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	Creation/Implementation Date: 1-Nov-2016
Doc. type: Standard Operational Procedure (SOP)	Owner: Stephen Sullivan

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## 1. Purpose

Agilent is required to comply with FAR 19.7 and DFARS 219.7, Small Business Subcontracting Program and FAR 52.219-8, Utilization of Small Business.

## 2. Scope, Goal and Objectives

To ensure compliance, Agilent must complete annual recertification for all small business suppliers that are active in the master vendor database.

In addition, all subcontracts with a value over >\$700,000 and awarded to a large business, Agilent must obtain a small business subcontracting plan from the supplier.

Agilent is required to submit an annual Summary Subcontract Report (SSR), and maintain records of each solicitation resulting in an award of >\$150,000.

## 3. Definitions

The Small Business Program team will own the certification validation for new suppliers flagged as SB at the moment of Supplier Addition.

Also the Small Business Program team will conduct the supplier small business renewal certification process, managing the collection and distribution of subcontracting plans, and oversee small business involvement in solicitations leading to contracts over \$150,000.

The renewal process will occur on an annual basis and will be completed prior to submitting the SRS295 report for the current fiscal year.

## 4. Training

Training requirement can be found in the [GS Sourcing Critical Process Matrix](#) and material in the [Global Sourcing Manager Training](#) webpage.

## 5. Responsibilities

**CVA** – Agilent Central Vendor Administrator team who owns the vendor master database maintenance.

**DA** – Global Sourcing Data Analytics team who provides reports for analysis and SB vendor verification.

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**Solicitation** – Any form of communication that leads to a signed agreement.

**Electronic Subcontracting Reporting System (eSRS)** – The Government wide, electronic, web-based system for small business subcontracting program reporting.

**Subcontract** – Any agreement entered into by a Government prime contractor or subcontractor calling for supplies and/or services required for performance of the contract, contract modification, or subcontract.

**Subcontractor** – Any supplier, distributor, vendor, or firm that furnishes supplies or services to or for a prime contractor or another subcontractor.

**Subcontracting Plan**- A plan that covers the offeror’s fiscal year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof.

**Summary Subcontract Report (SSR)** – An annually submitted report (through eSRS) that is based on fiscal year and applies to an entire production of commercial items.

## 6. In Scope

This SB process is applicable to US suppliers designated as a small business supplier within the vendor master.

The process for collecting Subcontracting plans is applicable to suppliers performing in the US on contracts valued at over \$700,000 only.

The process for documenting small business involvement in solicitations is applicable to any solicitations over \$150,000 with performance in the US only.

### 6.1 Small Business categories

**Historically Underutilized Business Zone (HUBZone)** – Small Business, owned & controlled 51% or more by at least one U.S. citizen, AND SBA-certified as a HUBZone concern (principal office located in a designated HUBZone AND at least 35% of employees live in a HUBZone).

**Minority Business Enterprises (MBE)** - Commercial Customers - include businesses, both small and large business concerns, headquartered in the US which have been verified by a recognized, independent third party agency to be at least 51% owned, operated and controlled by a minority individual or group. Minority includes, but is not limited to: Asian Americans, Subcontinent Asian Americans, Black Americans, Hispanic Americans, Native Americans and other groups defined as disadvantaged by the Small Business Administration. Foreign-owned firms operating in the U.S. are not included in these definitions.

**Small business (SB)** – located in U.S., organized for profit, including affiliates is independently owned & operated, not dominant in field of operations in which it is bidding on Government contracts, AND meets Small Business Administration (SBA) size standards included in solicitation.

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The size standard is based upon the North American Industrial Classification System (NAICS) assigned to the specific procurement dependent upon product/service purchased. Self-certify FAR 52.219-9 also includes subcontracts awarded to Alaska Native Corporation (ANC) or Indian tribe, regardless of size or SBA certification status of ANC or Indian tribe. DFARS 252.219-7003 also includes subcontracts awarded to qualified non-profit agencies approved by Committee for Purchase from People Who Are Blind or Severely Disabled, the independent federal agency that administers AbilityOne Program, formerly JWOD (Javits-Wagner-O’Day Act) (41 USC 46-48(c).

**Small Disadvantaged Business (SDB)** – Small Business unconditionally owned & controlled by at least one socially & economically disadvantaged individual who are in good character & citizens of the U.S. Self-certify

**Women Business Enterprises (WBE)** - Commercial Customers - include businesses, both small and large business concerns, headquartered in the US which have been verified by a recognized, independent third party agency to be at least 51% owned, operated and controlled by a woman or women.

**Woman-owned Small Business (WOSB)** – Small Business, at least 51% owned by at least one women, AND management & daily business operations controlled by at least one woman. Self-certify

**Service-Disabled Veteran-Owned Small Business (SD-VOSB)** – Small Business, veteran-owned, at least 51% owned by at least one service-disabled veteran, AND management & daily business operations controlled by at least service-disabled veterans OR in the case of veteran with permanent & severe disability, the spouse or permanent caregiver of such veteran, AND with 0% - 100% service-connected disability as defined in 38 USC 101(16) & documented on DD 214 or equivalent. Self-certify

**Veteran-Owned Small Business (VOSB)** – Small Business, veteran-owned as defined in 38 USC 101(2), at least 51% owned by at least one veteran, AND management & daily business operations controlled by at least one veteran. Self-certify

## 7. Procedure

### 7.1 Small Business New Supplier Add Process

- Suppliers will be identified as a small business through the Supplier Addition process managed by the Central Vendor Administration (CVA) Team.
- Agilent’s Supplier Addition Request Form requires new suppliers to certify their small business status at the time of being added to the vendor master.
- The CVA team will send all information for the new SB suppliers (all indicators) to the SB program team email node at [supplier.diversity@agilent.com](mailto:supplier.diversity@agilent.com).
- The SB program team will validate the certificate provided by the supplier.

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5. If CVA will not receive the certificate, SB program team will validate in SAM.gov or follow up with supplier if no match on database.
6. If SB program team will not be able to obtain the SB certificate from supplier, will request to CVA to uncheck the SB flag from the supplier record in the vendor master.

## 7.2 Small Business Annual Recertification process

1. On the second week of the fiscal year, the DA team will provide to the SB program team the spend report for SB flagged vendors of the previous fiscal year required to complete the annual recertification process.
2. The SB program team will request to CVA to remove SB flag from vendor master for suppliers with no spend in the previous year.
3. For suppliers with spend in the previous year, SB program team will initiate the recertification as per the information contained in the supplier record in the vendor master.
4. The recertification process will leverage the information contained at the US Government website "SAM.gov" (both if Active or Inactive status).
5. Small business suppliers that are not located in SAM.gov will be provided Agilent's Small Business Renewal Form to complete the annual recertification process.
6. All small business supplier details, small business program contact, and small business certifications will be kept in Agilent's Small Business SharePoint.
7. A monthly scorecard will be maintained to keep current progress of recertification status.
8. After follow up, if no response is received from the supplier within 2 weeks (no certificate can be obtained) SB program team, will request to CVA to uncheck the SB flag from the supplier record in the vendor master.
9. Once supplier is recertified, details will be submitted to the CVA team to ensure any changes to the supplier's small business status/category type are updated and aligned in the vendor master.
10. Small business suppliers must be recertified by August 31<sup>st</sup> of each year, else supplier's small business status will be removed from the vendor master.

## 7.3 Small Business Reporting

### 7.3.1 Subcontracts of supplier with spend over \$700,000

1. A list of all suppliers with subcontracts over \$700,000 will be collected by the DA team and sent to the Small Business Liaison Officer (SBLO) on a quarterly basis. Sourcing Managers will also contact the SBLO during solicitation process of a contract expected to exceed \$700,000.
2. The SBLO will contact the Sourcing Manager to ensure compliance.



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3. The SBLO will send a notification email to the supplier alerting them of their requirement to submit a subcontracting plan.
4. If no response is received from the supplier within 2 weeks, a second reminder message will be sent. If within another 2 weeks no response is received, a final reminder is sent.
5. All subcontracting plans received from suppliers will be checked for accuracy and posted to the Small Business SharePoint portal for archiving purposes.

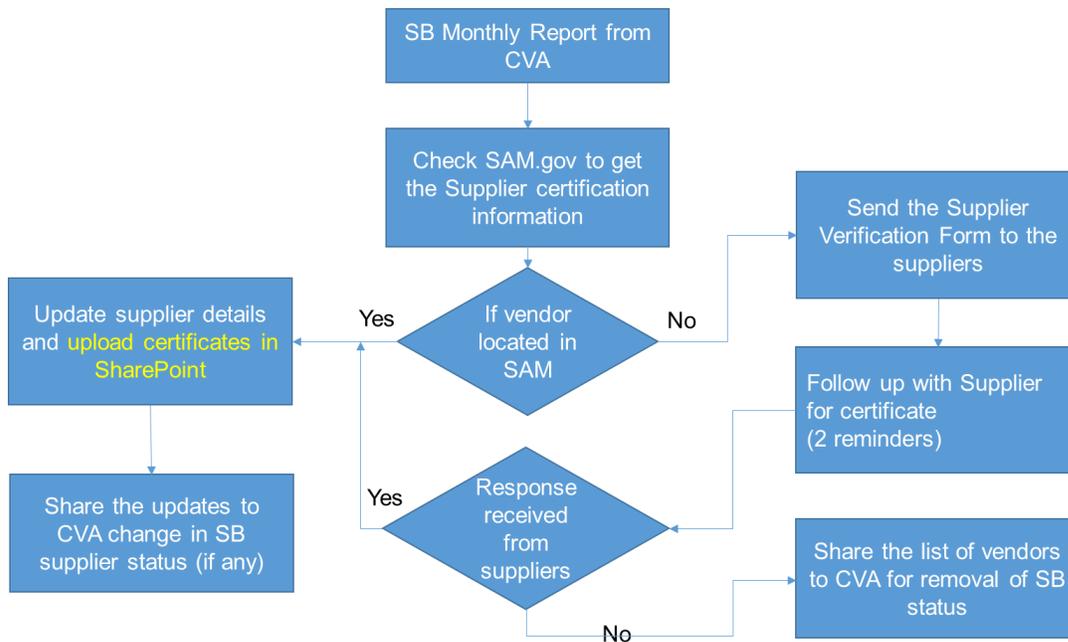
### 7.3.2 Suppliers with spend over \$150,000

1. A list of all solicitations leading to a contract >\$150,000 will be collected by the DA Team and sent to the SBLO on a monthly basis.
2. The SBLO will utilize Quarterly Business Reports (QBR's) and other sourcing managers to collect the small business involvement information.
3. This solicitation report will be posted to the Small Business SharePoint portal for archiving purposes.

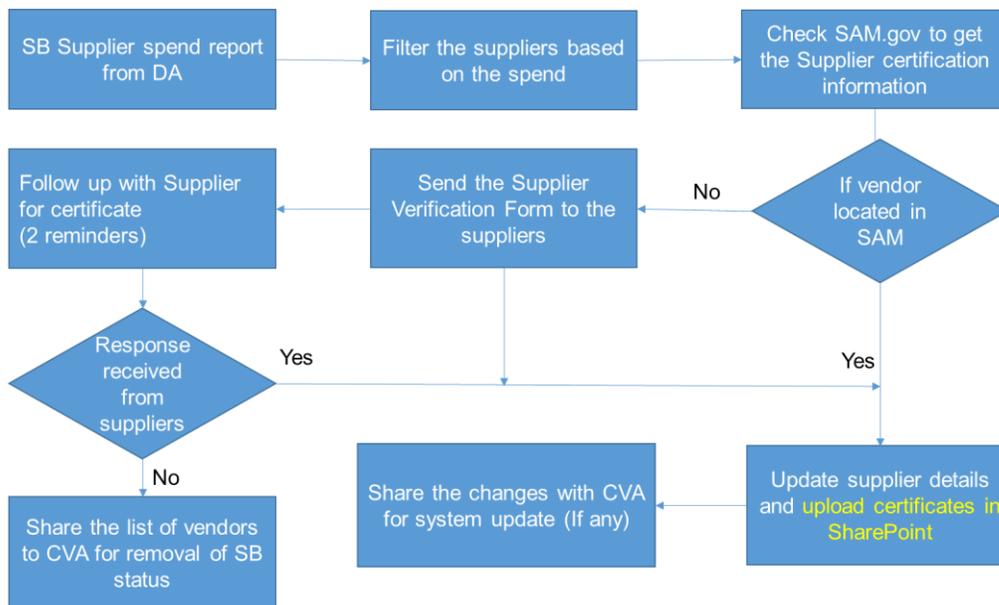
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## 8. Process Flowcharts

### Small Business New Supplier Add Process Flow



### Small Business Annual Recertification Process Flow



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## 9. Related Documents

[2010 SBLO Handbook](#)

## 10. Measurement System Definition

Internal measurements are non-applicable to Agilent Technologies, Inc. for the small business program. Program measurement is accomplished by the United States Government. A summary subcontracting report (SSR) documenting our small business program and subcontracting goal %'s is submitted to the government via [www.esrs.gov](http://www.esrs.gov) and checked for accuracy. The Government also reserves the right to have an audit of Agilent's small business program when submitted the SRS.

## 11. Document Control Log

REV NO	CHANGE SUMMARY	OWNER	APPROVER	DATE APPROVED
1	Document Review	S.Sullivan	Sherrie Shaufelle	

## 12. Document Reviewers

Name	Position
Elena Tena	GS Compliance
A. Holmes	Government Contracts
Sherrie Shaufelle	GS Director

## 13. Document Maintenance

This document is reviewed and maintained by the process owner on an annual basis or whenever there is a change to process. A history of reviews and changes is logged in the Document Control Log section (above).