

k. FAR 52.219-9(d)(11) A description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plans including:

- (1) Source lists (e.g. SAM), guides, and other data the contractor uses to identify small businesses in accordance with FAR 52.219-9(d)(11)(i). Is the contractor maintaining records as described in the plans [Field 14]? ☐ YES ☒ NO

DESCRIBE:

[REDACTED]

However, DCMA review discovered that records for source lists were not maintained for VETBiz, SAM, SBA Dynamic Small Business Search, other, as such the contractor

- (2) List organizations that are contacted by the contractor in an attempt to locate sources that are small businesses in accordance with FAR 52.219-9(d)(11)(ii). Is the contractor maintaining records as described in the plans [Field 15] ?

☒ YES ☐ NO

DESCRIBE:

The contractor provided records for the [REDACTED]. The contractor records are acceptable.

- (3) Records for each subcontract of more than \$150,000 in accordance with FAR 52.219-9(d)(11)(iii). See Exhibit I. Is the contractor maintaining records as described in the plans [Field 18]? ☒ YES ☐ NO ☐ NOT APPLICABLE

DESCRIBE:

Records were kept for all awards over \$150,000 stating whether small business concerns were solicited if not why not.

- (4) Records of any outreach efforts to contact trade associations, business development organizations, conferences and trade fairs and veteran service organizations in accordance with FAR 52.219-9(d)(11)(iv). Is the contractor maintaining records as described in the plans [Field 19]? ☒ YES ☐ NO

DESCRIBE:

Records were kept validating their active participation on multiple outreach efforts, trade associations and conferences in attendance. [REDACTED]

[REDACTED]. Sikorsky is compliant with this FAR requirement.

k. FAR 52.219-9(d)(11) A description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plans including:

- (1) Source lists (e.g. SAM), guides, and other data the contractor uses to identify small businesses in accordance with FAR 52.219-9(d)(11)(i). Is the contractor maintaining records as described in the plans [Field 14]? ☐ YES ☒ NO

DESCRIBE:

source lists were not maintained for VETBiz, SAM, SBA Dynamic Small Business Search, other, as such the contractor didn't know whether the buyers used any of these sources. [REDACTED]

[REDACTED] Records were not maintained as such the contractor was found non-compliant with FAR 52.219-9(d)(11)(i).

- (2) List organizations that are contacted by the contractor in an attempt to locate sources that are small businesses in accordance with FAR 52.219-9(d)(11)(ii). Is the contractor maintaining records as described in the plans [Field 15] ?

☒ YES ☐ NO

DESCRIBE:

The contractor provided records for the [REDACTED]  
[REDACTED] The contractor records are acceptable.

- (3) Records for each subcontract of more than \$150,000 in accordance with FAR 52.219-9(d)(11)(iii). See Exhibit I. Is the contractor maintaining records as described in the plans [Field 18]? ☒ YES ☐ NO ☐ NOT APPLICABLE

DESCRIBE:

Records were kept for all awards over \$150,000 stating whether small business concerns were solicited if not why not.

- (4) Records of any outreach efforts to contact trade associations, business development organizations, conferences and trade fairs and veteran service organizations in accordance with FAR 52.219-9(d)(11)(iv). Is the contractor maintaining records as described in the plans [Field 19]? ☒ YES ☐ NO

DESCRIBE:

Records were kept validating their active participation on multiple outreach efforts, trade associations and conferences in attendance. [REDACTED]

[REDACTED] Sikorsky is compliant with this FAR requirement.

- (5) Records of internal guidance and encouragement to buyers through (A) workshops, seminars, training, etc. and (B) monitoring performance to evaluate compliance with program requirements in accordance with FAR 52.219-9(d)(11)(v). Is the contractor maintaining records as described in the plans [Field 20]?

☒ YES ☐ NO

DESCRIBE:

[REDACTED] Buyers

training records were validated. The contractor is in compliance with this FAR requirement.

- (6) FAR 52.219-9(d)(11)(vi) Records 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. Contractors having commercial plans need not comply with this requirement. Is the contractor maintaining records as described in the plans [Field 21]? ☒ YES ☐ NO ☐ NOT APPLICABLE to Commercial Plans
- DESCRIBE:

[REDACTED] This form includes all required  
identifiable information for the subcontractor

[REDACTED] The contractor's records for this FAR element are acceptable.

**I. FAR 52.219-9(e) In order to effectively implement this plan to the extent consistent with efficient contract performance the contractor shall perform the following functions:**

- (1) Is the contractor assisting small businesses by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules to facilitate the participation by such concerns in accordance with FAR 52.219-9(e)(1)? ☒ YES ☐ NO
- DESCRIBE:

Sikorsky does assist small business concerns as required by the FAR. Sikorsky briefed the DCMA analyst on one example in FY16 for Sikorsky's work with [REDACTED]

[REDACTED]

- (2) Is the contractor providing adequate and timely consideration of small businesses in all "make-or-buy" decisions in accordance with FAR 52.219-9(e)(2)? ☒ YES ☐ NO
- DESCRIBE:

[REDACTED] DCMA finds their make or buy efforts adequate.

- (5) Records of internal guidance and encouragement to buyers through (A) workshops, seminars, training, etc. and (B) monitoring performance to evaluate compliance with program requirements in accordance with FAR 52.219-9(d)(11)(v). Is the contractor maintaining records as described in the plans [Field 20]?

☒ YES ☐ NO

DESCRIBE:

[REDACTED]  
[REDACTED]  
[REDACTED]

Buyers

training records were validated. The contractor is in compliance with this FAR requirement.

- (6) FAR 52.219-9(d)(11)(vi) Records 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. Contractors having commercial plans need not comply with this requirement. Is the contractor maintaining records as described in the plans [Field 21]? ☒ YES ☐ NO ☐ NOT APPLICABLE to Commercial Plans

DESCRIBE:

[REDACTED]  
[REDACTED] This form includes all required  
identifiable information for the subcontractor. [REDACTED]  
[REDACTED]

[REDACTED] The contractor's records for this FAR element are acceptable.

**I. FAR 52.219-9(e) In order to effectively implement this plan to the extent consistent with efficient contract performance the contractor shall perform the following functions:**

- (1) Is the contractor assisting small businesses by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules to facilitate the participation by such concerns in accordance with FAR 52.219-9(e)(1)? ☒ YES ☐ NO

DESCRIBE:

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

Sikorsky meets the requirements of FAR 52.219-9(e)(1).

- (2) Is the contractor providing adequate and timely consideration of small businesses in all "make-or-buy" decisions in accordance with FAR 52.219-9(e)(2)? ☒ YES ☐ NO

DESCRIBE:

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

DCMA finds their make or buy efforts adequate.

- (3) Is the contractor counseling and discussing subcontracting opportunities with small businesses in accordance with FAR 52.219-9(e)(3)? ☒ YES ☐ NO

DESCRIBE:

[REDACTED] DCMA finds

Sikorsky counseling and training efforts strong.

- (4) Is the contractor confirming a HUBZone small business concern is a certified HUBZone small business by accessing the System for Award Management (SAM) database or by contacting SBA in accordance with FAR 52.219-9(e)(4) and FAR 52.219-8(d)(2)? See Exhibit I ☐ YES ☒ NO

- (5) Is the contractor providing notice to subcontractors concerning penalties and remedies for misrepresentations of business status as a small business for the purpose of obtaining a subcontract in accordance with 15 U.S.C. 645(d) and FAR 52.219-9(e)(5) [Field 22]? ☒ YES ☐ NO

DESCRIBE:

[REDACTED]

- (6) Is the contractor providing notice to inform each unsuccessful small business offeror in writing of the name and location of the apparent successful offeror prior to award of the contract in which a small business concern received a small business preference for subcontracts over the Simplified Acquisition Threshold in accordance with FAR 52.219-9(e)(6)? ☐ YES ☐ NO ☒ NOT APPLICABLE

## 2. Other Regulatory Compliance

- a. Has the contractor provided the maximum practicable opportunity to participate in performing contracts let by any Federal agency, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems for small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns in accordance FAR 52.219-8(b)? ☒ YES ☐ NO

DESCRIBE:

This review covers only DOD purchase orders, a review of Sikorsky's procedures but mostly actions taken in FY16 support their efforts have not hinder opportunities for small businesses.

- b. Has the contractor established procedures to ensure the timely payment of amounts due pursuant to the terms of their subcontracts with 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 accordance with FAR 19.702 and FAR 52.219-8(b)? [Field 10]

☒ YES ☐ NO

Is the contractor ensuring timely payment of subcontractors? [Field 10]

☒ YES ☐ NO DESCRIBE:

The contractor shows some flexibility as documented in this report in the case

- c. FAR 52.232-40: Providing Accelerated Payments to Small Business Subcontractors. If this clause is included in their prime contract(s) is the contractor making the required accelerated payments to their small business subcontractor(s), as prescribed? [Field 23] ☐ YES ☐ NO ☒ NOT APPLICABLE

- d. Has the contractor adequately addressed all previous Corrective Action Plans (CAPs) [Field 24]? ☐ YES ☒ NO ☐ NOT APPLICABLE.  
If applicable, describe the previous findings/deficiencies and the corrective actions implemented.

### 3. Additional Program Administration

- a. Has a company-wide small business policy statement been issued by current senior management and disseminated throughout the company [Field 25]? ☒ YES

Issued By: Title: Date:

☐ NO

- b. Small Business Liaison Officer (SBLO) appointment/authority placement in the organization:

- (1) Has the SBLO been formally appointed by senior level management to effectively administer the program [Field 26]? ☒ YES ☐ NO

- (2) SBLO is a: ☐ Corporate ☒ Division (if a division SBLO, describe the relationship between this division and the corporate SBLO).

Comments:

- (3) Is there an organization chart that displays the position of the SBLO within the organization [Field 27]? ☒ YES ☐ NO

**c. Monitoring small business program performance and requirements:**

- (1) Are senior management and staff briefed regularly on achievement and/or program deficiencies [Field 28]? ☒ YES ☐ NO**

**Comments:**

[REDACTED]

- (2) What does the contractor do to improve subcontracting performance if goals are not being met [Field 29]?**

Sikorsky has a documented process to improve performance to goal that has proven for the most to be effective.

[REDACTED]

**d. Small Business Subcontracting Procedures**

- (1) Does the contractor have company policies or procedures in place for the small business subcontracting program [Field 30]? ☒ YES ☐ NO**

**Comments:**

Sikorsky provided hard copies for our review purpose of their policies and procedures as follows:

- Sikorsky Small Business Programs
- Sikorsky standard terms and conditions of purchase
- Sikorsky Work Transition Management Process
- Evaluations of suppliers proposals
- Request for Quotation
- Statement of Principles: define the objectives of Supply Management and guidelines to be used in acquisition of materials and services

- (2) Do the policies or procedures promote participation 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? ☒ YES ☐ NO ☐ NOT APPLICABLE**

**Comments:**

DCMA reviewed Sikorsky's Small Business Programs and Sikorsky's Work Transition Management processes only. Both documents promote the use of small business concerns.

**Part IV – Comprehensive Subcontracting Plan (CSP) Test  
Program Applies to CSP Only - If not applicable skip to Part V**

**1. Describe the efforts the firm uses to achieve all negotiated initiatives.**

[REDACTED]

[REDACTED] The contractors progress is slow but highly driven to [REDACTED] The FY16 goals for this initiative are on target.

[REDACTED]

**Is the firm making adequate progress to meet all milestones for all negotiated initiatives?**

☒ YES ☐ NO

**2. TARGET INDUSTRIES:**

**Has the contractor met, or are they on track to meet all selected industry category goals?**

☒ YES ☐ NO

**Describe the method the firm uses to improve performance by small business in the selected industry categories.**

Sikorsky surpassed its negotiated goals for both target industry categories. For [REDACTED] the actual spend is [REDACTED] surpassing its goal of [REDACTED] for FY16. The contractor increased its quota with [REDACTED] in order to meet its goals.

[REDACTED] They exceeded the goals by awarding a total of [REDACTED]

**3. List the major programs(s) the firm is monitoring as requested by the customer.**

Program Name	Discuss:	Add/Remove
NONE		<input type="checkbox"/> Add <input type="checkbox"/> Remove
		<input type="checkbox"/> Add <input type="checkbox"/> Remove
		<input type="checkbox"/> Add <input type="checkbox"/> Remove
		<input type="checkbox"/> Add <input type="checkbox"/> Remove

**4. Did the firm fully comply with the request to provide program specific information as requested by the customer?** ☒ YES ☐ NO

**5. PERFORM INTERIM ANALYSIS OF COMPREHENSIVE SUBCONTRACTING PLAN**

Indicate by analysis and contractor concurrence, one or more of the plan's goals may not be attained by end of performance.

A mid-year review was not completed.

**Part IV – Comprehensive Subcontracting Plan (CSP) Test  
Program Applies to CSP Only - If not applicable skip to Part V**

**1. Describe the efforts the firm uses to achieve all negotiated initiatives.**

initiative are on target. [REDACTED]

[REDACTED] The contractor is on target on reaching its end goal of [REDACTED] by FY17. [REDACTED] The contractor met its goal with [REDACTED] spent reported for FY16.

**Is the firm making adequate progress to meet all milestones for all negotiated initiatives?**

☒ YES ☐ NO

**2. TARGET INDUSTRIES:**

**Has the contractor met, or are they on track to meet all selected industry category goals?**

☒ YES ☐ NO

**Describe the method the firm uses to improve performance by small business in the selected industry categories.**

Sikorsky surpassed its negotiated goals for both target industry categories. For the [REDACTED] the actual spend is [REDACTED] surpassing its goal of [REDACTED] for FY16. The contractor increased its quota with [REDACTED] in order to meet its goals. [REDACTED]

[REDACTED] They exceeded the goals by awarding a total of [REDACTED]

**3. List the major programs(s) the firm is monitoring as requested by the customer.**

Program Name	Discuss:	Add/Remove	
NONE		<input type="checkbox"/> Add	<input type="checkbox"/> Remove
		<input type="checkbox"/> Add	<input type="checkbox"/> Remove
		<input type="checkbox"/> Add	<input type="checkbox"/> Remove
		<input type="checkbox"/> Add	<input type="checkbox"/> Remove

**4. Did the firm fully comply with the request to provide program specific information as requested by the customer?** ☒ YES ☐ NO

**5. PERFORM INTERIM ANALYSIS OF COMPREHENSIVE SUBCONTRACTING PLAN**

Indicate by analysis and contractor concurrence, one or more of the plan's goals may not be attained by end of performance.

A mid-year review was not completed.

COMPREHENSIVE PLAN	Goals May Not Be Met – Check Box(es) where goals may not be met						Demonstrated Good Faith Efforts
	SB	SDB	WOSB	HUBZ	VOSB	SDVOSB	
Midyear SSR Date Range:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Recommended Action:**

None

**6. PERFORM FINAL ANALYSIS OF COMPREHENSIVE SUBCONTRACTING PLAN**

COMPREHENSIVE PLAN	All Goals Were Met	Goals Not Met – Check Box(es)						Demonstrated Good Faith Efforts
		SB	SDB	WOSB	HUBZ	VOSB	SDVOSB	
Year End SSR Date Range:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> No

**Recommended Action:**

Sikorsky met five out of six of their negotiated goals. Sikorsky's FY16 goals were as follow: SB goal of [REDACTED] and actual of [REDACTED] SDB goal of [REDACTED] and actual of [REDACTED] WOSB goal of [REDACTED] and actual of [REDACTED] HUBZone goal of [REDACTED] and actual of [REDACTED] VOSB goal of [REDACTED] and actual of [REDACTED] and SDVOSB goal of [REDACTED] and actual of [REDACTED]. The HUBZone category goal was missed by [REDACTED]

**Part V – Program Rating Determination**

The DCMA Small Business Programs Compliance rating scale below is a modified version of FAR 42.1503-Contractor Performance Information, Procedures, and Table 42-2—Evaluation Ratings Definitions.

**Evaluation Ratings Definitions (for the Small Business Subcontracting Evaluation Factor, when FAR clause 52.219-9 is used).**

Rating	Definition	Note
<input type="checkbox"/> <b>Exceptional</b>	Performance meets Very Good rating and exceeds many subcontracting program elements to the Government's benefit. There should have been NO weaknesses identified. Identify multiple significant events that were exceptional and state how they were benefits to the Government.	To justify an Exceptional rating, identify multiple documented successes that exceed the subcontracting plan requirements. State how they were a benefit to small business utilization. An Exceptional rating signifies that the company has an exemplary program or practices that could be used as a model by other contractors in similar industries. There is no action taken or planned action to be taken for compliance with

- ☐ **Very Good** Performance meets Satisfactory rating and exceeds one subcontracting program element to the Government's benefit. There should have been NO weaknesses identified. Identify at least one significant event and state how it was a benefit to the Government.
- ☒ **Satisfactory** Performance meets the subcontracting program elements to the Government's benefit. The performance of the subcontracting plan requirement's elements or sub-elements being evaluated was accomplished with only minor problems or major problems the contractor recovered from without impact to the contract/order or subcontracting program elements. The corrective actions taken by the contractor were highly effective. Also, there should have been NO weaknesses identified. A fundamental principle of assigning this rating is that the contractor will not be evaluated with a rating lower than Satisfactory solely for not performing beyond the requirements of the subcontracting plan elements.
- 48 CFR 52.219-8, 13 CFR 125.3 & 48 CFR 52.219-9.
- To justify a Very Good rating, identify a significant documented success of exceeding one or more subcontracting plan elements. State how it was a benefit to small business utilization. Provided documentation of achievements and success stories to support efforts demonstrated. There is no action taken or planned action to be taken for compliance with 48 CFR 52.219-8, 13 CFR 125.3 & 48 CFR 52.219-9.
- Examples of meeting the subcontracting program elements: Meet or on track to meet all goals as negotiated per contract. The contractor met subcontracting plan(s) elements, instituting initiatives to assist, promote, and utilize SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB. The contractor complied with 48 CFR 52.219-8, Utilization of Small Business Concerns which is inclusive of the requirement for a large business to get a written size self-certification from each small business subcontractor accurately reflecting the firm's socio-economic status. The contractor met any other small business participation requirements incorporated in the contract(s)/order(s). The contractor fulfilled the requirements of the Federal Government's Subcontracting program as outlined in 13 CFR 125.3 & 48 CFR 52.219-9. The contractor accurately completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports. The contractor responded to rejected reports within 30 days of rejection notice. Reviewed and accepted or rejected their other than small business (OTSB) lower tier subcontractors' Individual Subcontract Reports within 60 days of submittal. Ensured their OTSB responded to rejected reports within 30 days of rejection notice. The contractor ensured that all levels of OTSB subcontractor flow down the requirement to submit all of their Individual Subcontract Reports and/or Summary Subcontract Reports as required by regulation. Ensured that all levels of OTSB subcontractor flow down

the requirement to review and accept or reject their OTSB Individual Subcontract Reports within 60 days of submittal and respond to rejected reports within 30 days of rejection notice.

**Note:** To justify a Satisfactory rating, there are multiple documented successes to identify meeting or on track to meet the negotiated goals for each contract. Identify multiple documented successes of meeting subcontracting plan elements. There is no action taken or planned action to be taken for compliance with 48 CFR 52.219-8, 13 CFR 125.3 & 48 CFR 52.219-9.

- ☐ **Marginal** Performance does not meet some subcontracting program elements and contractual requirements. The contractual performance of the element or sub-element being evaluated reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.
- Examples of marginally meeting the subcontracting program elements: Demonstrated a good faith effort to meet all of the negotiated subcontracting goals per contract. The contractor demonstrated a good faith effort to meet all of the subcontracting plan(s) elements, instituting initiatives to assist, promote, and utilize SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB. Complied with 48 CFR 52.219-8, Utilization of Small Business Concerns is inclusive of the requirement for a large business to get a written size self-certification from each small business subcontractor accurately reflecting the firm's socio-economic status. The contractor demonstrated a good faith effort to meet any other small business participation requirements in the contract/order. Submitted Individual Subcontract Reports and/or Summary Subcontract Reports but not within the time frame required by regulation. The contractor has consulted DCMA and SBA for assistance. Demonstrated a good faith effort to review and accept or reject their OTSB lower tier subcontractors' Individual Subcontract Reports within 60 days of submittal. Demonstrated a good faith effort to ensure their OTSB responded to rejected reports within 30 days of rejection notice. The contractor demonstrated a good faith effort to ensure that all levels of OTSB subcontractor flow down the requirement to submit all of their Individual Subcontract Reports and/or Summary Subcontract Reports as required by regulation. Demonstrated a good faith effort to ensure that all levels of OTSB

subcontractor flow down the requirement to review and accept or reject their OTSB Individual Subcontract Reports within 60 days of submittal and respond to rejected reports within 30 days of rejection notice.

**Note:** To justify Marginal performance, identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the Government and small business utilization. A Marginal rating should be supported by referencing the good faith effort to correct the deficiency. Identify multiple documented concerns of not meeting other subcontracting plan elements. There is evidenced action and planned action to be taken that demonstrated non-compliance pursuant to 48 CFR 52.219-8, 13 CFR 125.3 & 48 CFR 52.219-9. Explain the good faith effort taken by the OTSB to overcome the challenge and describe how it impacted small business utilization. The DCMA Small Business Professional (SBP) will notify the Administrative Contracting Officer (ACO) and will notify SBA's applicable Area Director in the SBA Area in which the firm business resides.

- ☐ **Unsatisfactory** – Performance does not meet most subcontracting program element requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains a serious problem(s) for which the contractor's corrective actions appear or were ineffective.

Examples of Unsatisfactory performance of meeting the subcontracting program elements: A good faith effort was not demonstrated to meet all of the negotiated subcontracting goals per contract. A good faith effort was not demonstrated to meet all of the negotiated initiatives to assist, promote and utilize SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB. A good faith effort was not demonstrated to comply with FAR 52.219-8, Utilization of Small Business Concerns which is inclusive of the requirement for a large business to get a written size self-certification from each small business subcontractor accurately reflecting the firm's socio-economic status. A good faith effort was not demonstrated to comply with any other small business participation requirements in the contract/order. A good faith effort was not demonstrated to review and accept or reject their OTSB lower tier subcontractors' Individual Subcontract Reports within 60 days of submittal. A good faith effort was not demonstrated to ensure that all levels of OTSB subcontractor flow down the requirement to review and accept or reject their OTSB Individual Subcontract Reports within 60 days of submittal and respond to rejected reports within 30 days of rejection notice.

**NOTE:** To justify an Unsatisfactory rating, identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the Government. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An Unsatisfactory rating should be supported by referencing where there was no documentation to identify good faith effort to meet the subcontracting program elements. There is evidenced action and planned action to be taken that demonstrated non-compliance pursuant to 48 CFR , FAR 52.219-8, 13 CFR 125.3 & 48 CFR, FAR 52.219-9. Explain how they did not show a good faith effort to overcome the challenge and describe how it impacted small business utilization. The DCMA SBP will notify the ACO and SBA's applicable Area Director in the SBA Area in which the business firm resides.

\* "Negotiated goals" refers to the dollar and percentage goals in the approved subcontracting plan. (For rating purposes, the reviewer will compare the percentage goals to the percentage achievements).

### 1. Exceptional Rating Justification

- a. Does the contractor's performance meet the Very Good rating and exceed multiple subcontracting program elements? If no, skip to question 2. ☐ YES ☐ NO  
Comments:

- b. Did the contractor have any weaknesses? If yes, skip to question 2. ☐ YES ☐ NO  
Comments:

- c. Discuss multiple significant events that were exceptional and beneficial to the Government and state how they were a benefit to small business utilization. [Field 31] ☐ YES ☐ NO  
Comments:

**2. Very Good Justification**

- a. Does the contractor's performance meet the Satisfactory rating and exceed one subcontracting program element? If no, skip to question 3. ☐ YES ☐ NO

Comments:

- b. Did the contractor have any weaknesses? If yes, skip to question 3. ☐ YES ☐ NO

Comments:

- c. Discuss at least one significant event that was beneficial to the Government and state how it was a benefit to small business utilization. [Field 31]

Comments:

**3. Satisfactory Justification**

**a. Does the contractor's performance meet the subcontracting program elements to the Government's benefit?** ☒ YES ☐ NO

**Comments:**

The contractors progress in meeting five out of six of the negotiated goals, along with meeting all negotiated target industry goals and making satisfactory progress with their initiatives are beneficial to the small business community and the government.

**b. Did the contractor have any weaknesses?** ☒ YES ☐ NO

**Comments:**

ISR collection was identified as an area in which the contractor was previously requested to implement corrective actions to ensure the requirements and instructions of ISR collection were met but Sikorsky was not able to fully implement (Reference CAP FY09, FY13, and FY14). The contractor understands this requirement and [REDACTED]. DCMA will monitor the progress of the implementation of this tool monthly.

**c. Does the contractor's performance have only minor problems or major problems without impact to the program?** ☒ YES ☐ NO

**Comments:**

Sikorsky's minor/major problems have been documented on this report. DCMA assessment is that there is no impact to the program as Sikorsky is proactive in finding solutions to prevent any re-occurrence and DCMA will monitor monthly.

**d. Has the contractor taken corrective actions that have been highly effective?**

☐ YES ☒ NO

**Comments:**

ISR collection was identified as an area in which the contractor was previously requested to implement corrective actions to ensure the requirements and instructions of ISR collection were met but Sikorsky was not able to fully implement (Reference CAP FY09, FY13, and FY14). Sikorsky and its parent company Lockheed Martin (LM) are working together to address this issue with [REDACTED]. Progress will be monitored monthly.

**4. Marginal Justification**

**a. Does the contractor's performance not meet some subcontracting program elements?**

☐ YES   ☐ NO

**Comments:**

**b. Does the contractor's performance reflect a serious problem with no corrective action plan or corrective actions taken? ☐ YES   ☐ NO**

**Comments:**

**c. Do the proposed corrected actions appear only marginally effective or were they not fully implemented? ☐ YES   ☐ NO**

**Comments:**

**5. Unsatisfactory Justification:**

- a. Does the contractor's performance not meet most subcontracting program element requirements and recovery is not likely in a timely manner? ☐ YES ☐ NO

Comments:

- b. Does the contractor's performance contain serious problem(s) and the corrective action(s) were ineffective? ☐ YES ☐ NO

Comments:

**PART VI –Summary****1. Program Rating:****2. Unsatisfactory: (NOTE: Noncompliant with the FAR, ISR or SSR instructions.)****3. Recommendations: (NOTE: A recommendation is an area to improve the program that is not required by regulation.)****4. Additional Remarks:**

DCMA direction on the blank spend/Non DoD direct material purchase orders issued prior to a DoD award and classified as indirect spend is to disallow this practice going forward starting with your FY18 CSP plan. This should assist correcting the SSR validation challenges faced by Sikorsky.

## 5. Methodology for selection of contracts reviewed.

This review was based on 47 DCMA administered contracts with small business subcontracting plans out of a total population of [REDACTED] DCMA administered contracts with small business subcontracting plans for the review period. Exhibit III.

This review was based on 22 subcontracts with large businesses over \$650,000/\$700,000, as applicable, out of a total population of [REDACTED] subcontracts with large businesses over \$650,000/\$700,000, as applicable, for the review period. Exhibit I Part 1.

This review was based on 22 subcontracts over \$150,000 out of a total population of [REDACTED] subcontracts over \$150,000 for the review period. Exhibit I Part 2.

The review was based on 23 subcontracts out of a total population of [REDACTED] subcontracts for the review period. Exhibit I Part 3.

The subcontracts were randomly selected. If a sampling methodology other than random was used state how the sample was selected.

## 6. Exit Interview Participants:

### Government:

1. Luz M. Vasquez
2. Kim Gaskin, DACO
3. John Deluz, Cost Monitor
4. Michael Turnyanszki, Cost Monitor
- 5.
- 6.

### Contractor:

1. Martha Crawford, SBLO
2. Amy Johnson,
3. John Palumbo, Senior VP, Operations
4. Owen Whitehurst, Legal Counsel
5. Other Sikorsky and LM personnel
- 6.

## 7. DCMA Small Business Professional Signature:

VASQUEZ.LUZ.MARIA.1182397349

Digitally signed by VASQUEZ.LUZ.MARIA.1182397349  
DN: c=US, o=U.S. Government, ou=DoD, ou=PKI, ou=DCMA,  
cn=VASQUEZ.LUZ.MARIA.1182397349  
Date: 2017.04.17 07:53:55 -05'00'

## 8. DCMA Small Business Center Supervisor Signature:

EVELYN-  
BELLAMY.TATIA.M.1228577665

Digitally signed by EVELYN-BELLAMY.TATIA.M.1228577665  
DN: c=US, o=U.S. Government, ou=DoD, ou=PKI, ou=DCMA, cn=EVELYN-  
BELLAMY.TATIA.M.1228577665  
Date: 2017.04.17 10:01:56 -04'00'

eSRS

Page 1 of 5

**Summary****SUMMARY SUBCONTRACT REPORT****1. Type of Plan:**

[REDACTED]

**2. DUNS #:**

[REDACTED]

**3. Corporation, Company or Subdivision Covered****a. Vendor Name:**

[REDACTED]

**b. Vendor Physical Address:****Street Address:**

[REDACTED]

**City:**

[REDACTED]

**State:**

[REDACTED]

**Zip+4:**

[REDACTED]

**Country:**

[REDACTED]

**c. Vendor Mailing Address:****Street Address:**

[REDACTED]

**City:**

[REDACTED]

**State:**

[REDACTED]

**Zip+4:**

[REDACTED]

**Country:**

[REDACTED]

**4. Date Submitted:**

[REDACTED]

**5. Contact Information:**

[REDACTED]

**6. Reporting Period:**

[REDACTED]

**a. Year:**

[REDACTED]

Report Actions	
<input type="button" value="v"/>	<input type="button" value="Go"/>
<b>Action History</b>	
Oct 27, 2017 2:22 pm	
Report Submitted (Martha Crawford)	

eSRS

Page 2 of 5

**7. Agency to which the report is being submitted:**

[REDACTED]

**8. Report Submitted As:**

[REDACTED]

**9. Contractor's Major Products or Service Lines**

This reflects the description of the two major products and/or services, and the NAICS codes for the product/services lines under the approved subcontracting plan that the contractor provides to the agency for which this report is being submitted to.

**a. Product or Service #1:**

[REDACTED]

**b. Product or Service #2:**

[REDACTED]

### SUBCONTRACTING DOLLARS FOR DEPARTMENT OF DEFENSE

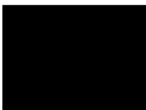
	Whole Dollars	Percent
<b>1a. SMALL BUSINESS CONCERNS</b>	[REDACTED]	[REDACTED]
<b>1b. LARGE BUSINESS CONCERNS</b>		
<b>1c. TOTAL</b>		

	Whole Dollars	Percent
<b>2. SMALL DISADVANTAGED BUSINESS (SDB) CONCERNS</b>	[REDACTED]	[REDACTED]
<b>3. WOMEN-OWNED SMALL BUSINESS (WOSB) CONCERNS</b>		
<b>4. HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) AND MINORITY INSTITUTIONS (MI)</b> <i>* This field is not required for DoD and Coast Guard contracts.</i>		
<b>5. HUBZone SMALL BUSINESS (HUBZone SB) CONCERNS</b>		
<b>6. VETERAN-OWNED SMALL BUSINESS CONCERNS</b>		
<b>7. SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS CONCERNS</b>		
<b>8. ALASKA NATIVE CORPORATIONS (ANCs) AND INDIAN TRIBES THAT HAVE NOT BEEN CERTIFIED BY THE SMALL BUSINESS ADMINISTRATION AS SMALL DISADVANTAGED BUSINESSES</b>		
<b>9. ALASKA NATIVE CORPORATIONS (ANCs) AND INDIAN TRIBES THAT ARE NOT SMALL BUSINESSES</b>		

---

**10. Remarks:**

If you entered (0) zero in the small business section of this report or failed to meet the dollar or percentage goals in the Commercial Subcontracting Plan, use this section to explain the reason for any shortfalls and your future plan of action. You may also enter explanations and/or comments you think will be helpful to the Government official who reviews this report.



---

**11. Contractors Official Who Administers Subcontracting Program**

This is the name and contact information (telephone number and email address) for the individual who administers the contractor's Small Business Subcontracting Program.

a. Name:



b. Title:



c. Phone Number:

(b) (6)

---

**12. Certification:**

This is a testament that the data being submitted on the report is accurate and that the dollars and percentages reported do not include lower tier subcontracts (except as set forth for ANC and Indian Tribes for more information visit <http://www.arinet.gov/far/facframe.html> see FAC 05-019). If "No" is selected the report will be "Rejected"

Yes

eSRS

Page 4 of 5

**13. Chief Executive Officer(CEO)**

This is the full name and title of the CEO (if you do not use the title CEO this is the most Senior Executive in your organization) for the company submitting this report. **No delegation of authority is accepted.**

**a. Name:**

[REDACTED]

**b. Title:**

[REDACTED]

**c. Date:**

[REDACTED]

**14. CEO Approval:**

This is a self-certification that the individual whom is listed as the CEO on this report will sign a paper print-out of this report and keep it on file.

[REDACTED]

**15. Please enter the email address of the Government employee(s) and/or other person(s) to be notified that you have submitted this report:**

By listing an e-mail address, a notification will be sent to listed parties advising them that a subcontracting report has been submitted in eSRS for the Government's review. The Federal Government Agency will not be notified via email unless you enter a notification e-mail address.

(b) (6)

### SUBCONTRACTING DOLLARS FOR MILITARY SERVICES AND OTHER DEFENSE AGENCIES (Optional)

Pick one or more Military Services or other Defense Agencies directly below DOD and enter in dollar amounts

[REDACTED]

### SUBCONTRACTING DOLLARS FOR PROGRAMS (Optional)

Provide one or more Program Titles and enter in dollar amounts

[REDACTED]

### SUPPLEMENTAL DOCUMENTATION

**1. Documents:**

Attach additional documents

**Additional Document:****File Name:**

[REDACTED]

**Document Description:**

[REDACTED]

**Additional Document:****File Name:**

[REDACTED]

eSRS

Page 5 of 5

<b>Document Description:</b> [REDACTED]
<b>Additional Document:</b> <b>File Name:</b> [REDACTED]
<b>Document Description:</b> [REDACTED]
<b>Additional Document:</b> <b>File Name:</b> [REDACTED]
<b>Document Description:</b> [REDACTED]
<b>Additional Document:</b> <b>File Name:</b> [REDACTED] [REDACTED]
<b>Document Description:</b> [REDACTED]
<b>Additional Document:</b> <b>File Name:</b> [REDACTED]
<b>Document Description:</b> [REDACTED]
<b>Additional Document:</b> [REDACTED]

**7. Agency to which the report is being submitted:**

[REDACTED]

**8. Report Submitted As:**

[REDACTED]

**9. Contractor's Major Products or Service Lines**

This reflects the description of the two major products and/or services, and the NAICS codes for the product/services lines under the approved subcontracting plan that the contractor provides to the agency for which this report is being submitted to.

**a. Product or Service #1:**

[REDACTED]

**b. Product or Service #2:**

[REDACTED]

### SUBCONTRACTING DOLLARS FOR DEPARTMENT OF DEFENSE

	Whole Dollars	Percent
<b>1a. SMALL BUSINESS CONCERNS</b>	[REDACTED]	[REDACTED]
<b>1b. LARGE BUSINESS CONCERNS</b>		
<b>1c. TOTAL</b>		

	Whole Dollars	Percent
<b>2. SMALL DISADVANTAGED BUSINESS (SDB) CONCERNS</b>	[REDACTED]	[REDACTED]
<b>3. WOMEN-OWNED SMALL BUSINESS (WOSB) CONCERNS</b>		
<b>4. HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) AND MINORITY INSTITUTIONS (MI)</b> <i>* This field is not required for DoD and Coast Guard contracts.</i>		
<b>5. HUBZone SMALL BUSINESS (HUBZone SB) CONCERNS</b>		
<b>6. VETERAN-OWNED SMALL BUSINESS CONCERNS</b>		
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<b>9. ALASKA NATIVE CORPORATIONS (ANCs) AND INDIAN TRIBES THAT ARE NOT SMALL BUSINESSES</b>		

eSRS

Page 4 of 5

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This is the full name and title of the CEO (if you do not use the title CEO this is the most Senior Executive in your organization) for the company submitting this report. **No delegation of authority is accepted.**

**a. Name:**

[REDACTED]

**b. Title:**

[REDACTED]

**c. Date:**

[REDACTED]

**14. CEO Approval:**

This is a self-certification that the individual whom is listed as the CEO on this report will sign a paper print-out of this report and keep it on file.

[REDACTED]

**15. Please enter the email address of the Government employee(s) and/or other person(s) to be notified that you have submitted this report.:**

By listing an e-mail address, a notification will be sent to listed parties advising them that a subcontracting report has been submitted in eSRS for the Government's review. The Federal Government Agency will not be notified via email unless you enter a notification e-mail address.

(b) (6)

**SUBCONTRACTING DOLLARS FOR MILITARY SERVICES AND OTHER DEFENSE AGENCIES (Optional)**

Pick one or more Military Services or other Defense Agencies directly below DOD and enter in dollar amounts

[REDACTED]

**SUBCONTRACTING DOLLARS FOR PROGRAMS (Optional)**

Provide one or more Program Titles and enter in dollar amounts

[REDACTED]

**SUPPLEMENTAL DOCUMENTATION****1. Documents:**

Attach additional documents

**Additional Document:****File Name:**

[REDACTED]

**Document Description:**

[REDACTED]

**Additional Document:****File Name:**

[REDACTED]

Sikorsky Aircraft  
6900 Main Street • P. O. Box 9729  
Stratford, Connecticut 06615-9129

(b) (6)



September 25, 2015

Ms. Micole Stephens  
Program Manager  
Comprehensive Subcontracting Program  
Defense Contract Management Agency  
DCMA Small Business Center/DCMA-ASQSCC  
1523 Central Road  
Arlington Heights, IL 60005

Dear Ms. Stephens:

[REDACTED]  
[REDACTED]  
[REDACTED] We look forward to working with you to answer any additional questions you may have regarding this important component of our plan.

Thank you in advance for your consideration of Sikorsky's response. Please do not hesitate to contact me at (b) (6) should you have any questions or concerns.

Sincerely,

Martha L. Crawford  
Small Business Liaison Officer

© 2006 The Authors

[illegible]

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© 2006 The Authors

(b) (4)

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[REDACTED]

(b) (4)

[Redacted text block]

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[Redacted text block]

(b) (4)

[Redacted text block]

[Redacted text block]

[Redacted text block]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]



# DEFENSE CONTRACT MANAGEMENT AGENCY

3901 A AVENUE, BUILDING 10500  
FORT LEE, VA 23801-1809

May 1, 2016

Mr. Daniel Schultz  
President  
Sikorsky, A Lockheed Martin Company  
6900 Main Street  
Stratford, CT 06614-1378

Dear Mr. Schultz:

Congratulations. The results of your Small Business Subcontracting Program review performed on February 23, through February 26, 2016 in accordance with Federal Acquisition Regulations (FAR) 19.706 resulted in a final rating of Exceptional.

The enclosed DCMA Small Business Subcontracting Program Compliance report (DCMA 640 Form) provides complete details of the review..

If you have questions or concerns, my point of contact is Micole Stephens, who can be reached at (b) (6) or via email (b) (6)

EVELYN-  
BELLAMY.TATIA.M.12285776  
65

Tatia M. Evelyn-Bellamy  
Director, Small Business Programs Division  
DCMA Small Business Center

Digitally signed by EVELYN-  
BELLAMY.TATIA.M.1228577665  
DN: c=US, o=U.S. Government, ou=DoD, ou=PKI,  
ou=DCMA, cn=EVELYN-BELLAMY.TATIA.M.1228577665  
Date: 2016.05.05 15:20:20 -0400

Enclosures:  
DCMA Compliance Review Form

cc: Martha Crawford, SBLO  
Sandy Liu, SBA  
Kim Gaskins, DACO  
Dr. Jim Galvin, OSBP  
Janice Buffler, OSBP  
Mark S. Teskey, Air Force  
Norman Willis, Air Force  
Jean Smith, Air Force  
Lee Rosenberg, MDA  
Jerrold Sullivan, MDA  
Laura Anderson, MDA  
Kenneth Carkhuff, Navy  
Emily Harman, Navy  
Brad Taylor, Navy  
Pamela Monroe, Army

[REDACTED]  
Sikorsky  
6900 Main Street Stratford, CT 06615-9129 Mailstop S127G  
Telephone +1 203•386•3241 Mobile +1 203•873•9038



**Q1 SUBMISSION**  
**SIKORSKY AIRCRAFT CORPORATION**  
6900 Main Street  
P.O. Box 9729  
Stratford, CT 06615-9129  
CAGE CODES: 78286, 6Y878  
DUNS Numbers: 835551474, 107254062

**FOR FISCAL YEAR 2018**

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**LMC0001690**

**Sikorsky Aircraft Corporation**  
**Q1 Progress Report**  
**For Fiscal Year 2018**

[REDACTED] .....3

[REDACTED] .....4

[REDACTED] .....7

[REDACTED] .....8

[REDACTED] .....9

[REDACTED] .....10

[REDACTED] .....10

[REDACTED]

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**Sikorsky Aircraft Corporation**  
**Q1 Progress Report**  
**For Fiscal Year 2018**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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**Sikorsky Aircraft Corporation**  
**Q1 Progress Report**  
**For Fiscal Year 2018**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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**Sikorsky Aircraft Corporation**  
**Q1 Progress Report**  
**For Fiscal Year 2018**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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**This document does not contain export controlled technical data.**

**Sikorsky Aircraft Corporation  
Q1 Progress Report  
For Fiscal Year 2018**

(b) (4)



Sikorsky Aircraft Corporation is pleased to be a participant in the Comprehensive Small Business Subcontracting Plan Test Program.

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**Sikorsky Aircraft Corporation**  
**Q1 Progress Report**  
**For Fiscal Year 2018**



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Sikorsky  
6900 Main Street Stratford, CT 06615-9129 Mailstop S127G  
Telephone +1 203•386•3241 Mobile +1 203•873•9038



**SUPPLEMENTAL eSRS Q1 SUPPLEMENTAL SUBMISSION  
SIKORSKY AIRCRAFT CORPORATION**

**6900 Main Street**

**P.O. Box 9729**

**Stratford, CT 066615-9129**

**CAGE CODES: 78286, 6Y878**

**DUNS Numbers: 835551474, 107254062**

**FOR FISCAL YEAR 2017**

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**LMC0001720**

Sikorsky Aircraft Corporation  
Supplemental eSRS Q1Submission  
For Fiscal Year 2017

[REDACTED] .....3

[REDACTED] .....4

[REDACTED] .....6

[REDACTED] .....6

[REDACTED] .....7

[REDACTED] .....8

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**Sikorsky Aircraft Corporation  
Supplemental eSRS Q1Submission  
For Fiscal Year 2017**

[REDACTED]

[REDACTED]  
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**Sikorsky Aircraft Corporation  
Supplemental eSRS Q1Submission  
For Fiscal Year 2017**

[REDACTED]

[REDACTED]  
[REDACTED]

[REDACTED]

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[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]

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[REDACTED]  
[REDACTED]  
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[REDACTED]  
[REDACTED]  
[REDACTED]

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1. *Journal of the American Medical Association*, 2000; 283: 2689-2696.

[illegible]

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**Sikorsky Aircraft Corporation  
Supplemental eSRS Q1Submission  
For Fiscal Year 2017**

[REDACTED]

[REDACTED]

[REDACTED]

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**Sikorsky Aircraft Corporation  
Supplemental eSRS Q1Submission  
For Fiscal Year 2017**

[REDACTED]

[REDACTED]

[REDACTED]

Sikorsky Aircraft Corporation is pleased to be a participant in the Comprehensive Small Business Subcontracting Plan Test Program. [REDACTED]

[REDACTED]

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**COMPREHENSIVE SUBCONTRACTING TEST PROGRAM  
FISCAL YEAR 2018 PLAN AGREEMENT  
EFFECTIVE OCTOBER 1, 2017 THROUGH SEPTEMBER 30, 2018**

**BETWEEN**

**DEFENSE CONTACT MANAGEMENT AGENCY**

**AND**

---

***Sikorsky, a Lockheed Martin Company***

---

Government Official (s)

Tatia M. Evelyn-Bellamy  
Director, Small Business Office  
Small Business Compliance Ctr  
Small Business Ombudsman  
Defense Contract Management Agency

CSP Participant Official (s)\*

(b) (6)

Martha L. Crawford  
SBLO/Manager, Supplier Diversity  
Sikorsky

(b) (6)

Michael Giocca  
Vice President, Supply Chain  
Management  
Sikorsky

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LMC0001640

MSJ002826

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

\*Additional CSP Participant Official (s)\*Signature:  
Space (if Needed)



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Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

**SUMMARY OF FISCAL YEAR 2018 PLAN FOR** (Sikorsky, a Lockheed Martin Company)

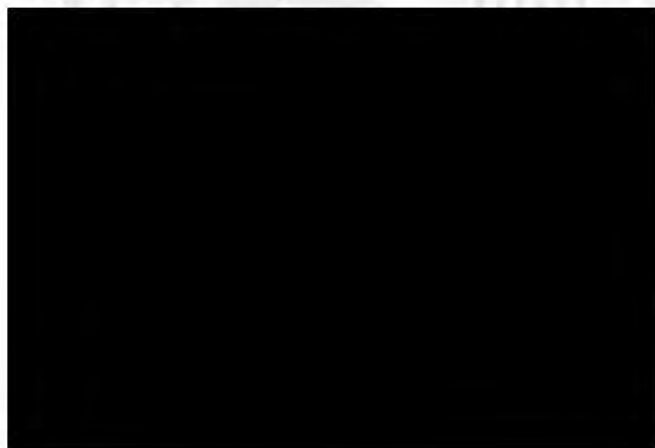
- Listing of all CAGE Codes and DUNS number(s) covered by this GFY 2018 Plan.

78286            835551474

- List of Prime Contract (Provided with Proposed Plan on Attachment A)

- [REDACTED]  
(b) (4) [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

GFY 2018 Goals Summary:



**Additional Space if Needed**

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

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Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

### 1. Introduction

Sikorsky Aircraft Corporation (Sikorsky) is pleased to be a division plan participant in the Test Program for Negotiation of Comprehensive Small Business Subcontracting (Test Program). Sikorsky is a Lockheed Martin company but remains a separate legal entity covered under its own Test Program Subcontracting Plan (the "Plan").<sup>1</sup> This Plan has been prepared pursuant to the requirements of Section 834 of Public Law 101-189, the National Defense Act for Fiscal Years 1990 and 1991 as extended by Section 7203 of the Federal Acquisition Streamline Act (FASA) and the Department of Defense "Test Program for Negotiation of Comprehensive Small Business Subcontracting Plans." The Plan is further prepared in compliance with the requirements established in Public Law 95-507, Amendments to the Small Business Investment Act of 1978, with Public Law 100-656, Business Opportunity Development Reform Act of 1988, Contract Goals for Small Disadvantaged Businesses and Certain Institutions of Higher Education. The Plan is also designed in accordance with applicable parts of the Federal Acquisition Regulations, FAR Sub Part 19.7, "The Small Business Subcontracting Program;" and the Defense Federal Acquisition Regulations Supplement (DFARS), DFARS 252.219-7004, Small Business Subcontracting Plan (Test Program).

[REDACTED]

[REDACTED]

[REDACTED]

### 2. Background

Sikorsky is a world leader in the design, manufacture and service of military and commercial helicopters, spare parts and maintenance, repair and overhaul services, and civil helicopter operations.

Sikorsky's helicopters are used by all branches of the United States Armed Forces, along with military services and commercial operators in 40 nations. Core U.S. military production programs are based on the Sikorsky H-60 aircraft: the BLACK HAWK helicopter for the U.S.

[REDACTED]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

Army and SEAHAWK® helicopter for the U.S. Navy. Derivatives of the H-60 aircraft perform multiple missions with other branches of the U.S. military, as well as other Governments via Foreign Military Sales (FMS). The CH-53E helicopter and MH-53E helicopter heavy-lift aircraft are flown by the U.S. Navy and Marine Corps to transport personnel and equipment, and in anti-mine warfare missions. Sikorsky is currently developing the CH-53K helicopter for the U.S. Marine Corps. Sikorsky is also developing the Combat Rescue Helicopter, HH-60W, for the U.S. Air Force, as well as the VH-92A Presidential helicopter for the U.S. Marine Corps. The major programs that will contribute to Sikorsky's Fiscal Year 2018 plan include:

- [REDACTED]
- [REDACTED]
- [REDACTED]

As indicated previously, this Plan covers one entity which performs contracts in various locations, including Connecticut, Florida, and Alabama. There are approximately 225 Supply Management personnel engaged in the procurement of goods and services. Sikorsky's SBLO is Martha Crawford, and she can be reached by phone at (b) (6) or e-mail (b) (6)

### 3. Policy

In furtherance of the U.S. Government's policy to facilitate the participation of Small Businesses in government contracting, it is Sikorsky's policy to afford SBs, including ANCs and Indian Tribes, as well as SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs, the maximum practicable opportunity to compete for the goods and services required by Sikorsky in the performance of its contracts with the U.S. Government. This plan covers only contracts that are issued by DoD.

### 4. Implementation

Implementation of the foregoing policy is effectuated through Sikorsky's Supply Management procedures, Sikorsky's Small Business Liaison Officer's Handbook and management direction. All changes to the procedures require documented approval by the individual who holds the position of Manager, Supply Management Compliance. The procedures are reviewed and modified as necessary to remain in compliance with applicable public laws and regulatory requirements.

### 5. Small Business Status

Sikorsky requires that subcontractors provide annual verification of their socioeconomic status as an SDB, SB, WOSB, VOSB, SDVOSB or HUBZone. This verification is included on Sikorsky Aircraft Form SAI048 Supplier Annual Certifications and Representations<sup>2</sup>. Sikorsky provides

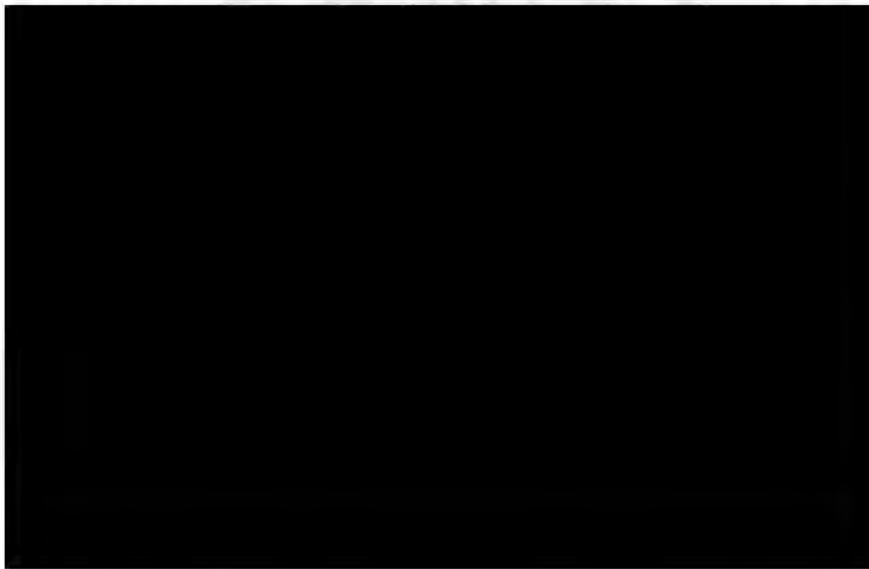
<sup>2</sup> [REDACTED]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

notice to subcontractors, similar to that found in the solicitation provision of FAR 52.219-1, concerning penalties for misrepresenting one's status as an SB and/or SDB for the purpose of obtaining subcontracts. Pursuant to Public Law 111-240 September 27, 2010 (the Small Business Jobs Act of 2010), Sikorsky will submit SSR reports through the use of eSRS with the understanding that the DCMA Program Manager, Comprehensive Subcontract Program Division, will review and acknowledge the report.

**6. Sikorsky Aircraft Corporation Goals**

The following is a summary of our goals for the Government Fiscal Year (GFY) 2018 Plan.



**7. Principle Types of Supplies and Services to be subcontracted**

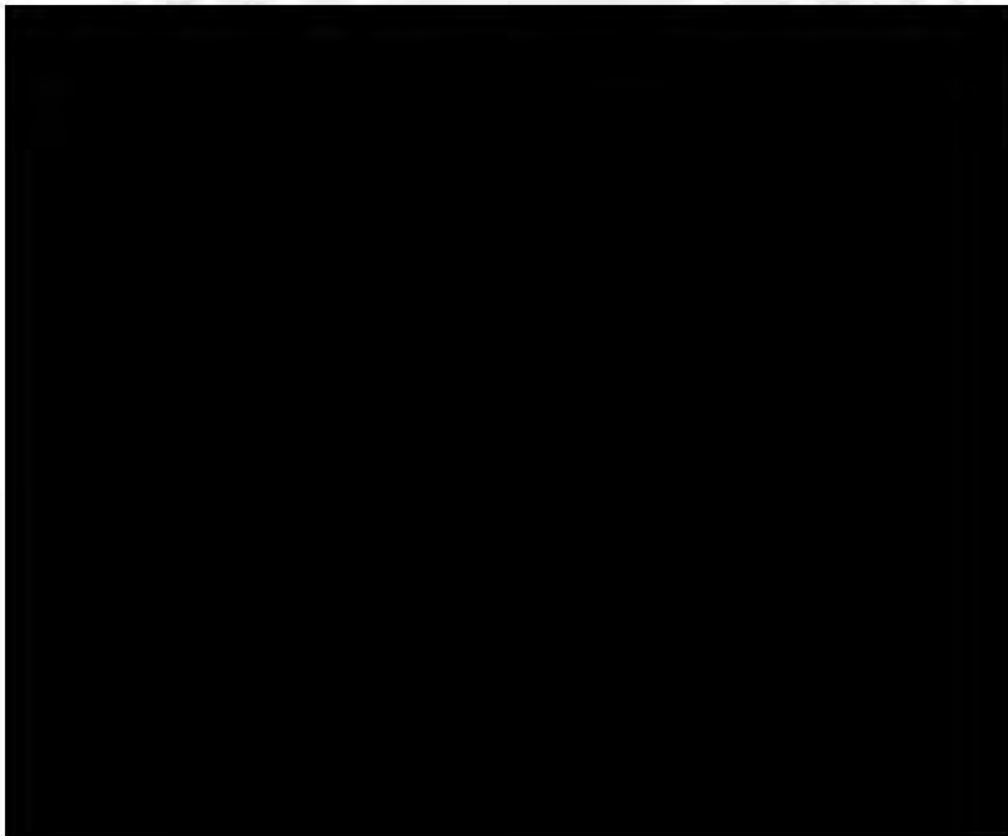
Definitions: In this plan, the term 'covered small business concern' includes each of the following:

1. A small business concern, as that term is defined under section 3(a) of the Small Business Act (15 U.S.C. 632 (a)).
2. A small business concern owned and controlled by veterans, as that term is defined in section 3(q)(3) of such Act (15 U.S.C. 632 (q)(2)).

Sikorsky, a Lockheed Martin Company  
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3. A small business concern owned and controlled by service-disabled veterans, as that term is defined in section 3 (q)(2) of such Act (15 U.S.C. 632(q)(2)).
4. A qualified HUBZone small business concern, as that term is defined under section 3(p)(5) of such Act (15 U.S.C. 632(p)(5)).
5. A small business concern owned and controlled by socially and economically disadvantaged individuals, as that term is defined in section 8(d)(3)( C ) of such ACT (15 U.S.C. 637(d)(3)( C )).
6. A small business concern owned and controlled by women, as that term is defined under section 3(n) of such Act (15 U.S.C. 632(n)).

As a large defense contractor, Sikorsky awards subcontracts for a wide variety of goods and services. The principal products and services with the potential for subcontracting in GFY 2018 with SB concerns (including ANCs and Indian tribes), SDB (including ANCs and Indian tribes), WOSB, HUBZone, VOSB, and SDVOSB, include, but are not limited to, the commodities indicated in the following table.



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Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

[REDACTED]

[REDACTED]

[REDACTED] (b) (4)

**9. Identification and Development of Potential Sources**

[REDACTED]

**10. Allocation Rate Explanation**

(b) (4)  
[REDACTED]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
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(b) (4)

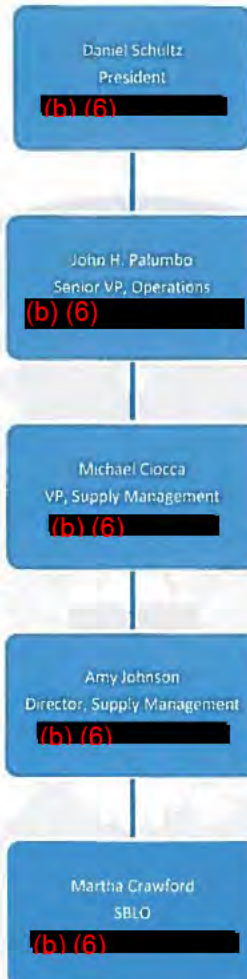
**11. Indirect Spend**

(b) (4)

(b) (4)

**12. Administration of the Plan**

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018



Small Business Liaison Officer  
Martha Crawford  
6900 Main Street  
P.O. Box 9729  
Stratford, CT 06615-9129  
Phone: (b) (6)

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For Fiscal Year 2018

The Small Business Liaison Officer has primary responsibility for administering the Comprehensive Subcontracting Plan. The SBLO's responsibilities include:

[illegible]

[illegible]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

[REDACTED]

**13. Equitable subcontracting**

[REDACTED]

**14. Records**

[REDACTED]

3 [REDACTED]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

- d) [REDACTED]
- [REDACTED]

**15. Subcontract Flow down Provisions**

[REDACTED]

[REDACTED]

**16. Submission of Required Reports**

[REDACTED]

[REDACTED]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

[illegible]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

[REDACTED]

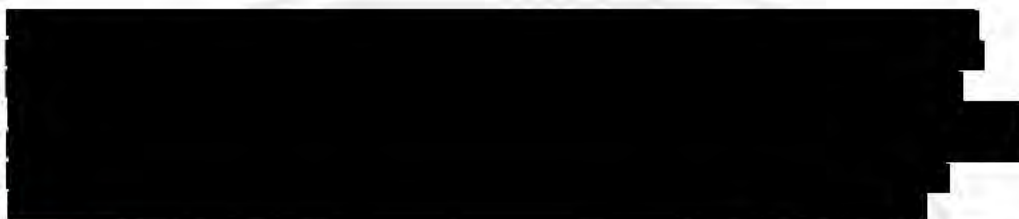
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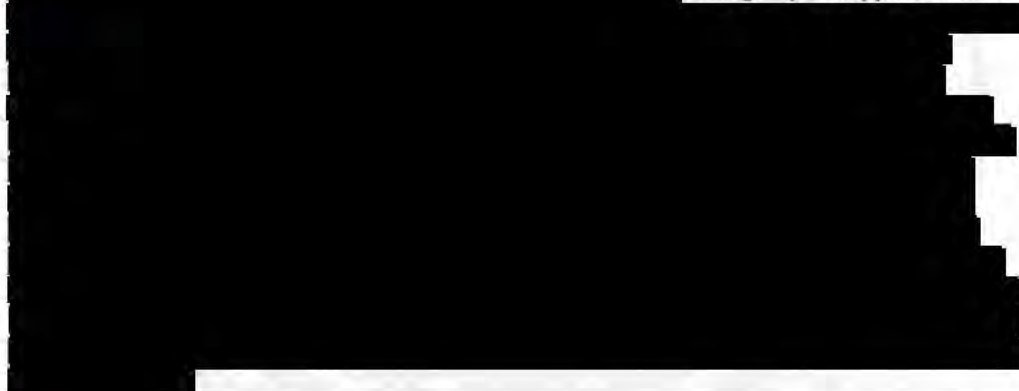
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Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018



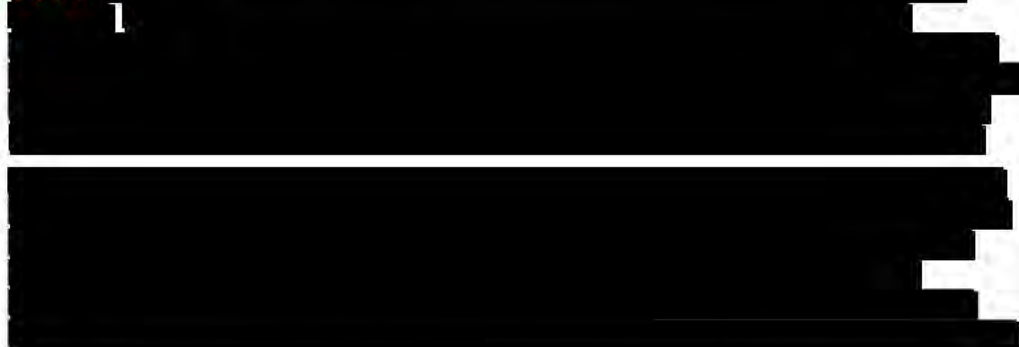
(b) (4)

The group of suppliers within



(b) (4)

1



Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

[REDACTED]

[REDACTED]

**Initiatives**

(b) (4) [REDACTED]

[REDACTED]

[REDACTED]

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

(b) (4)



Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

[REDACTED]

- (b) (4) [REDACTED]
  - [REDACTED]
  - [REDACTED]
  - (b) (4) [REDACTED]
  - (b) (4) [REDACTED]
- [REDACTED]
  - [REDACTED]
  - [REDACTED]
  - [REDACTED]
- [REDACTED]
  - [REDACTED]
  - [REDACTED]
  - [REDACTED]
- [REDACTED]
  - [REDACTED]
  - [REDACTED]
  - [REDACTED]
  - [REDACTED]
  - [REDACTED]

- [illegible]

[illegible]

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\_\_\_\_\_

\_\_\_\_\_

Sikorsky, a Lockheed Martin Company  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2018

[REDACTED]

**23. Good Faith Effort and Completion of the Test Program**

Failure to make a good faith effort to comply with a comprehensive subcontracting plan –

- (1) A contractor that has negotiated a comprehensive subcontracting plan under the test program shall be subject to section 8(d)(4)(F) of the Small Business Act (15 U.S.C. 637(d)(4)(F)) regarding the assessment of liquidated damages for failure to make a good faith effort to comply with its comprehensive subcontracting plan and the goals specified in that plan. In addition, any such failure shall be a factor considered as part of the evaluation of past performance of an offeror.
- (2) Effective in fiscal year 2016 and each fiscal year thereafter in which the test program is in effect, the Secretary of Defense may not negotiate a comprehensive subcontracting plan for a fiscal year with any contractor with which such a plan was negotiated in the prior fiscal year if the Secretary determines that the contractor did not meet the subcontracting goals negotiated in the plan for the prior fiscal year.

The test program authorized by subsection (a) shall begin on October 1, 1990, unless Congress adopts a resolution disapproving the test program. The test program shall terminate on December 31, 2027.

[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

**COMPREHENSIVE SMALL BUSINESS SUBCONTRACTING PLAN  
SIKORSKY AIRCRAFT CORPORATION  
6900 Main Street  
P.O. Box 9729  
Stratford, CT 06615-9129  
CAGE CODE: 78286 and 6Y878  
DUNS Number: 835551474 and 107254062**

**THE EFFECTIVE DATE OF THIS PLAN IS:  
OCTOBER 1, 2015 THROUGH SEPTEMBER 30, 2016**

Prepared by: \_\_\_\_\_

Date: \_\_\_\_\_

Martha Crawford  
SBLO/Manager, Supplier Diversity

Approved by: \_\_\_\_\_

Date: \_\_\_\_\_

Robert F. Leduc  
President

This plan has been prepared in compliance with the requirements of Federal Acquisition Regulation (FAR) Subpart 19.7 and FAR 52-219-9, as well as the Defense Federal Acquisition Regulation Supplement (DFARS) Subpart 219.7 and DFARS 252.219-7004. This plan is applicable to all Department of Defense prime contracts or subcontracts entered into by the Sikorsky Aircraft Corporation entities listed herein.

The signature of the following authorized cognizant government representative evidences approval of this Plan

The information contained in this letter document and all attachments is considered confidential commercial or financial information. The disclosure of this information would cause competitive harm to Sikorsky Aircraft Corporation and its affiliates, and is thus protected under 5 U.S.C § 552(b) (4) and 18 U.S.C. § 1905. Should the Government receive any request under the Freedom of Information Act or decide to otherwise make the information contained in this document and all attachments publicly available, please advise us before taking any such action

**This page contains no technical data subject to the EAR or the ITAR.**

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

Approval of this Plan by DCMA:

Charles E. Sharp Acting Assistant Director, Comprehensive Subcontracting Plan Group Defense Contract Management Agency	Date
--	------

Tatia M. Bellamy Director, Small Business Division and Center Defense Contract Management Agency	Date
--	------

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Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

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**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

**Introduction**

Sikorsky Aircraft Corporation (Sikorsky) is pleased to participate in the Test Program for Negotiation of Comprehensive Small Business Subcontracting (Test Program). [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]

**2. Background**

Sikorsky, a subsidiary of United Technologies Corporation (UTC), is a world leader in the design, manufacture and service of military and commercial helicopters; spare parts and maintenance, repair and overhaul services for helicopters and fixed-wing aircraft; and civil helicopter operations.

Sikorsky's helicopters are used by all branches of the United States Armed Forces, along with military services and commercial operators in 40 nations. Core U.S. military production programs are based on the Sikorsky H-60 aircraft: the BLACK HAWK helicopter for the U.S. Army and SEAHAWK® helicopter for the U.S. Navy. Derivatives of the H-60 aircraft perform multiple missions with other branches of the U.S. military, as well as other Governments via Foreign Military Sales (FMS). The CH-53E helicopter and MH-53E helicopter heavy-lift aircraft are flown by the U.S. Navy and Marine Corps to transport personnel and equipment, and in anti-mine warfare missions. Sikorsky is currently developing the next generation CH-53K helicopter for the U.S. Marines. The major programs that will contribute to Sikorsky's Fiscal Year 2016 plan include:

- [REDACTED]
- [REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

- [REDACTED]

As indicated previously, this Plan covers these two entities which perform contracts in various locations, including Connecticut, Florida, Alabama, Texas and New York. There are approximately 225 Supply Management personnel engaged in the procurement of goods and services. Sikorsky's SBLO is Martha Crawford, and she can be reached by phone at (b) (6) [REDACTED] or e-mail (b) (6) [REDACTED]

### **3. Policy**

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### **4. Implementation**

Implementation of the foregoing is contained within Sikorsky's Supply Management procedures as well as management memoranda and Sikorsky's Small Business Liaison Officer's Handbook. All changes to the procedures require documented approval by the individual who holds the position of Manager, Supply Management Compliance. The procedures are reviewed and modified as necessary to remain in compliance with applicable public laws and regulatory requirements.

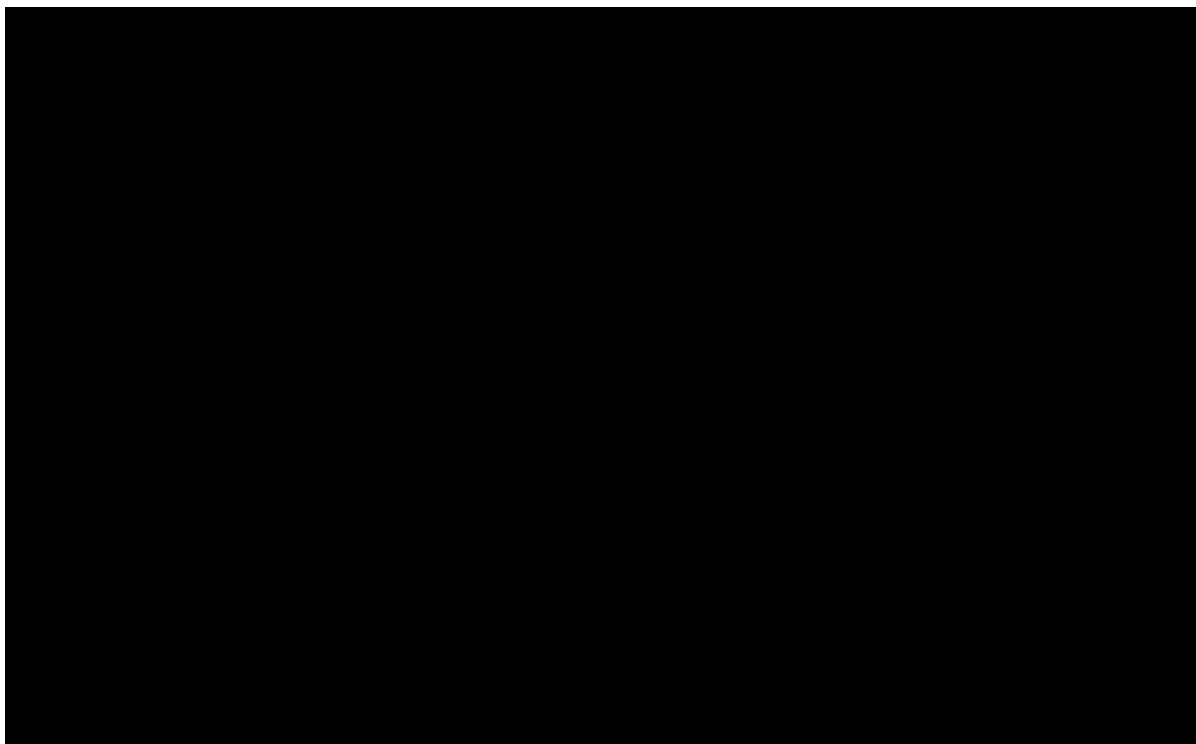
### **5. Small and Small Disadvantaged Business Status**

Sikorsky requires that subcontractors provide annual verification of their socioeconomic status as an SDB, SB, WOSB, VOSB, SDVOSB or HUBZone. This verification is included on Sikorsky Aircraft Form SA1048 Supplier Annual Certifications and Representations. Sikorsky provides notice to subcontractors, similar to that found in the solicitation provision of FAR 52.219-1, concerning penalties for misrepresenting one's status as an SB and/or SDB for the purpose of obtaining subcontracts. Pursuant to Public Law 111-240 September 27, 2010 (the Small Business Jobs Act of 2010), Sikorsky will submit SSR reports through the use of eSRS with the understanding that the DCMA Program Manager, Comprehensive Subcontract Program Division, will review and acknowledge the report.

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

**6. Sikorsky Aircraft Corporation Goals**

The following is a summary of our submission (and goals) for Sikorsky Small Business concerns for the 2016 Comprehensive Subcontracting Plan. These are Small Disadvantaged Business (SDB), Woman Owned Small Business (WOSB), Historically Underutilized Business Zone Small Business (HUB), Veteran Owned Small Business (VOSB) and Service Disabled Veteran Owned Small Business (SDVOSB).



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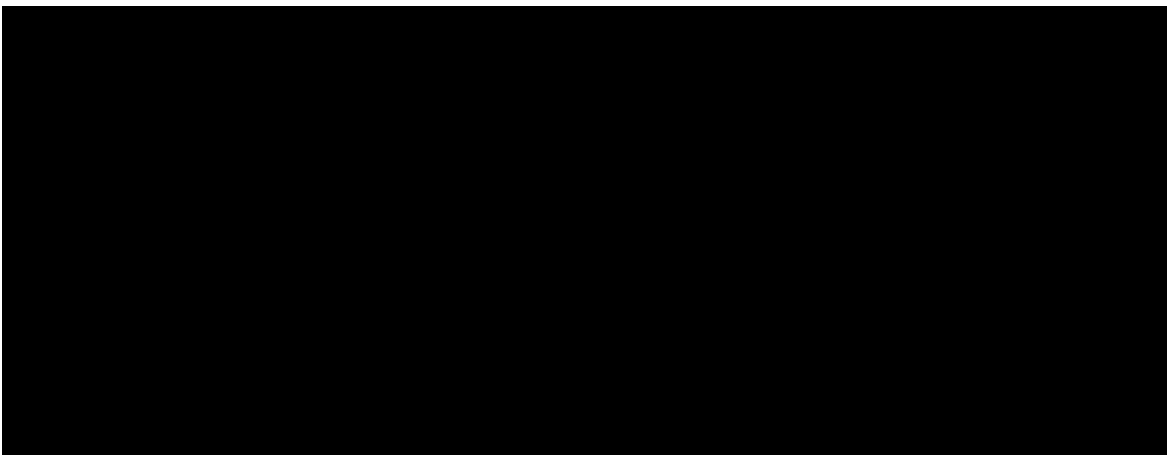
**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

(b) (4)



**7. Principle Types of Supplies and Services to subcontracted**

As a large defense contractor, Sikorsky awards subcontracts for a wide variety of goods and services. The principal products and services with the potential for subcontracting in FY 2016 with SB (including ANCs and Indian tribes), SDB (including ANCs and Indian tribes), WOSB, HUBZone, VOSB, and SDVOSB, include, but are not limited to, the commodities indicated in the following table.



**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]

**9. Identification and Development of Potential Sources**

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

[REDACTED]

**10. Allocation Rate Explanation**

(b) (4) [REDACTED]

[REDACTED]

**11. Indirect Subcontracting**

(b) (4) [REDACTED]

[REDACTED]

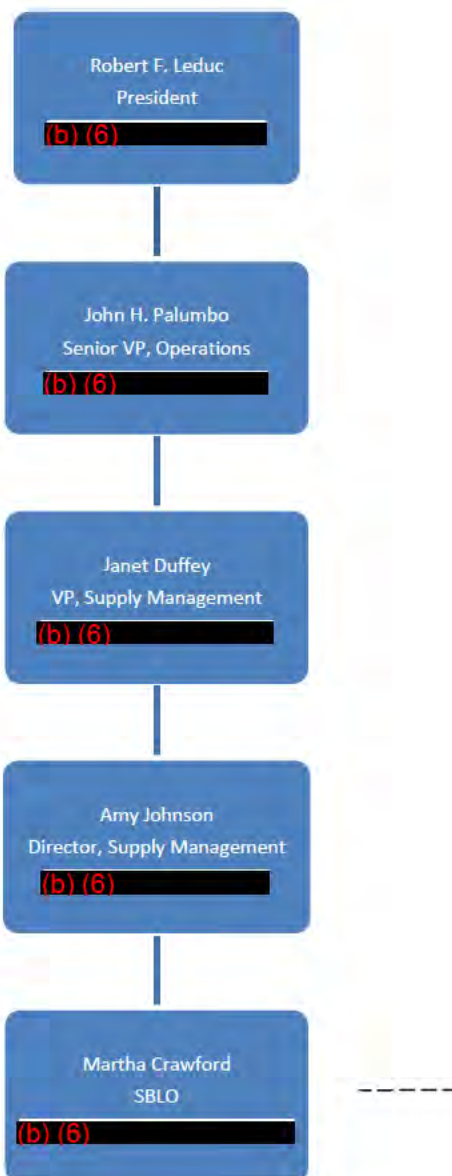
[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

**12. Administration of the Plan**

[REDACTED]

**Sikorsky Aircraft Corporation**  
**Comprehensive Small Business Subcontracting Plan**  
**For Fiscal Year 2016**



\_\_\_\_\_

a) [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

b) [REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]  
[REDACTED]

c) [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

d) [REDACTED]  
[REDACTED]  
[REDACTED]

e) [REDACTED]  
[REDACTED]  
[REDACTED]

LMC0001675  
MSJ002861

[illegible]

[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

**14. Records**

[REDACTED]

[REDACTED]

[REDACTED]

- [REDACTED]  
[REDACTED]  
[REDACTED]
- [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]
- [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**15. Subcontract Flow down Provisions**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] (b) (4)

[REDACTED]

**[REDACTED] INITIATIVES**

(b) (4)

[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

(b) (4)



**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**



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**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**23. Completion of the Test Program**

[REDACTED]

[REDACTED]

[REDACTED]

DEFENSE CONTACT MANAGEMENT AGENCY

**SIKORSKY AIRCRAFT CORPORATION**

MSJ002871

**SUMMARY OF FISCAL YEAR 2016 PLAN FOR**

Sikorsky Aircraft Corporation

Small Business Professional: Micole Stephens

Completion Date: October 6, 2015

- Provide the listing of all CAGE Codes and DUNS number(s) covered by this FY 16 Plan.

Cage	DUNS
78286	835551474
6Y878	107254062

- List of Prime Contract Provided with Proposed Plan on August 28, 2015.  
List of contracts was provided with FY16 CSP submittal
- List ONLY Target Industries and Initiatives

Initiatives (See Pages 19-20 of the FY16 Sikorsky CSP):

(b) (4)

Target Industry Categories (See Page 18 of the FY16 Sikorsky CSP):

(b) (4)

FY 16 Goals Summary:


Additional Space if Needed

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Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

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**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

**1. Introduction**

Sikorsky Aircraft Corporation (Sikorsky) is pleased to participate in the Test Program for Negotiation of Comprehensive Small Business Subcontracting (Test Program). This plan has been prepared pursuant to the requirements of Section 834 of Public Law 101-189, the National Defense Act for Fiscal Years 1990 and 1991 as extended by Section 7203 of the Federal Acquisition Streamline Act (FASA) and the Department of Defense "Test Program for Negotiation of Comprehensive Small Business Subcontracting Plans". The Plan is further prepared in compliance with the requirements established in Public Law 95-507, Amendments to the Small Business Investment Act of 1978, with Public Law 100-656, Business Opportunity Development Reform Act of 1988, Contract Goals for Small Disadvantaged Businesses and Certain Institutions of Higher Education. The Plan is also designed in accordance with applicable parts of the Federal Acquisition Regulations, FAR Sub Part 19.7, "The Small Business Subcontracting Program"; and the Defense Federal Acquisition Regulations Supplement (DFARS), DFARS 252.219-7004, Small Business Subcontracting Plan (Test Program).

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**2. Background**

Sikorsky, a subsidiary of United Technologies Corporation (UTC), is a world leader in the design, manufacture and service of military and commercial helicopters; spare parts and maintenance, repair and overhaul services for helicopters and fixed-wing aircraft; and civil helicopter operations.

**Sikorsky Aircraft Corporation  
Comprehensive Small Business Subcontracting Plan  
For Fiscal Year 2016**

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- [REDACTED]
- [REDACTED]
- [REDACTED]

As indicated previously, this Plan covers these two entities which perform contracts in various locations, including Connecticut, Florida, Alabama, and Texas. There are approximately 225 Supply Management personnel engaged in the procurement of goods and services. Sikorsky's SBLO is Martha Crawford, and she can be reached by phone at (b) (6) or e-mail (b) (6).

### **3. Policy**

In furtherance of the U.S. Government's policy to facilitate the participation of Small Businesses in government contracting, it is Sikorsky's policy to afford SBs, including ANCs and Indian Tribes, as well as SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs, the maximum practicable opportunity to compete for the goods and services required by Sikorsky in the performance of its contracts with the U.S. Government. This plan covers only contracts that are issued by DoD.

### **4. Implementation**

Implementation of the foregoing is contained within Sikorsky's Supply Management procedures as well as management memoranda and Sikorsky's Small Business Liaison Officer's Handbook. All changes to the procedures require documented approval by the individual who holds the position of Manager, Supply Management Compliance. The procedures are reviewed and modified as necessary to remain in compliance with applicable public laws and regulatory requirements.

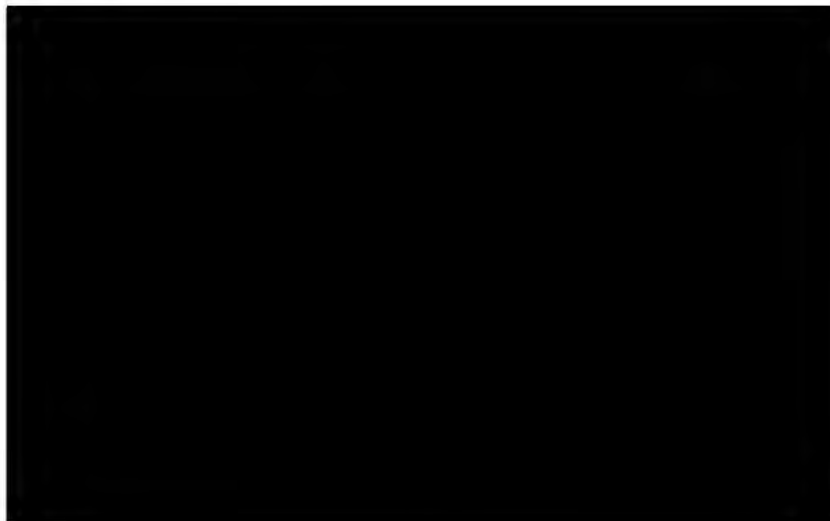
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**5. Small Business Status**

Sikorsky requires that subcontractors provide annual verification of their socioeconomic status as an SDB, SB, WOSB, VOSB, SDVOSB or HUBZone. This verification is included on Sikorsky Aircraft Form SA1048 Supplier Annual Certifications and Representations. Sikorsky provides notice to subcontractors, similar to that found in the solicitation provision of FAR 52.219-1, concerning penalties for misrepresenting one's status as an SB and/or SDB for the purpose of obtaining subcontracts. Pursuant to Public Law 111-240 September 27, 2010 (the Small Business Jobs Act of 2010), Sikorsky will submit SSR reports through the use of eSRS with the understanding that the DCMA Program Manager, Comprehensive Subcontract Program Division, will review and acknowledge the report.

**6. Sikorsky Aircraft Corporation Goals**

The following is a summary of our submission (and goals) for the 2016 Comprehensive Subcontracting Plan. These are Small Business (SB), Small Disadvantaged Business (SDB), Woman Owned Small Business (WOSB), Historically Underutilized Business Zone Small Business (HUB), Veteran Owned Small Business (VOSB) and Service Disabled Veteran Owned Small Business (SDVOSB).



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**7. Principle Types of Supplies and Services to be subcontracted**

Definitions – In this plan, the term ‘covered small business concern’ includes each of the following:

1. A small business concern, as that term is defined under section 3(a) of the Small Business Act (15 U.S.C. 632 (a)).
2. A small business concern owned and controlled by veterans, as that term is defined in section 3(q)(3) of such Act (15 U.S.C. 632 (q)(2)).
3. A small business concern owned and controlled by service-disabled veterans, as that term is defined in section 3 (q)(2) of such Act (15 U.S.C. 632(q)(2)).
4. A qualified HUBZone small business concern, as that term is defined under section 3(p)(5) of such Act (15 U.S.C. 632(p)(5)).
5. A small business concern owned and controlled by socially and economically disadvantaged individuals, as that term is defined in section 8(d)(3)( C ) of such ACT (15 U.S.C. 637(d)(3)( C )).
6. A small business concern owned and controlled by women, as that term is defined under section 3(n) of such Act (15 U.S.C. 632(n)).

As a large defense contractor, Sikorsky awards subcontracts for a wide variety of goods and services. The principal products and services with the potential for subcontracting in FY 2016 with SB concerns (including ANCs and Indian tribes), SDB (including ANCs and Indian tribes), WOSB, HUBZone, VOSB, and SDVOSB, include, but are not limited to, the commodities indicated in the following table.

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

**9. Identification and Development of Potential Sources**

[REDACTED]

[REDACTED]

**10. Allocation Rate Explanation**

(b) (4) [REDACTED]

[REDACTED]

**11. Indirect Spend**

(b) (4) [REDACTED]

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(b) (4) [REDACTED]

[REDACTED]

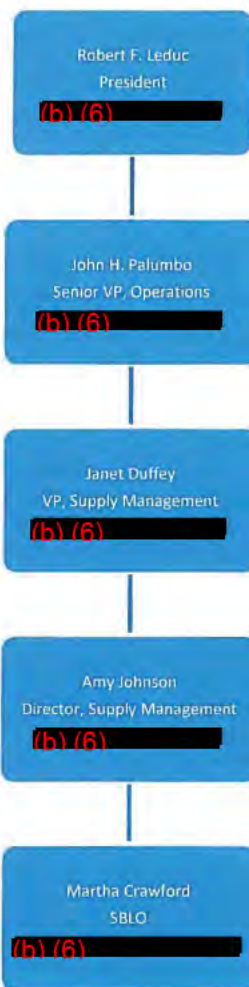
(b) (4) [REDACTED]

[REDACTED]

**12. Administration of the Plan**

[REDACTED]

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Small Business Liaison Officer  
Martha Crawford  
6900 Main Street  
P.O. Box 9729  
Stratford, CT 06615-9129  
Phone: (b) (6)

The Small Business Liaison Officer has primary responsibility for administering the Comprehensive Subcontracting Plan. The SBLO's responsibilities include:

- a) [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]



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- q) [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

**13. Equitable subcontracting**

[REDACTED]

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## 14. Records

[illegible]

### 15. Subcontract Flow down Provisions

[REDACTED]

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[REDACTED]

[REDACTED]

**16. Submission of Required Reports**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

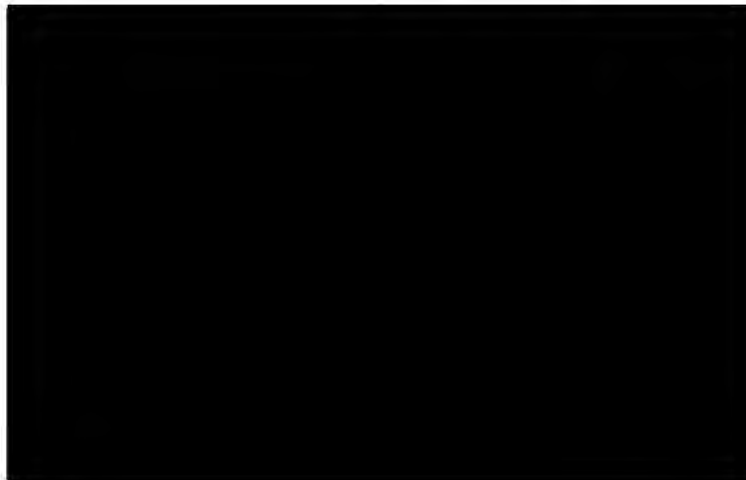
[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**[REDACTED] Initiatives**

(b) (4) [REDACTED]

[REDACTED]

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(b) (4)



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(b) (4) [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

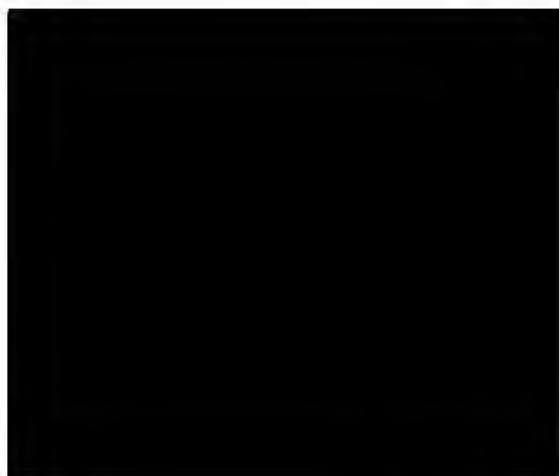
[REDACTED]

[REDACTED]

[REDACTED]

(b) (4) [REDACTED]

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[Redacted]

[Redacted]

[Redacted]

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[Redacted]

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- 2) [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

**23. Good Faith Effort and Completion of the Test Program**

Failure to make a good faith effort to comply with a comprehensive subcontracting plan –

- (1) A contractor that has negotiated a comprehensive subcontracting plan under the test program shall be subject to section 8(d)(4)(F) of the Small Business Act (15 U.S.C. 637(d)(4)(F)) regarding the assessment of liquidated damages for failure to make a good faith effort to comply with its comprehensive subcontracting plan and the goals specified in that plan. In addition, any such failure shall be a factor considered as part of the evaluation of past performance of an offeror.
- (2) Effective in fiscal year 2016 and each fiscal year thereafter in which the test program is in effect, the Secretary of Defense may not negotiate a comprehensive subcontracting plan for a fiscal year with any contractor with which such a plan was negotiated in the prior fiscal year if the Secretary determines that the contractor did not meet the subcontracting goals negotiated in the plan for the prior fiscal year.

The test program authorized by subsection (a) shall begin on October 1, 1990, unless Congress adopts a resolution disapproving the test program. The test program shall terminate on December 31, 2017.

[REDACTED]