

University of California  
Office of the President

University Controller

Research Administration Office

# Memo

## Operating Guidance

No. 90-8  
July 18, 1990

VICE CHANCELLORS — BUSINESS AND FINANCE ADMINISTRATION\*  
CONTRACTS AND GRANTS OFFICERS  
OFFICE OF THE PRESIDENT FUNCTIONAL MANAGERS

Subject: Subcontracting Reporting Forms, SF-294 and SF-295

### BACKGROUND

Federal Acquisition Circular (FAC) 84-58 authorized federal contracting agencies to use new subcontracting reporting forms (SF-294 and SF-295, copies enclosed) effective June 21, 1990. These forms replace the earlier versions that were dated 10/83 and should be used from now on.

In general, the information needed to be provided on these forms is the same as it has been in the past. The major changes are that SF-295 need only be submitted annually for non-DOD agencies (but still quarterly for DOD), and both forms now collect information on women-owned small businesses and, for DOD contracts, historically black colleges and universities (HBCUs), and minority institutions (MIs). Thus with the exception of the changes discussed in this Memo, the operating guidance issued in Section C of C&G Memo 82-4 (October 21, 1981) is still in effect.

### APPLICABILITY

An earlier draft of revisions in SF-295 indicated that colleges and universities might be exempt from SF-295 reporting requirements. Although some of the University's comments on the draft revised form were accepted, our suggestion that universities be exempt from SF-295 reporting requirements was rejected. The final version of SF-295 does apply to the University. Accordingly, C&G Memo 84-14 (May 1, 1984) is hereby canceled.

### NEW DATA ELEMENTS

As indicated above, the SF-294 and SF-295 forms now include reporting on subcontracts with women-owned small businesses and (for DOD) HBCUs/MIs. The sections below indicate which boxes on the forms are used to collect this information. Campuses should develop procedures to be able to identify subcontracts (including subagreements for research) awarded to these types of institutions under those prime

\*Note: The addressees above represent the standard distribution of Contract and Grant Memos. Additional addressees, if any, may be added based on the subject of the Memo. See cc's.

federal contracts that have subcontracting plans. Data on women-owned small businesses is collected for all such prime contracts; data on HBCUs/MIs is collected only when such contracts are awarded by DOD.

The following two sections of this Memo describe the changes that have been made in SF-294 and SF-295:

SUBCONTRACTING REPORT FORM FOR INDIVIDUAL CONTRACTS, SF-294

Standard Form SF-294, "Subcontracting Report Form for Individual Contracts," is a federal-wide form used to collect data on subcontracts made to small, small disadvantaged, and large business concerns under individual federal contracts in excess of \$500,000 which include a subcontracting plan. Submittal of the form continues to be required on a semi-annual basis; agencies may not require a more frequent submission without specific approval from OMB.

The blocks on SF-294 have been re-numbered. Specific blocks that have been deleted, as identified under the OLD numbering scheme, are:

- 8. Business Classification Code.
- 9. DUNS No.
- 11. Date of Last Government Review.
- 12. Reviewing Agency.
- 16.a.(2) data on Other Small Business Concerns.

Specific blocks that have been added, as identified under the NEW numbering scheme, are:

- 2. Type of Report (Regular, Final, or Revised).
- 8. Dates of Contract Period of Performance (From/To).
- 11.B. Revised Contract Amount (if applicable).
- 12.B. Revised Amount of Subcontract Awards Under Modified Contract (if applicable).
- 13.B. Revised Goals (if applicable). For DOD contracts you should include data for HBCUs and MIs.
- 14. Boxes to indicate whether goal amounts include or do not include indirect costs.

The instructions for filling in these new boxes are self-explanatory.

The following boxes have been revised (as identified under the NEW numbering scheme):

1. Reporting Period: Check one of the two boxes and fill in the appropriate federal fiscal year. The instructions say to leave this box blank if box 2. is checked "Final."
- 13.A. Same as OLD box 15.a., except for DOD contracts you should include data for HBCUs and MIs.
- 15.A. Same as OLD box 16.a. except you should include data for women-owned small businesses and, for DOD contracts, data for HBCUs and MIs.
- 15.B. Same as OLD box 16.b.
- 15.C. Same as OLD box 16.
16. Same as OLD box 16.a.(1) except for DOD contracts you should include data for HBCUs and MIs.
- 17.A. Same as OLD box 17.a.(2)
- 17.B. Same as OLD box 17.b.
- 17.C. Same as OLD box 17.a.(1)

NOTE: 17.A. through 17.C. are shaded to indicate they are only applicable to DOD contracts; however, for University purposes they would continue to be left blank under both DOD and non-DOD contracts because the University does not award any indirect subcontracts under federal contracts.

18. The "Remarks" section contains some additional instructions which are self-explanatory.

#### SUMMARY SUBCONTRACT REPORT

Standard Form SF-295, "Summary Subcontract Report," is a federal-wide form used to collect summary data on subcontracts made to small business concerns (including women-owned small businesses), small disadvantaged businesses (including, for DOD contracts, HBCUs and MIs), and large business concerns. A campus will continue to be required to submit SF-295 forms to each federal agency from which it has received one or more federal contracts over \$500,000 that have subcontracting plans.

The reporting frequency for SF-295 remains quarterly when the report is to be submitted to DOD. For all other agencies the reporting frequency has been changed to annually.

The blocks on SF-295 have been re-numbered. No existing blocks have been deleted. Specific blocks that have been added, as identified under the NEW numbering scheme, are:

- 2. Type of Report (Regular, Final, or Revised).
- 13. data on women-owned small businesses (break out from box 11.A.)
- 15. for DOD contracts only, data on HBCUs and MIs (break out from box 12.)

The instructions for filling in these new boxes are self-explanatory.

The following boxes have been revised (as identified under the NEW numbering scheme):

- 1. Reporting Period: For DOD agencies (e.g. AFOSR, ARO, ONR), check the correct quarter ending date in 1.A. and fill in the appropriate federal fiscal year. For all other agencies, check the ANNUAL box in 1.B. and fill in the appropriate federal fiscal year.
- 5. Contractor Establishment Code: Same as DUNS No.
- 11.A. Same as OLD box 9.a. including data for women-owned small businesses, except for DOD contracts you should also include data for HBCUs and MIs.
- 11.B. Same as OLD box 9.b.
- 11.C. Same as OLD box 9.
- 12. Same as OLD box 10. except for DOD contracts you should also include data for HBCUs and MIs.
- 14. Same as OLD box 11.
- 17.A. Same as OLD box 12.a.
- 17.B. (1) Same as OLD box 12.b.
- 17.B. (2) Same as OLD box 12.c.

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- 18.A. Same as OLD box 13.a.
- 18.B.(1) Same as OLD box 13.b.
- 18.B.(2) Same as OLD box 13.c.

Block 14., Labor Surplus Area Concerns, would continue to be filled in as "N/A" because there is no regulatory reporting requirement for the University. Please refer to Section C of C&G Memo 82-4 for additional information on filling out SF-294 and SF-295.


DEPARTMENT OF ENERGY DEVIATION


The Department of Energy currently does things a little differently. In accordance with DEAR 919.708(b), DOE contracts over \$500,000 that have subcontracting plans will include the DEAR clause 952.219-9, Small Business and Small Disadvantaged Business Subcontracting Plan - - Alternate. The effect of this clause is to eliminate the need to submit the SF-295 but to require quarterly submission to DOE of the SF-294. DOE has been doing this for at least five years, with the approval of OMB. If and when the agency revises its requirements we will let you know.

Refer: Bill Sellers  
ATSS 8-582-1638  
(415) 642-1638

Subject Index: 16  
Organization Index: F-005; U-115  
Cancel: Memo No. 84-14

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8-567-0470  
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Wayne Ove  
University Materiel  
Coordinator

  
David F. Mears  
Director  
Research Administration Office

Enclosures

cc: Materiel Managers  
Small Business Coordinators



**SUBCONTRACTING REPORT FOR INDIVIDUAL CONTRACTS**  
(Whole dollar amounts should be indicated. See instructions on reverse)

FORM APPROVED OMB NUMBER:  
**9000-0006**

Public reporting burden for this collection of information is estimated to average 5.73 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, D.C. 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0006), Washington, D.C. 20503.

<b>IMPORTANT: DOD contractors—complete all items. Civilian contractors—do not complete shaded items unless required by the agency.</b>	<b>1. REPORTING PERIOD:</b>  <input type="checkbox"/> OCT 1 - MAR 31      FY _____ <input type="checkbox"/> APR 1 - SEP 30	<b>2. TYPE OF REPORT</b>  <input type="checkbox"/> REGULAR <input type="checkbox"/> FINAL <input type="checkbox"/> REVISED	<b>3. DATE SUBMITTED</b>  _____ <b>4. REPORT NO.</b>  _____									
	<b>5. REPORT SUBMITTED AS:</b>  <input type="checkbox"/> PRIME CONTRACTOR  <input type="checkbox"/> SUBCONTRACTOR	<b>6. AGENCY OR CONTRACTOR AWARDED CONTRACT</b> (Name, address and ZIP Code)  _____  _____	<b>7. REPORTING CONTRACTOR (Name, address, and ZIP Code)</b>  _____  _____									
<b>8. DATES OF CONTRACT PERIOD OF PERFORMANCE (MM/DD/YY)</b>  FROM: _____ TO: _____		<b>12A. EST. AMT. OF SUBCONTRACT AWDS. UNDER ORIG. CONTRACT</b>  \$ _____	<b>12B. REV. AMT. OF SUBCONTRACT AWDS. UNDER MOD. CONTRACT (if applicable)</b>  \$ _____									
<b>9. PRIME CONTRACT AND SUBCONTRACT NO. (if applicable)</b>  _____  _____		<table border="1" style="width:100%"><tr><td><b>13A. ORIGINAL GOALS</b></td><td><b>DOLLARS</b></td><td><b>PERCENT</b></td></tr><tr><td>1. SMALL BUSINESS CONCERNS</td><td>_____</td><td>_____</td></tr><tr><td>2. SMALL DISADV. BUSINESS CONCERNS</td><td>_____</td><td>_____</td></tr></table>		<b>13A. ORIGINAL GOALS</b>	<b>DOLLARS</b>	<b>PERCENT</b>	1. SMALL BUSINESS CONCERNS	_____	_____	2. SMALL DISADV. BUSINESS CONCERNS	_____	_____
<b>13A. ORIGINAL GOALS</b>	<b>DOLLARS</b>	<b>PERCENT</b>										
1. SMALL BUSINESS CONCERNS	_____	_____										
2. SMALL DISADV. BUSINESS CONCERNS	_____	_____										
<b>10. ADMINISTERING AGENCY (if other than Awarding Agency)</b>  _____  _____		<table border="1" style="width:100%"><tr><td><b>13B. REVISED GOALS (if applicable)</b></td><td></td><td></td></tr><tr><td>1. SMALL BUSINESS CONCERNS</td><td>_____</td><td>_____</td></tr><tr><td>2. SMALL DISADV. BUSINESS CONCERNS</td><td>_____</td><td>_____</td></tr></table>		<b>13B. REVISED GOALS (if applicable)</b>			1. SMALL BUSINESS CONCERNS	_____	_____	2. SMALL DISADV. BUSINESS CONCERNS	_____	_____
<b>13B. REVISED GOALS (if applicable)</b>												
1. SMALL BUSINESS CONCERNS	_____	_____										
2. SMALL DISADV. BUSINESS CONCERNS	_____	_____										
<b>11A. ORIGINAL CONTRACT AMOUNT</b>  \$ _____	<b>11B. REVISED CONTRACT AMOUNT (if applicable)</b>  \$ _____											
<b>14. GOAL AMOUNTS IN 13A. AND 13B.</b>  <input type="checkbox"/> DO INCLUDE INDIRECT COSTS <input type="checkbox"/> DO NOT INCLUDE INDIRECT COSTS												

**SUBCONTRACT AWARDS**

DIRECT SUBCONTRACT AWARDS	THIS REPORTING PERIOD		CUMULATIVE (From beginning of Subcontract Plan)	
	DOLLARS	PERCENT	DOLLARS	PERCENT
15A. SMALL BUSINESS CONCERNS (Include Disadv.) (\$ amt. and % of 15C.)	_____	_____	_____	_____
15B. LARGE BUSINESS CONCERNS (\$ amt. and % of 15C.)	_____	_____	_____	_____
15C. TOTAL (Sum of 15A. and 15B.)	_____	100	_____	100
16. SMALL DISADVANTAGED BUSINESS CONCERNS (\$ amt. and % of 15C.)	_____	_____	_____	_____
INDIRECT SUBCONTRACT AWARDS	DOLLARS			
	THIS REPORTING PERIOD		CUMULATIVE (From beginning of Subcontract Plan)	
17A. SMALL BUSINESS CONCERNS (Not Disadvantaged)	_____		_____	
17B. LARGE BUSINESS CONCERNS	_____		_____	
17C. SMALL DISADVANTAGED BUSINESS CONCERNS	_____		_____	
<b>18. REMARKS (Enter a short narrative explanation if: (a) Small Business or Small Disadvantaged Business accomplishments fall below that which would be expected using a straight line projection of goals through the period of contract performances or (b) either goal is not met if this is the final report.)</b>  _____  _____				

<b>19. TYPED NAME AND TITLE OF INDIVIDUAL ADMINISTERING SUBCONTRACTING PLAN</b>  _____	<b>SIGNATURE</b>  _____	<b>TELEPHONE NO.</b>  (    ) _____
<b>20. TYPED NAME AND TITLE OF APPROVING OFFICER</b>  _____	<b>SIGNATURE</b>  _____	<b>DATE</b>  _____/_____/_____

## GENERAL INSTRUCTIONS

1. This form collects subcontract data from Federal contractors and subcontractors that: (a) hold one or more contracts over \$500,000 (\$1 million for construction); and (b) are required to report subcontract awards to small business (SB) and small disadvantaged business (SDB) concerns under a subcontracting plan pursuant to the Small Business Act of 1958.

2. Reports shall be submitted to the contracting officer semi-annually during the period of contract performance. A separate report is required for each contract at contract completion. This report is due by the 30th day of the month following the close of the reporting periods. In accordance with instructions contained in the contract or subcontract, or as directed by the contracting officer. Reports are required when due, including negative reports (i.e., when there has been no subcontracting activity or there has been no change from the last reporting period).

3. This report should not be submitted by small business concerns.

4. This report is not required for commercial products for which a company-wide annual plan has been approved. The Summary Subcontract Report (SF 295) is required for commercial products in accordance with instructions on that form.

5. Only subcontracts involving performance within the U.S., its possessions, Puerto Rico, and the Trust Territory of the Pacific Islands should be included in this report.

6. All dollar amounts shall be rounded to the nearest whole dollar. All percentages shall be rounded to the nearest tenth of one percent.

### SPECIFIC INSTRUCTIONS (for items which are not self explanatory)

ITEM 1: Check the appropriate block for the reporting period though which the report is being submitted and enter the Federal fiscal year (October 1 through September 30). Leave blank if this is a final report.

ITEM 2: Check whether report is a regular report or final report and/or is a revision.

ITEM 4: Specify the sequential report covering this contract. The initial report shall be identified as Report Number 1.

ITEM 5: Check whether the reporting contractor is reporting as a Federal Prime contractor or a subcontractor.

ITEM 6: Enter the name and address of the Federal Department or Agency awarding the contract, or the prime contractor awarding the subcontract.

ITEM 7: Enter the name and address of the contractor submitting the report.

ITEM 8: Enter the beginning and projected ending dates of the period of performance of the contract, including priced option periods.

ITEM 10: Identify the Federal agency administering the contract if other than the awarding agency. If DOD is the administering agency, identify the appropriate military department, i.e., Army, Navy, Air Force, or Defense Logistics Agency. This item is not required if reporting as a subcontractor.

ITEM 11A: Enter the total dollar value of the original contract. (State the estimated cost if cost-type contract, price if fixed-price contract, and maximum contract amount if indefinite quantity contract. Include all priced options.)

ITEM 11B: If the dollar value of the original contract has been modified, enter the revised contract amount.

ITEM 12A: Enter the estimated dollar value of subcontracts as set forth in the Subcontracting Plan in the original contract.

ITEM 12B: If the dollar value of the Subcontracting Plan has been modified, enter the revised amount under the modified contract.

ITEM 13A: Enter in the appropriate blocks the dollar amount and percent of the reporting contractor's total planned subcontract awards contractually agreed upon as goals for subcontracting with SB and SDB concerns. NOTE: In 13A(1) the amounts entered should include planned subcontracting with

both SB and SDB concerns. In 13A(2) the amounts entered should reflect only planned subcontracting with SDB concerns. (For DOD contracts, include planned subcontract awards to Historically Black Colleges and Universities or Minority Institutions (HBCUs/MIs) in 13A(1) and 13A(2).)

ITEM 13B: If the original goals agreed upon at contract award have been revised as a result of contract modifications, the amounts entered should reflect those revised goals. NOTE: In 13B(1), the amounts should include planned subcontracting with both SB and SDB concerns, if applicable. In 13B(2) the amounts entered should reflect only planned subcontracting with SDB concerns. (For DOD contracts, include planned subcontract awards to HBCUs/MIs in 13B(1) and 13B(2).)

ITEM 14: Check the appropriate block to indicate whether indirect awards are included in the goal amounts entered in Items 13A and 13B as specified in the Subcontracting Plan.

ITEM 15A: Enter the dollar amount and percent of subcontracting with SDB concerns, including subcontracting with SDB concerns for this period and cumulatively. This item reflects progress toward Small Business goal accomplishment indicated in Items 13A(1) or 13B(1) (if applicable), and includes indirect awards if such costs are included in goal amounts. For DOD contracts include subcontract awards to HBCUs/MIs.

ITEM 15B: Enter the amounts for subcontracting with large business concerns (excluding subcontracts with non-profit, educational institutions, and state/local governments) for this period and cumulatively. Include indirect awards if such costs are included in goal amounts.

ITEM 15C: Total the dollar amounts of Items 15A and 15B.

ITEM 16: Enter the dollar amount of subcontracting with SDB concerns only (for DOD include subcontracts with HBCUs and MIs) and the percent that this amount represents of total subcontracting for this period and cumulatively. This item reflects progress toward Small Disadvantaged Business goal accomplishment as indicated in Item 13A(2) or 13B(2) (if applicable), and includes indirect awards if such costs are included in goal amounts.

ITEM 17: For DOD activities, if indirect awards are included in goal amounts (as indicated in Item 14), enter the dollar amount of indirect subcontracting with SB (including SDB and HBCUs/MIs), Large Business, and SDB concerns (including HBCUs/MIs). These amounts are subsets of Items 15A, 15B, and 16, respectively, and represent the portion of goal achievement being accomplished by indirect subcontracting.

ITEM 18: Enter the name, title, signature and telephone number of the reporting contractor's administrator responsible for monitoring the Subcontracting Plan.

ITEM 20: The approving officer shall be the senior official of the company, division, or subdivision (plant or profit center) responsible for contract performance.

### DEFINITIONS

1. Commercial Products means products sold in substantial quantities to the general public and/or industry at established catalog or market prices.

2. Subcontract means a contract, purchase order, amendment, or other legal obligation executed by the reporting organization calling for supplies or services required for the performance of the original contract or subcontract. Purchases from a corporation, company, or subdivision which is an affiliate of the reporting organization are not considered "subcontracts" and are not to be included in this report.

3. Direct Subcontract Awards are those which are identified with the performance of a specific government contract, including the allocable parts of awards for materials which are to be incorporated into products under more than one Government contract.

4. Indirect Subcontract Awards are those which, because of incurrence for common or joint purposes, are not identified with specific Government contracts; these awards are related to Government contract performance but remain for allocation after direct awards have been determined and identified to specific Government contracts.

# SUMMARY SUBCONTRACT REPORT

(See instructions on reverse)

FORM APPROVED OMB NUMBER

9000-0007

Public reporting burden for this collection of information is estimated to average 18.21 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, D.C. 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0007), Washington, D.C. 20503.

<b>IMPORTANT: DOD contractors—</b> complete all items. Civilian contractors—do not complete shaded items unless required by the agency.		1. REPORTING PERIOD (check one):		2. TYPE OF REPORT	
		A. DOD FEDERAL FY 19 _____ QUARTER ENDING: <input type="checkbox"/> DEC 31 <input type="checkbox"/> JUN 30 <input type="checkbox"/> MAR 31 <input type="checkbox"/> SEP 30	B. CIVILIAN FEDERAL FY 19 _____ <input type="checkbox"/> ANNUAL (OCT 1 - SEP 30) (except commercial product)	<input type="checkbox"/> REGULAR <input type="checkbox"/> FINAL <input type="checkbox"/> REVISED	
3. CONTRACTING AGENCY		4. ADMINISTERING AGENCY (if different from item 3)			
5. DATE OF LAST GOV. REVIEW	6. REVIEWING AGENCY	7. CONTRACTOR ESTABLISHMENT CODE (if available)		8. REPORT SUBMITTED AS: <input type="checkbox"/> PRIME CONTRACTOR <input type="checkbox"/> SUBCONTRACTOR <input type="checkbox"/> BOTH	
9. CORPORATION, COMPANY OR SUBDIVISION COVERED (Name, address, ZIP Code)		10. MAJOR PRODUCTS OR SERVICE LINES			

## CUMULATIVE FISCAL YEAR SUBCONTRACT AWARDS

(Report in whole dollars)

SUBCONTRACT AWARDS	CURRENT FY (Through Reporting Qtr.)		SAME PERIOD LAST YEAR	
	DOLLARS	PERCENT	DOLLARS	PERCENT
11A. SMALL BUSINESS CONCERNS (Include Disadv.) (\$ amt. and % of 11C.)				
11B. LARGE BUSINESS CONCERNS (\$ amt. and % of 11C.)				
11C. TOTAL (Sum of 11A. and 11B.)		100		100
12. SMALL DISADVANTAGED BUSINESS CONCERNS (\$ amt. and % of 11C.)				
13. WOMEN-OWNED SMALL BUSINESS CONCERNS				
14. LABOR SURPLUS AREA CONCERNS (\$ amt. and % of 11C.)				
15. HIST. BLACK COLLEGES & UNIV/MINORITY INST.				
16. REMARKS (Enter a short narrative explanation if: (a) zero is entered in Blocks 11A or 12 for the current fiscal year, (b) the percent entry in Block 11A for current fiscal year is more than 5 percentage points below the percent reported for the same period last year, or (c) the percent entry in Block 12 for the current fiscal year is lower than the percent reported for the same period last year.)				

## SUBCONTRACT GOAL ACHIEVEMENT

(Report in whole dollars)

CONTRACTS			NO. OF CONTRACTS WITH GOALS	TOTAL \$ VALUE OF SUBCONTRACTS AWARDED	\$ VALUE OF SUBCONTRACT GOALS	ACTUAL GOAL ACHIEVEMENT	
						DOLLARS	PERCENT
17. CONTRACTS WITH SMALL BUSINESS SUBCONTRACT GOALS	A. ACTIVE CONTRACTS						
	B. CONTRACTS COMPLETED THIS QTR.	(1) WHICH MET GOALS					
		(2) NOT MEETING GOALS					
18. CONTRACTS WITH SMALL DISADV. BUSINESS SUB-CONTRACT GOALS	A. ACTIVE CONTRACTS						
	B. CONTRACTS COMPLETED THIS QTR.	(1) WHICH MET GOALS					
		(2) NOT MEETING GOALS					
19. NAME AND TITLE OF LIAISON OFFICER			SIGNATURE		DATE	TELEPHONE NO.	
20. NAME AND TITLE OF THE APPROVING OFFICER			SIGNATURE		DATE		



## GENERAL INSTRUCTIONS

1. This form collects subcontract data from Federal contractors and subcontractors that: (a) hold one or more contracts over \$500,000 (\$1 million for construction); and (b) are required to report subcontract awards to Small Business (SB) and Small Disadvantaged Business Concerns (SDB) under a subcontracting plan and to report subcontract awards to Women-Owned Small Business Concerns (WOSB), pursuant to the Small Business Act of 1958.
2. This report may be submitted on a corporate, company, or subdivision (e.g., plant or division operating as a separate profit center) basis, unless otherwise directed by the agency awarding the contract. However, after submission of the first report on this form, the reporting organization shall submit succeeding reports on the same basis.
3. If a reporting organization is performing work for more than one Federal agency, a separate report shall be submitted to each agency covering only that agency's contracts, provided at least one of that agency's contracts is over \$500,000 (\$1 million for construction) and contains a subcontracting plan. (See special instructions for commercial products plans.)
4. For DOD activities, reports shall be submitted quarterly, except that, for contracts covered by an approved company-wide subcontracting plan for commercial products, reports shall be submitted annually. Reports are due 30 days after the close of each reporting period. For civilian agencies, reports shall be submitted annually. For civilian agencies, reports are due 30 days after the close of the fiscal year (September 30). See special instructions for commercial products plans below.
5. All dollar amounts shall be rounded to the nearest whole dollar. All percentages shall be rounded to the nearest tenth of one percent.
6. Only subcontracts involving performance within the U.S., its possessions, Puerto Rico, and the Trust Territory of the Pacific Islands should be included in this report.
7. Subcontract award data reported on this form shall be limited to awards made by the reporting organization to its immediate subcontractors. Reporting organizations may not take credit for awards made by lower tier subcontractors.

## SPECIFIC INSTRUCTIONS

ITEM 2: Check whether report is a regular report or final report and/or revision. Final report should be checked only if contractor has completed all Government contracts containing subcontracting plans.

ITEM 3: If reporting as a "Prime Contractor" or "Both" in Item 8, identify the agency (e.g., DOD, HUD, GSA, etc.) which awarded the prime contract(s) to the reporting organization. If reporting as a "Subcontractor" in Item 8, identify the department or agency responsible for the prime contract award(s) which resulted in the largest dollar value subcontract of those subcontracts reflected in this report.

ITEM 4: Identify the department or agency performing contract administration over the reporting organization (if different from Item 3). For DOD contracts enter the military department or agency which has responsibility for the subcontracting program of the reporting entity (i.e., Army, Navy, Air Force, or Defense Logistics Agency), not the "Office of the Deputy Secretary of Defense."

ITEMS 5 & 6: Enter the date of the last formal surveillance review conducted by the cognizant department or agency Small and Disadvantaged Business Specialist or other review personnel. For DOD also identify the military department or Defense Contract Administration Service that conducted the review in those cases where the Small Business Administration conducted its own review, enter "SBA" and the date.

ITEM 7: Enter the nine position number assigned by Dun & Bradstreet that identifies the contractor establishment, if available.

ITEM 8: Check whether the reporting organization is reporting as a Federal prime contractor or a subcontractor or both.

ITEM 9: Enter the name and address of the reporting organization, corporation, company, or subdivision thereof which is covered by the data submitted.

ITEM 10: Identify the major product or service lines of the reporting organization.

ITEMS 11 & 12: These entries include all subcontract awards, both those made under contracts with plans and goals and those made under contracts which do not have plans and goals. Amounts reported include both direct awards and an appropriate prorated portion of indirect awards. Base the indirect portion on the percentage of work being performed for the organization to which the report is being submitted (shown in Item 3) in relation to other work being performed by the reporting organization. Do not include awards made in support of commercial business being performed by the reporting entity. For DOD activities, report on a quarterly cumulative basis until the end of the fiscal year (September 30) and begin a new quarterly reporting cycle each October 1.

ITEM 11A: Report all subcontract awards to SBs (including subcontracts with SDBs and WOSBs) regardless of dollar value, made by the reporting organization under all Federal prime contracts awarded by the contracting agency shown in Item 3, and/or under all subcontracts under prime contracts, if reporting as a subcontractor. (For DOD contracts, include subcontracting awards to Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs).)

ITEM 11B: Report all subcontract awards to large business, regardless of dollar value, made by the reporting organization under all Federal prime contracts awarded by the contracting agency shown in Item 3, and/or under all subcontracts under prime contracts, if reporting as a subcontractor. For DOD contracts exclude subcontracting awards to HBCUs and MIs.

ITEM 12: Report all subcontract awards to SDBs (including Women-Owned SDBs) regardless of dollar value, made by the reporting organization under all Federal prime contracts awarded by the contracting agency shown in Item 3, and/or under all subcontracts under prime contracts, if reporting as a subcontractor. For DOD contracts include subcontract awards to HBCUs and MIs.

ITEM 13: Report all subcontract awards to WOSBs. This amount is a subset of Item 11A.

ITEM 14: Show dollar amount of subcontracts valued over \$25,000 placed with labor surplus area (LSA) concerns (i.e., those that will perform substantially in labor surplus areas). Prime contractors are also encouraged to include awards valued less than \$25,000 if such additional reporting does not impose a burden on the contractor. LSAs are

identified in the Department of Labor publication "Area Trends in Employment and Unemployment" which can be obtained from the Federal agency contracting officer or by writing to Employment and Training Administration, (Attn: TPPL), Department of Labor, 601 "D" Street, Washington, D.C. 20213.

ITEM 15: For DOD, enter the dollar value of all subcontracts with HBCUs/MIs. This is a subset of awards to SDBs (Item 12).

ITEMS 17 & 18: For each item (as applicable), enter the number of prime and subcontracts valued over \$500,000 (\$1 million for construction) which have goals, the dollar value of all subcontracts awarded to date under these contracts, the dollar value of subcontract goals as set forth in subcontracting plan, and, for completed contracts, your actual goal achievement expressed in dollars and percent of goal. The percentage of actual goal achievement is determined by dividing the amount of dollars shown in the column entitled "Actual Goal Achievement" by the dollars shown in the column entitled "Value of Subcontract Goals." Information presented in this section represents subcontract awards from the inception of the contract(s) and is not restricted to this fiscal year. The percentages reported in Item 18(1) and 17B(1) will always be 100 or more and the percentages reported in Items 18(2) and 17B(2) will always be less than 100.

ITEM 19: The liaison officer shall be the reporting contractor's official responsible for administering the subcontracting program.

ITEM 20: The approving officer shall be the chief executive officer or in the case of a separate division or plant, the senior individual responsible for overall division plant operations.

## SPECIAL INSTRUCTIONS FOR COMMERCIAL PRODUCTS PLANS

1. Reporting organizations that have an approved company-wide annual subcontracting plan for commercial products shall submit this report annually as of September 30 each year.
2. The annual report shall include all subcontracting activity under commercial products plans in effect during the Government fiscal year and shall be submitted in addition to required reports for other than commercial products, if any.
3. Enter in Items 11 and 12 the total of all subcontract awards under the reporting organization's commercial products plans. Show in Item 18 or in an attachment, the percentage of this total attributable to each agency from which contracts for such commercial products were received. Send a copy of this report to each agency on that listing.
4. Do not complete Items 17 and 18.

## DEFINITIONS

1. Commercial Products means products sold in substantial quantities to the general public and/or industry at established catalog or market prices.
2. Subcontract means a contract, purchase order, amendment, or other legal obligation executed by the reporting organization calling for supplies or services required for the performance of the original contract or subcontract. Purchases from a corporation, company, or subdivision which is an affiliate of the reporting organization are not considered "subcontracts" and are not to be included in this report.
3. Direct Subcontract Awards are those which are identified with the performance of a specific government contract, including allocable parts of awards for materials which are to be incorporated into products under more than one Government contract.
4. Indirect Subcontract Awards are those which, because of incurrence for common or joint purposes, are not identified with specific Government contracts; these awards are related to Government contract performance but remain for allocation after direct awards have been determined and identified to specific Government contracts.

## SUBMITTAL ADDRESSES

### FOR DOD CONTRACTORS:

Prepare a consolidated report for all contracts awarded by military department/agency for the Department of Defense (DOD) and/or subcontracts awarded by DOD prime contractors (i.e., do not segregate subcontract data by DOD component). DOD contractors involved in construction and related maintenance and repair, however, shall prepare separate reports for each DOD component, segregating subcontract data accordingly. All contractors shall distribute the original and copies as follows:

(1) The original of each report directly to the office listed below whose military activity is responsible for the administration of the majority of the organization's DOD contracts/subcontracts. Contractors involved in construction and related maintenance shall submit separate, unique reports to each DOD component which administers their DOD contracts:

ARMY - Director of Small and Disadvantaged Business Utilization, Office of the Secretary of the Army, Washington, D.C. 20310-0106

NAVY - Director of Small and Disadvantaged Business Utilization, Office of the Secretary of the Navy, Washington, D.C. 20380-5000

AIR FORCE - Director of Small and Disadvantaged Business Utilization, Office of the Secretary of the Air Force, Washington, D.C. 20330-1000

DLA - Staff Director of Small and Disadvantaged Business Utilization, HQ Defense Logistics Agency (DLA-U) Cameron Station, Alexandria, VA 22304-6100

(2) A copy of each report directly to the Office of the Deputy Secretary of Defense, Attention: Director of Small and Disadvantaged Business Utilization, the Pentagon Washington, D.C. 20301-3081

(3) A copy to the cognizant contract administration office

### FOR CIVILIAN AGENCY CONTRACTORS:

NASA - Forward reports to NASA - Office of Procurement (HM), Washington, D.C. 20546  
DOE - Forward reports to DOE - Office of Small and Disadvantaged Business Utilization, Washington, D.C. 20585

OTHER FEDERAL DEPARTMENTS OR AGENCIES - Forward reports to the Department or Agency Director of Small and Disadvantaged Business Utilization or as otherwise provided for in instructions issued by the Department or Agency.

