

**Small Business Participation Factor Workbook Instructions
Attachment 0006**

GENERAL INSTRUCTIONS

Read the entire set of instructions before beginning to fill out the Workbook.

- Cover Sheet:** Fill out the Offeror Name and Solicitation Number.
- Remaining Tabs:** Fill out or review the remaining tabs as described below and in the **“INSTRUCTIONS FOR EACH TAB”** starting on the next page. Tabs may be filled out in any order. The worksheets are linked, so anything filled out on one sheet will have an impact on others.

Tab to Fill Out:		Who Shall Fill Out the Tab:
Prime \$	Prime Contractor Participation Dollars	All offerors
Sub \$	Subcontractor Participation Dollars	All offerors who propose to subcontract to Small Business (SB) and/or to Other Than Small Business (OTSB)
SB Prime List	Small Business Prime List	Small Business (SB) Offerors
SB Sub List	Small Business Subcontractor List	All offerors who propose to subcontract to Small Business (SB)
Tab to Review for Proposal Accuracy and Consistency:		Who Shall Review the Tab:
Con	Consistency between the Small Business Participation Factor Submittal and Small Business Subcontracting Plan	Other than Small Business (OTSB) Offerors
Roll-up	Participation Roll-Up	All offerors

3. Acronyms:

OTSB	Other Than Small Business
SB	Small Business
SDB	Small Disadvantaged Business
WOSB	Woman Owned Small Business
HUBZone SB	Historically Underutilized Business Zone Small Business
VOSB	Veteran Owned Small Business
SDVOSB	Service Disabled Veteran Owned Small Business
ANC	Alaskan Native Corporation
IT	Indian Tribe

INSTRUCTIONS FOR EACH TAB

Prime \$	Prime Contractor Participation Dollars
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1. **Who shall fill out this Tab:** All offerors.
2. **General Instructions for Dollars:**
 - a. **Prime Portion:** Fill in Dollar Amounts for the portion (not Total Contract Amount) of work to be performed by the prime contractor (not subcontracting).
 - b. **Affiliates:** Include dollars for purchases from a corporation, company, or subdivision that is an affiliate of the prime contractor. First tier affiliates are considered part of the prime (see 13 CFR 121.103).
 - c. **Joint Ventures:** Include dollars for the portion of work to be performed as a joint venture prime. This includes any separate legal entity as well as the joint venture members. Joint venture members are considered affiliates of the prime and therefore part of the prime, even if they are designated as first tier subcontractors in the joint venture legal agreement. Offerors must be aware of Affiliation Rules (see 13 CFR 121.103) in placing the members in the proper business size categories.
 - d. **Cost Sharing:** Include dollars for both the Government and Contractor portions if a Cost Share Contract is allowed and proposed. Cost share is not allowed in all RFPs. Check the RFP.
 - e. **Applying Multiple Small Business Categories:** If the prime contractor falls into more than one category of SB, include the dollars in each of those categories. Note about the SB line: SDB, WOSB, HUBZone SB, VOSB, and SDVOSB are subcategories of SB, but the offeror shall not simply add-up all the subcategory totals for entry in the SB line. If, for example, a prime contractor will do \$10,000 of the work, and that prime is a SB that is both WOSB and SDVOSB, the \$10,000 amount would be inserted into four different lines: \$10,000 for SB, \$10,000 for WOSB, \$10,000 for VOSB, and \$10,000 for SDVOSB (note that \$10,000 is the appropriate sum for the SB line and not \$40,000 because a simple roll-up of all subcategory totals would translate to counting the \$10,000 action four separate times).
 - f. **Performance Outside of U.S.:** Include dollars for all prime contract work to be performed entirely outside the US or its Outlying Areas.
3. **Specific Instructions for Dollars:** *(Note: Workbooks for some solicitations do not include fields for entering WOSB, HUBZone SB, VOSB, or SDVOSB.)*
 - OTSB:** Include Large Business, Educational Institutions, Non-Profits, Government Entities, Foreign Firms, etc., anything other than a U.S. Small Business.
 - SB:** Include SB, SDB, WOSB, HUBZone SB, VOSB, SDVOSB.
 - SDB:** Include SDB, 8(a)SB, and HBCU/MIs.
 - WOSB:** Include WOSB only.
 - HUBZone SB:** Include only SBA-certified HUBZone SBs. HUBZone certifications at the state or local level are not applicable, and the fact that a small business is situated in a HUBZone or empowerment zone does not by itself constitute HUBZone SB status.
 - VOSB:** Include VOSB and SDVOSB.
 - SDVOSB:** Include SDVOSB only.

Sub \$	Subcontractor Participation Dollars
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1. **Who shall fill out this Tab:** All offerors who propose to subcontract to Small Business and/or to Other Than Small Business.
2. **General Instructions for Dollars:** Offerors who are "Other Than Small Business" shall note that these are the same rules you are required to follow in developing a Small Business Subcontracting Plan in accordance with FAR 52.219-9 and DFARS 252.219-7003 in Section I of the solicitation and TACOM Clause 52.219-4004 in Section L of the solicitation.
 - a. **Prime's Subcontractors:** Fill in Dollar Amounts for the portion of work to be performed by first tier subcontractors.
 - b. **Affiliates' Subcontractors:** Include dollars for first tier subcontracts of first tier affiliates. (First tier affiliates - corporation, company or subdivision of the prime - are considered part of the prime, so supplies and services purchased from them for the contract are considered part of the work of the prime and shall be included in the "Prime \$" tab. First tier subcontracts of those first tier affiliates, for work related to the contract, are considered first tier subcontracts of the prime (see 13 CFR 125.3(a)(1)(i)(B)) and shall be included in this "Sub \$" tab.)
 - c. **Joint Venture Members' Subcontractors:** Include dollars for first tier subcontracts of joint venture members. Joint venture members are considered affiliates of the prime and therefore part of the prime, even if they are designated as subcontractors in the joint venture legal agreement.
 - d. **Alaskan Native Corporation (ANC) or Indian Tribe (IT) Credit:** If an OTSB offeror is designated to receive SB and SDB credit from ANC or IT first tier or lower tier subcontracts for its Small Business Subcontracting Plan (see 13 CFR 125.3(a)(1)(i)(A)), include the credited dollars in this Tab of the Small Business Participation Factor.
 - e. **Cost Sharing:** Include dollars for both the Government and Contractor portions if a Cost Share Contract is allowed and proposed. Cost Share is not allowed in all RFPs. Check the RFP.
 - f. **Applying Multiple Small Business Categories:** If the subcontractor falls into more than one category of SB, include the dollars in each of those categories. Note about the SB line: SDB, WOSB, HUBZone SB, VOSB, and SDVOSB are subcategories of SB, but the offeror shall not simply add-up all the subcategory totals for entry in the SB line. If, for example, a subcontractor will do \$10,000 of the work, and that subcontractor is a SB that is both WOSB and SDVOSB, the \$10,000 amount would be inserted into four different lines: \$10,000 for SB, \$10,000 for WOSB, \$10,000 for VOSB, and \$10,000 for SDVOSB (note that \$10,000 is the appropriate sum for the SB line and not \$40,000 because a simple roll-up of all subcategory totals would translate to counting the \$10,000 action four separate times).
 - g. **Exclusions:** Exclude the following from OTSB and all SB categories:
 - (1) **Performance Outside the U.S.:** Exclude the dollars for subcontracts to be performed entirely outside the US or its outlying areas (see 13 CFR 125.3(a)(1)(ii)).
 - (2) **Other:** Exclude Internally generated costs such as salaries and wages; Employee insurance; Other employee benefits; Payments for petty cash; Depreciation; Interest; Income taxes; Property taxes; Lease payments; Bank fees; Fines, claims, and dues; Original Equipment Manufacturer relationships during warranty periods (negotiated up front with product); Utilities such as electricity, water, sewer, and other services purchased from a municipality or solely authorized by the municipality to provide those services in a particular geographical region; Philanthropic contributions (see 13 CFR 125.3(a)(1)(iii)).
3. **Specific Instructions for Dollars:** (Note: Workbooks for some solicitations do not include fields for entering WOSB, HUBZone SB, VOSB, or SDVOSB.)

OTSB: Include Large Businesses, Educational Institutions, Non-Profits, Government Entities, Foreign Firms, etc., anything other than a U.S. Small Business.

SB: Include SB, SDB, WOSB, HUBZone SB, VOSB, SDVOSB, qualified nonprofit agencies participating in the Ability One program, and designated credits from ANC or IT subcontracts at both first and lower tiers, regardless of the size or Small Business Administration (SBA) certification status of the ANC or IT.

SDB: Include SDB, 8(a)SB, and HBCU/MI, and designated credits from ANC or IT subcontracts at both first and lower tiers, regardless of the size or SBA certification status of the ANC or IT.

WOSB: Include WOSB only.

HUBZone SB: Include only SBA-certified HUBZone SBs. HUBZone certifications at the state or local level are not applicable, and the fact that a small business is situated in a HUBZone or empowerment zone does not by itself constitute HUBZone SB status.

VOSB: Include VOSB and SDVOSB.

SDVOSB: Include SDVOSB only.

ANC or IT Subcontracts at Lower than First Tier: Include the dollars credited from ANC or IT subcontracts at lower than first tier only.

Excluded Subcontracts: Include all subcontracts that were excluded from OTSB, SB, SDB, WOSB, HUBZone SB, VOSB, and SDVOSB above according to 2.g.

SB Prime List	Small Business Prime List
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1. **Who shall fill out this Tab:** Small Business offerors.
2. **Instructions for each field:**
 - a. **Supplier:**
 - (1) **Prime:** List the small business prime.
 - (2) **Affiliates:** If purchases are being made from a first tier affiliate (corporation, company, or subdivision of the prime), list the first tier affiliate on a separate line. First tier affiliates are considered part of the prime (see 13 CFR 121.103).
 - (3) **Joint Ventures:** List on separate lines any small business joint venture separate legal entity and each small business joint venture member. Joint venture members are considered affiliates of the prime and therefore part of the prime, even if they are designated as first tier subcontractors in the joint venture legal agreement. Offerors must be aware of Affiliation Rules (see 13 CFR 121.103) in placing the members in the proper business size categories.
 - b. **City, State:** Fill out location.
 - c. **CAGE Code:** Fill out the Contractor and Government Entity (CAGE) Code from the supplier's record in the System for Award Management (SAM).
 - d. **Commitment:** List the type of commitment IF ANY. Example: Joint Venture.
 - e. **Dollars:**
 - (1) **Prime Portion:** Fill in Dollar Amounts for the portion (not Total Contract Amount) of work to be performed by each prime contractor (not subcontracting).
 - (2) **Cost Sharing:** Include dollars for both Government and Contractor portions if a Cost Share contract is allowed and proposed. Cost share is not allowed in all RFPs. Check the RFP.
 - (3) **Applying Multiple Small Business Categories:** If a prime contractor falls into more than one category of SB, include the same dollars in each of those categories as well as the SB category. Note about the SB column: SDB, WOSB, HUBZone SB, VOSB, and SDVOSB are subcategories of SB, but the offeror shall not simply add-up all the subcategory totals for entry in the SB column. If, for example, a prime contractor will do \$10,000 of the work, and that prime is a SB that is both WOSB and SDVOSB, the \$10,000 amount would be inserted into four different columns: \$10,000 for SB, \$10,000 for WOSB, \$10,000 for VOSB, and \$10,000 for SDVOSB (note that \$10,000 is the appropriate sum for the SB column and not \$40,000 because a simple roll-up of all subcategory totals would translate to counting the \$10,000 action four separate times).
 - (4) **Performance Outside U.S.:** Include dollars for work to be performed entirely outside the US or its Outlying Areas by each small business listed.
 - (5) **Small Business Categories:** *(Note: Workbooks for some solicitations do not include fields for entering WOSB, HUBZone SB, VOSB, or SDVOSB.)*

SB: Include SB, SDB, WOSB, HUBZone SB, VOSB, SDVOSB.

SDB: Include SDB, 8(a)SB, and HBCU/MIs.

WOSB: Include WOSB only.

HUBZone SB: Include only SBA-certified HUBZone SBs. HUBZone certifications at the state or local level are not applicable, and the fact that a small business is situated in a HUBZone or empowerment zone does not by itself constitute HUBZone SB status.

VOSB: Include VOSB and SDVOSB.

SDVOSB: Include SDVOSB only.

SB Sub List	Small Business Subcontractor List
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1. **Who shall fill out this Tab:** ALL offerors who propose to subcontract to Small Business.
2. **Instructions for each field:**
 - a. **Supplier:**
 - (1) **Prime's Subcontractors:** List first tier small business subcontractors.
 - (2) **Affiliates' Subcontractors:** List first tier small business subcontractors of first tier affiliates. (First tier affiliates - corporation, company or subdivision of the prime - are considered part of the prime, so supplies and services purchased from them for the contract are considered part of the work of the prime. If the prime is a SB, the affiliate shall be listed on the "SB Prime List" tab. First tier SB subcontracts of those first tier affiliates, for work related to the contract, are considered first tier subcontracts of the prime (see 13 CFR 125.3(a)(1)(i)(B)) and shall be listed on this "SB Sub List" tab.)
 - (3) **Joint Venture Members' Subcontractors:** List first tier small business subcontractors of small business joint venture members. Joint venture members are considered affiliates of the prime and therefore part of the prime, even if they are designated as first tier subcontractors in the joint venture legal agreement.
 - (4) **Alaskan Native Corporation (ANC) or Indian Tribe (IT) Credit:** If an OTSB offeror is designated to receive SB and SDB credit from ANC or IT first tier or lower tier subcontracts for its Small Business Subcontracting Plan (see 13 CFR 125.3(a)(1)(i)(A)), list the subcontracts in this Tab of the Small Business Participation Factor with the following after the name in the supplier field: "(1st Tier)" or "(Lower Tier)".
 - b. **City, State:** Fill out location.
 - c. **Scope of Work:** Fill out brief description of work the subcontractor will perform.
 - d. **NAICS Code:** Fill out the North American Industrial Classification System (NAICS) Code that best fits the work the subcontractor will perform.
 - e. **CAGE Code:** For HUBZone SB at a minimum, fill out the Contractor and Government Entity (CAGE) Code from the supplier's record in the System for Award Management (SAM).
 - f. **Commitment:** List the type of commitment IF ANY. Examples: Joint Venture, Mentor Protégé, Written Contract, Enforceable, ANC or IT Credit.
 - g. **Dollars:**
 - (1) **Subcontractors:** Fill in Dollar Amounts for work to be performed by each subcontractor.
 - (2) **Cost Sharing:** Include dollars for both the Government and Contractor portions if a Cost Share Contract is allowed and proposed. Cost Share is not allowed in all RFPs. Check the RFP.
 - (3) **Applying Multiple Small Business Categories:** If a subcontractor falls into more than one category of SB, include the dollars in each of those categories. Note about the SB column: SDB, WOSB, HUBZone SB, VOSB, and SDVOSB are subcategories of SB, but the offeror shall not simply add-up all the subcategory totals for entry in the SB column. If, for example, a subcontractor will do \$10,000 of the work, and that subcontractor is a SB that is both WOSB and SDVOSB, the \$10,000 amount would be inserted into four different columns: \$10,000 for SB, \$10,000 for WOSB, \$10,000 for VOSB, and \$10,000 for SDVOSB (note that \$10,000 is the appropriate sum for the SB column and not \$40,000 because a simple roll-up of all subcategory totals would translate to counting the \$10,000 action four separate times).

(4) **Exclusions:** Exclude the following subcontracts:

(a) **Performance Outside the U.S.:** Exclude dollars for subcontracts to be performed entirely outside the US or its outlying areas (13 CFR 125.3(a)(1)(ii)).

(b) **Other** Exclude Internally generated costs such as salaries and wages. Employee insurance; Other employee benefits; Payments for petty cash; Depreciation; Interest; Income taxes; Property taxes; Lease payments; Bank fees; Fines, claims, and dues; Original Equipment Manufacturer relationships during warranty periods (negotiated up front with product); Utilities such as electricity, water, sewer, and other services purchased from a municipality or solely authorized by the municipality to provide those services in a particular geographical region; Philanthropic contributions (13 CFR 125.3(a)(1)(iii)).

(5) **Small Business Categories:** *(Note: Workbooks for some solicitations do not include fields for entering WOSB, HUBZone SB, VOSB, or SDVOSB.)*

SB: Include SB, SDB, WOSB, HUBZone SB, VOSB, SDVOSB, qualified nonprofit agencies participating in the Ability One program, and designated credits from ANC or IT subcontracts at both first and lower tiers, regardless of the size or Small Business Administration (SBA) certification status of the ANC or IT.

SDB: Include SDB, 8(a)SB, and HBCU/MI, and designated credits from ANC or IT subcontracts at both first and lower tiers, regardless of the size or SBA certification status of the ANC or IT.

WOSB: Include WOSB only.

HUBZone SB: Include only SBA-certified HUBZone SBs. HUBZone certifications at the state or local level are not applicable, and the fact that a small business is situated in a HUBZone or empowerment zone does not by itself constitute HUBZone SB status.

VOSB: Include VOSB and SDVOSB.

SDVOSB: Include SDVOSB only.

Con	Consistency between the Small Business Participation Factor Submittal and Small Business Subcontracting Plan
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1. **Who shall review this Tab:** Other than Small Business offerors shall review this Tab to ensure proposal accuracy and consistency.
2. **There are NO fill-ins.** All information is calculated automatically based on information filled out in the "Sub \$" tab.
3. **Inclusion / Exclusion Rules:** The rules used to fill out the "Sub \$" Tab are the same rules required for Subcontracting Plans. However, the goals in the Subcontracting Plan must be expressed as a percentage of total subcontracting dollars rather than total contract amount as defined in Section L and M of the solicitation.
4. **CUM Dollar and Percentage Goals:** If your Subcontracting Plan submitted in accordance with Section I is an Individual Plan, including goals associated with a Master Plan, the goals must be broken out differently than in the Small Business Participation Factor. Usually, in the Subcontracting Plan, the goals are broken out for the basic and each option separately. Your solicitation may have other requirements describing how to break out the Subcontracting Plan goals. Regardless of the breakout, if you were to total all of the goals, the CUM Dollar and Percentage Goals would be as shown in this "Con" tab, based on the information filled out in the "Sub \$" Tab.
5. **Applicability:** The CUM Dollar and Percentage Goals on this "Con" tab would not be correct and would not apply to:
 - a. Individual Plans, including goals associated with a Master Plan, if a Cost Share contract is allowed and proposed. Cost Share is not allowed in all RFPs. Check the RFP.
 - b. Commercial Plans
 - c. Comprehensive Plans

Roll-up	Participation Roll-Up
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1. **Who shall review this Tab:** All offerors shall use this tab to review for accuracy and consistency between tabs and with other proposal volumes.
2. **There are NO fill-ins.** Information is pulled from other tabs.
3. **Line 2 - Special Note:** If the OTSB offeror has included dollars credited from an Alaskan Native Corporation (ANC) or Indian Tribe (IT) subcontract at lower than first tier, depending on (a) the amount of the credit and (b) the rounding to one decimal place, the percentage in Line 2 may be greater than 100%.