontracts is carried out consistent with the efficient performance of prime contracts and the University’s published policies and procedures.
- Developing and maintain bidders’ lists of SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSD, and HUBZone concerns from all possible sources.
- Submits required reports (utilizing eSRS or other means, as required).
- Assures the Master Subcontracting plan is updated as necessary in accordance with FAR 52.219-9(f)(2).

Principal Investigators:

- Identify potential sources, item 3 above, for goods and/or services and seek quotes for the individual subcontracting plans.
- Ensure compliance with the individual subcontracting plan.

Sponsored Programs Office:

- Submits individual subcontracting plans as part of a bid or proposal.
- Negotiates and executes federal contracts.
- Ensures inclusion of proper flow-down clauses in subcontracts.
- Addresses any non-compliance of which it becomes aware.
- Identifies/Track reporting requirements.
- Collects data for reporting purposes under federal contracts.
- Coordinating the University’s activities in regard to compliance reviews by federal agencies.

Purchasing Services:

- Accessing various sources for the identification of SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSD, and HUBZone concerns.

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- Assists with the development of individual subcontract plan goals for small business concerns, as requested.
- Participates in Business opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc.

6. Efforts to Assure Equitable Opportunities for Small Businesses to Compete – FAR 52.219-9 (d)(8)

Michigan Technological University recognizes its responsibility to assure that SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSD, and HUBZone concerns have an equitable opportunity to compete for subcontracts. The following internal efforts, including section 2 and 3 above, are made to guide and encourage utilization of small businesses.

- Purchasing staff have bookmarked Acquisition.gov as a checklist to ensure that they abide by all of the Federal Acquisition Regulation requirements.
- Advise affected University personnel of the purpose and goals of individual subcontract plan and follows up periodically in an effort to ensure that the plan is being properly supported, promoted and administered.
- Specific performance responsibilities will be assigned to appropriate University offices charged with insuring that the University meets the established goals of each individual subcontract plan.
- Seek, facilitate, communicate and encourage the submission of bids of qualified small business of all types with the University, and administer each individual subcontract plan accordingly.
- Establish, maintain and make available to University buyers source lists of potential small businesses which are capable or potentially capable of providing the goods and services required by the University and its customers. Sources will be identified primarily from the System for Award Management (SAM.gov) database.
- Counsel representatives of SB concerns on how they can do business with the University and qualify to participate in the competitive bidding process.
- Reasonable effort will be made, consistent with the University's contract obligations, customer requirements, and internal policies and procedures to assist small business concerns of all types by tailoring solicitation requirements, such as allowing reasonable time for such small business concerns to prepare quotations; reasonable quantities (where feasible) for small businesses to handle; specifications and delivery schedules that small businesses can meet (unless such will impact the contract requirements); etc., in order to facilitate the participation of such small business concerns.
- Where an adequate number of SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSD, and HUBZone are not available, the University will make a special effort, through liaison with the local Small Business Administration, minority business organizations, and other governmental trade and professional associations and industry groups, to increase the number of such prospective small business contractors.
- Provide adequate and timely consideration of the potentialities of SB, SDB (HBCU/MI), WOSB, VOSB, SDVOSD, and HUBZone in all "make-or-buy" decisions.
- Maintain records demonstrating the University's performance with regard to the goals established for its federally required individual subcontract plans.

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SMALL BUSINESS MASTER SUBCONTRACTING PLAN

- Develop and provide reports to appropriate University management, and where required by federal law, government agencies concerning subcontract awards made to small business concerns.

7. Inclusion of the Clause “Utilization of Small Business Concerns” – FAR 52.219-9 (d)(9)

The University agrees that Federal Acquisition Regulation clause 52.219-8 entitled “Utilization of Small Business Concerns” will be included in all subcontracts that offer further subcontracting opportunities, and that the University will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$750,000 (\$1.5 million for construction of any public facility) with further subcontracting possibilities to adopt a subcontracting plan that complies with the requirements of this clause.

8. Assurances – FAR 52.219-9 (d)(10)

The University will:

- i. Cooperate in any studies or surveys as may be required;
- ii. Submit periodic reports so that the Government can determine the extent of compliance by the University with the subcontracting plan;
- iii. include subcontracting data for each order when reporting achievements for indefinite-delivery, indefinite-quantity contracts with individual subcontracting plans where the contract is intended for use by multiple agencies, in accordance with FAR 52.219- 9(d)(10)(iii);
- iv. Submit the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), in accordance with paragraph (I) of 52.219-9 Small Business Subcontracting Plan using the Electronic Subcontracting Reporting System (eSRS) at <http://www.esrs.gov>. The reports shall provide information on subcontract awards to SB Concerns (including ANCs and Indian tribes that are not small businesses), SDB (including ANCs and Indian tribes that have not been certified by the Small Business Administration as SDB), WOSB, HBCU/MI, HUBZone, VOSB, and SDVOSB. Reporting shall be in accordance with this clause or as provided in agency regulations, in accordance with FAR 52.219-9(10)(iv),
- v. ensures that the University’s subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using eSRS,
- vi. provide its prime contract number, its unique entity identifier, and the email address of the University'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,
- vii. require that each subcontractor with a subcontracting plan provide the prime contract number, its unique entity identifier, and the email address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans.

9. Maintenance of Records – FAR 52.219-9 (d)(11)

The procedures (to be adopted to comply with the plan requirements and goals to locate small business, veteran-owned small business, service-disabled veteran-owned small

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business, HUBZone small business, small disadvantaged business, and women- owned small business concerns and award subcontracts to them) will include:

- (i) 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. Small, SDVOSB, VOSB, HUBZone, SDB, and WOSB concern source lists, guides and other data identifying SB, SDVOSB, VOSB, HUBZone, SDB, and WOSB concerns will also be maintained and utilized by buyers in soliciting subcontracts.
- (ii) Records on each subcontract solicitation resulting in an award of more than \$250,000, indicating—
 - (a) Whether small business concerns were solicited and, if not, why not;
 - (b) Whether veteran-owned small business concerns were solicited and, if not, why not;
 - (c) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;
 - (d) Whether HUBZone small business concerns were solicited and, if not, why not;
 - (e) Whether small disadvantaged business concerns were solicited and, if not, why not;
 - (f) Whether women-owned small business concerns were solicited and, if not, why not; and
 - (g) If applicable, the reason award was not made to a small business concern.
- (iii) Records of any outreach efforts to contact:
 - (a) Trade associations;
 - (b) Business development organizations;
 - (c) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, and women-owned small business sources; and
 - (d) Veterans service organizations.
- (iv) Records of internal guidance provided to buyers, faculty, and staff through:
 - (a) Workshops, seminars, training, etc.; and
 - (b) Monitoring performance and engaging with project teams to ensure they make progress toward goals.
- (v) On a contract-by-contract basis, records to support award data submitted by the University to the Government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

10. Good Faith Effort to Acquire Articles, Equipment, Supplies, Services in Same or Greater Scope – FAR 52.219-9 (d)(12)

The University will make a good faith effort to acquire articles, equipment, supplies, services, or materials from the small business concerns that it used in preparing the bid or proposal, in the same or greater scope, amount, and quality used in preparing and submitting the bid or proposal.

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11. Assurance to Provide Written Explanation if Contractor Fails to Achieve above – FAR 52.219-9 (d)(13)

The University will provide the Contracting Officer with a written explanation if the Contractor fails to acquire articles, equipment, supplies, services or materials or obtain the performance of construction work as described in (d)(12) of this clause. This written explanation will be submitted to the Contracting Officer within 30 days of contract completion.

12. Payments to Small Business Subcontractors – FAR 52.219-9 (d)(14) and FAR 52.219-9 (d)(15)

The University will not prohibit a subcontractor from discussing with the contracting officer any material matter pertaining to payment to or utilization of a subcontractor. Furthermore, the University 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 in writing when the prime contractor makes either a reduced or an untimely payment to a small business subcontractor (FAR 52.242-5).

MICHIGAN TECHNOLOGICAL UNIVERSITY
INDIVIDUAL SUBCONTRACT PLAN GOALS

ATTACHMENT A

As described by Michigan Technological University’s Master Subcontracting Plan, individual goals for this solicitation/contract are indicated below. The total percentage of planned subcontracting with small business concerns includes total dollars planned to be subcontracted with small, veteran owned small business, service disabled veteran-owned, HUBZone small business, small disadvantaged and women- owned small business concerns. The small disadvantaged business goal includes participation of historically black colleges and universities and minority institutions.

Contracting Agency:	
Solicitation or Contract Number:	
Date of Plan:	
Proposal Title:	
Proposal Number:	

1. ACQUISITION:

Total dollar value of contract proposal including all options: \$ XXXX
Total Small Business Subcontracted dollars: \$ XXXX

2. GOALS:

Total dollars planned to be subcontracted to the following:

Entities	Dollars	Percent of Subcontracted Dollars	Percent of Total Contract Dollars
Large Business (LB)	\$	%	%
Small Business (SB)	\$	%	%
Veteran-Owned Small Business (VOSB)	\$	%	%
Service-Disables Veteran-Owned SB	\$	%	%
HUBZone Small Business	\$	%	%
Small Disadvantaged Business (SDB) (to include ANCs and Indian Tribes)	\$	%	%
Women Owned Small Business (WOSB)	\$	%	%

3. DESCRIPTION OF PRODUCTS/SERVICES:

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

Supplies/Services Description	Business Size SB or LB	Dollars
		\$
		\$
		\$
		\$