



MEMORANDUM

**U.S. Department
of Transportation**

**Federal Highway
Administration**

WESTERN FEDERAL LANDS HIGHWAY DIVISION
610 EAST FIFTH STREET
VANCOUVER, WASHINGTON 98661-3801

Subject: **INFORMATION:** Small Business Subcontracting Plan
Contract Number: DTFH70-04-C-00008

Date: June 10, 2004

From: 
Michael L. Johnson
Contracting Officer
Western Federal Lands Highway Division

In Reply Refer to:

DOT_OSDBUmemo.doc

To: Sean M. Moss, Director (S-40)
Office of Small and Disadvantaged Business Utilization
Office of the Secretary, DOT

As required by TAM 1219.705-6, attached is a copy of the approved Small Business Subcontracting Plan for the subject contract.

The subject contract, designated WY PRA-YELL 13(3), East Entrance Road, Segment C, is for 11.9 kilometers of grading, drainage, base, paving, concrete and MSE retaining Walls and stone masonry guardwalls. The contract was awarded to HK Contractors, Inc., of Idaho Falls, Idaho, on May 26, 2004 In the amount of \$13,727,654.90.

Attachment:
Small Business Subcontracting Plan

cc: A. Hamilton, HFL-1 (w/plan)

Subcontracting Plan

Contractor: HT Contractors, Inc.
 Address: PO Box 51450
Delaware Falls, Delaware 83405

This plan is submitted in accordance with Federal Acquisition Regulations Contract Clause 52.219-9, *Small Business Subcontracting Plan*, and will be applicable to any contract awarded as result of this solicitation.

Use the following table to indicate:

1. Goals, express in terms of percentages of total planned subcontracting dollars (column 4)
2. Planned subcontracting dollars (column 2).

Type	Planned Subcontracting Dollars	Calculating Goal percent	Goal percent
(i) Both large & small business concerns (e.g. subcontracting total)	2(i) 12,028,907.50	n/a	1(i) 100%
(ii) Small business concerns (includes 1c, 1d, 1e, 1f, & 1g)	2(ii) 5,740,619	2(ii) / 2(i)	1(ii) 47.72%
(iii) Veteran-owned small business concerns	2(iii) N.A.	2(iii) / 2(i)	1(iii) N.A.
(iv) Service-disabled veteran-owned small business concerns	2(iv) N.A.	2(iv) / 2(i)	1(iv) N.A.
(v) HUBZone small business concerns.	2(v) 1,238,689	2(v) / 2(i)	1(v) 10.3%
(vi) Small disadvantaged business concerns	2(vi) 1,931,766	2(vi) / 2(i)	1(vi) 16.06%
(vii) Women-owned small business concerns	2(vii) 40,285	2(vii) / 2(i)	1(vii) .33%

3(i). Supplies and services to be subcontracted to small business concerns:
Clearing & Grubbing, Concrete, Signs, & Striping

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3(ii). Supplies and services to be subcontracted to veteran-owned small business concerns:

We currently have no veteran-owned small business subcontractors. We will continue to solicit and will employ such businesses should they submit competitive prices.

3(iii). Supplies and services to be subcontracted to service-disabled veteran-owned small business concerns:

We currently have no service-disabled veteran-owned small business subcontractors. We will continue to solicit and will employ such businesses should they submit competitive prices.

3(iv). Supplies and services to be subcontracted to HUBZone small business concerns:

Signs

3(v). Supplies and services to be subcontracted to small disadvantaged business concerns:

*Striping
Traffic Control
Clean + Gurb*

3(vi). Supplies and services to be subcontracted to women-owned small business concerns:

Striping

4. The following method was used to develop the subcontracting goals:

Soliciting small businesses, veteran-owned, HUBZone, disadvantaged, and women-owned small businesses.

5. The following method(s) was/were used to identify potential sources [e.g., existing company source lists, the Procurement Marketing & Access Network (PRO-Net) of the Small Business Administration (SBA), veterans service organizations, the National Minority Purchasing Council Vender Information Service, the Research & Information Division of the Minority Business

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Development Agency in the Department of Commerce, or small, HUBZone, small disadvantaged and women-owned small business trade associations]:

Existing company source lists, Wyoming Department of Transportation source lists, Alaska Department of Transportation source list, Registered plan holders list

6. Indirect or overhead costs () have (X) have not been included in the goals specified above. If costs have been included, describe the method used to determine the proportionate share of costs to be incurred with each type of business.

7. The following individual will administer this subcontracting program:

Name: Kurt Hanson

Describe the individual's duties relating to the accomplishment of this subcontracting program:

(1) Review all subcontractor opportunities and insure that SB, USB, SOVB, HUBZone, SOB, & WAB are included in solicitation requests
(2) Monitor progress in achieving goals
(3) Review solicitations to insure that provisions don't inhibit any participation.

8. Describe the efforts the Contractor will make to assure that small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns have an equitable opportunity to compete for subcontracts.

(1) Additional opportunities (if they occur) will be offered to SB, USB, SOVB, HUBZone, SOB, & WAB (2) In the event internal source lists fail to obtain results, we will advertise in trade journals.

9. The Contractor agrees that FAR Contract Clause 52.219-8, Utilization of Small Business Concerns, will be included in all subcontracts that offer further subcontracting opportunities, and that the Contractor will require all subcontractors (except small business concerns) who receive subcontracts in excess of \$500,000 (\$1,000,000 if construction) to adopt a subcontracting plan that complies with the requirements of FAR Contract Clause 52.219-9, Small Business Subcontracting Plan.

10. The Contractor agrees to: (i) Cooperate in any studies or surveys as may be required; (ii) Submit periodic reports concerning compliance with this subcontracting plan; (iii) Submit Standard Form (SF) 294, Subcontracting Report for Individual Contracts, and Standard Form (SF) 295, Summary Subcontract Report, in accordance with the instructions on the forms; and (iv) Ensure that its subcontractors agree to submit SF 294 and SF 295.

Subcontracting Plan

Project: WY PRA-YELL 13(3), East Entrance Road, Segment C

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The SF 294 shall be submitted semiannually and at contract completion. The SF 295 shall be submitted annually at the close of each fiscal year (Sep 30).

11. The Contractor agrees to maintain records to demonstrate procedures adopted to comply with the requirements and goals of this plan. These records shall describe the Contractor's efforts to locate small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and award subcontracts to these concerns. At a minimum, the records shall include the following:
 - (i) Source lists (e.g. ProNet), guides, and other data used to 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.
 - (ii) 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, and women-owned small business concerns.
 - (iii) Records on each subcontract award of more than \$100,000. These records shall indicate:
 - (A) Whether small business concerns were solicited and, if not, state why not.
 - (B) Whether veteran-owned small business concerns were contacted and, if not, state why not.
 - (C) Whether service-disabled veteran-owned small business concerns were contacted and, if not, state why not.
 - (D) Whether HUBZone small business concerns were contacted and, if not, state why not.
 - (E) Whether small disadvantaged business concerns were contacted and, if not, state why not.
 - (F) Whether women-owned small business concerns were contacted and, if not, state why not.
 - (G) If applicable, the reason award was not made to a small business.
 - (iv) Records of outreach efforts to contact trade associations, business development organizations, and conferences/trade fairs in an attempt to locate small, HUBZone small, small disadvantaged and women-owned small business concerns. Records of efforts to contact veterans service organizations.
 - (v). Records of internal guidance/encouragement provided to buyers through workshops, seminars, training, etc., and monitoring performance to evaluate compliance with the program's requirements.
 - (vi). 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.

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The Contractor agrees to:

1. Assist small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns. Where the Contractor's lists of potential small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business subcontractors are excessively long, reasonable effort shall be made to give all such small business concerns an opportunity to compete over a period of time.
2. Provide adequate and timely consideration of the potentialities of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns in all "make-or-buy" decisions.
3. Counsel and discuss subcontracting opportunities with representatives of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.
4. Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in this subcontracting plan.

The Contractor acknowledges that a failure of the Contractor or subcontractor to comply in good faith with clause 52.219-8, *Utilization of Small Business Concerns*, or this approved subcontracting plan shall be considered a material breach of the contract.

Contractor:

Submitted By: Douglas V. Dredge Vice President
Name and Title of Signer (Type or Print)

Douglas V. Dredge
Signature of Person Authorized to Sign

Date: 3-11-04

Federal Highway Administration:

Accepted by: Michael L. Johnson
Michael L. Johnson, Contracting Officer

Date: 5/19/04

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Reserved