

Columbia University
SUBCONTRACTING PLAN
Submitted in Accordance with Public Law 95-507

Contract Number: _____ Contract Period: _____

Title: _____

Description: _____

Contractor Name: The Trustees of Columbia University in the City of New York
EIN# 13-5598093
D&B#Morningside 04-917-9401
D&B#Health Sciences 62-188-9815

I. Development & Administration of Plan:

A. Primary Responsibility

Columbia University policies provide that the Principal Investigator has primary responsibility for the fiscal management of a contract. Accordingly, the following individual(s) are designated to administer the subcontracting under this research project in accordance with all applicable University financial & procurement policies:

<u>Principal Investigator:</u>	Name	_____
	Address:	_____
	Telephone: (____) _____ - _____	Fax: (____) _____ - _____
	e-mail:	_____
<u>Other:</u>	Name	_____
	Title:	_____
	Address:	_____
	Telephone: (____) _____ - _____	Fax: (____) _____ - _____
	Email:	_____

B. Other Responsibility

In conjunction with the Principal Investigator and the individual submitting this plan (see II. Submission of Plan) the following University Procurement personnel assisted in developing this Subcontracting Plan and will continue to provide assistance as necessary to maximize Columbia's utilization of small, disadvantaged, HUBZone, women owned, veteran and service disabled veteran owned businesses (SBA businesses):

*Manager Federal SBA Program
Columbia University Purchasing Office
1700 Broadway
New York, NY 10019
Phone: (212) 854-7551
Fax: (212) 854-7282
Email: dc753@columbia.edu*

Responsibilities of the Manager Federal SBA Program include the following:

- Assure that the University's Program is widely publicized.
- Assisting in setting goals for the utilization of Small Business Concerns in the purchase of goods or services necessary for the fulfillment of federal contracts.
- Communicate with University departments in order to increase awareness of the University's policy and commitment to the Small Business Concerns Program.
- Ensure that requests for contracts are designed to permit the maximum practicable participation of SBA businesses.
- Monitor the University's subcontracting program performance and make adjustments necessary to assist in achieving the subcontract plan goals.
- Identify and contact SBA businesses; and coordinate inquiries from SBA businesses about University opportunities.
- Attend procurement conference and trade fairs, expositions and seminars.
- Maintain the University's Small Business Program web site.
- Prepare, execute & submit reports in such form as the Government shall prescribe including the SF294 and SF295.
- Cooperating with authorized governmental agencies in such studies or surveys as may be required by them with regard to their examination of the University's compliance with P.L. 95-507

C Records Maintained:

To demonstrate compliance with the program, the Manager Federal SBA Program develops and maintains reports and records reflecting the university's efforts with regard to the Program. The records maintained include:

- records of outreach efforts,
- records of organizations contacted to identify Small Business Concerns,
- records substantiating internal educational activities to encourage buyers and other responsible individuals to seek out and utilize Small Business Concerns when appropriate
- records of source lists, guides, and other data utilized to identify Small Business Concerns,
- reports reflecting the University wide purchases of products and services from Small Business Concerns, and
- records to support award data submitted on the standard forms.

D Percentage Goals

It is the policy of Columbia University that Small, Disadvantaged, HUBZone, Women-Owned Veteran & Service Disabled Veteran concerns be given the maximum practicable opportunity to competitively provide the goods & services consistent with the efficient performance of this Research Project. Since this contract is for research, there may be changes in the direction or scope of work that could necessitate changes to fiscal budgets and this Plan. Nothing in this Plan will preclude changes otherwise authorized by the prime contract.

The University establishes percentage goals for this proposed contract. See attachment A or specifics related to this plan. The percentage totals for discretionary expense are provided solely to demonstrate SBA percentages in relation to actual discretionary expenses. Does not include indirect costs, salaries/fringe benefits, subject remuneration expenses, local travel, or communications, & postage & shipping expenses. Indirect (F&A) costs have not been included in the goals for Subcontract Expenditures but are included in the Prime Contract dollars.

The percentage totals were determined by examining the total subcontracting possibilities inherent in this Research Project and by determining the potential for the utilization of small business in the subject categories based on historical trends. The SBA's PRO-Net system was utilized to search for potential vendors. The University will continue to seek small businesses in the subject categories to fulfill its obligations under this contract as prescribed in the FAR 52.219-8

II. *Submission of Plan:*

This plan as submitted is an Individual Plan.

A. Assurances

The University gives assurance of (1) cooperation in any studies or surveys that may be required; (2) submission of periodic reports which show compliance with the subcontracting plan; (3) submission of Standard Form (SF) 294 and SF-295 in accordance with the instructions on the forms; and (4) ensuring that subcontractors agree to submit SF294 & SF295 when appropriate.

The University agrees the appropriate clauses required by the General Provisions of the prime contract will be included in all subcontracts which offer further subcontracting opportunities, and will require all subcontractors, (except Small Business concerns), who may receive subcontracts in excess of \$1,000,000, in the case of a contract for construction of any public facility, or in excess of \$500,000, in the case of all other contracts, to adopt a plan similar to this plan.

B. Individual submitting this Plan:

Morningside Campus:

Columbia University
Office of Projects & Grants
254 Engineering Terrace
Mail Code 2205
New York, NY 10027

Health Science Campus:

Columbia University
Grants & Contracts
630 West 168th Street
Box 49
New York, NY 10032

Signature:

Typed Name:

Date:

Phone: (.....) - *Fax:* (.....) -

Email:

III. *Agency Contact:*

Contract Number:

Federal Agency:

Contracting Officer:

Date:

