

**electronic Subcontracting Reporting System (eSRS)**  
**Quick Reference Recommendation for**  
**Federal Government Contractors**



**Submitting Year-End Supplementary Report for Small**  
**Disadvantaged Businesses (SDBs)**

# **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

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# **Quick Reference for Federal Government Contractors** **Submitting a Year-End Supplementary Report for SDBs**

## **Introduction**

In the past, Federal Government contractors were required to file their Year-End Supplementary Report for Small Disadvantaged Businesses (SDBs) in their own format as an attachment to the Summary Subcontract Report (formerly the SF-295). This requirement was incorporated into the Federal Acquisition Regulation in Fiscal Year 1998 by means of a change to the clause at 52.219-9. The Presidential Management Initiative mandated the development and implementation of an electronic Subcontracting process. Thus, the Initial Operating Capability Phase of the electronic Subcontracting Reporting System (eSRS) was implemented in October of 2005. Federal Government contractors are now required to submit their subcontracting accomplishments for Federal Government contracts in the eSRS, with the exception of some Department of Defense (DoD) contracts.

The eSRS is a web-based government-wide subcontracting system that allows electronic submission, management (acceptance, revision, rejection), reports and analyses of subcontracting data in a real-time paperless environment. In turn, there is no lost paperwork, and there is a reduction in errors and processing time which leaves more time for increasing subcontracting.

**Quick Reference Objective:** To provide guidance to Federal Government **Contractors** submitting the Year-End Supplementary Report for SDBs in eSRS. This document will provide general information only. To receive specific information about the eSRS processes of the federal agency that awarded you the contract, contact your Contracting Officer or the eSRS Agency Coordinator (AC) or Point of Contact (POC). You can obtain the Agency Coordinator or Point of Contact email address by contacting the Federal Service Desk at [www.FSD.gov](http://www.FSD.gov).

## **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

### **Quick Reference #1: What is a Year-End Supplementary Report for Small Disadvantaged Businesses (SDBs)?**

Pursuant to 48 CFR 52.219-9(l)(2)(iii), all Summary Subcontract Reports (SSRs) submitted at the close of each fiscal year (both individual and commercial plans) shall include a breakout, in the contractor's format, of subcontract awards, in whole dollars, to small disadvantaged business concerns by North American Industry Classification System (NAICS) Industry Subsector – this can be accomplished by submitting a Year-End Supplementary Report for each related SSR.

### **Quick Reference #2: How is the Year-End Supplementary Report for SDBs Data Utilized?**

This data is collected so that the Federal Government may periodically perform an analysis of the subcontract awards to small disadvantaged business (SDBs), thus identifying the industries in which SDBs are underrepresented. This is accomplished by having contractors provide a breakdown of subcontracts to small disadvantaged businesses (SDBs) by three-digit NAICS subsector at the end of each fiscal year as an attachment to their Summary Subcontracting Report (SSR). The results of the government's analysis can be used in the future to adjust the preferences afforded to SDBs under the Federal Acquisition Regulation (FAR), subpart 19.12, Small Disadvantaged Business Participation Program.

### **Quick Reference #3: What are the Year-End Supplementary Report for SDBs Responsibilities of the Contractors?**

- All Summary Subcontract Reports (SSRs) submitted at the close of each fiscal year (both individual and commercial plans) shall include a Year-End Supplementary Report for Small Disadvantaged Businesses (SDBs). This report must include a breakout, in the Contractor's format, of subcontract awards, in whole dollars, to small disadvantaged business concerns by North American Industry Classification System (NAICS) Industry Subsector.

## **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

- If a prime contractor/subcontractor submitted an SSR to more than one agency, the contractor must also submit a separate Year-End Supplementary Report for each agency covering only the subcontracting accomplishments for that agency's contracts. If, however, the SSR is for a Commercial Plan (CP), the contractor will select the related SSR report; the system will then automatically target the report to the approving agency designated in the SSR.
- There can only be one Year-End Supplementary report per SSR, including DRAFTS, for a given agency per reporting period.
- Subcontracts awarded by lower-tier subcontractors. You should report only those subcontracts that you award to your immediate subcontractors, not subcontracts awarded to lower-tier subcontractors by your subcontractors.
- This report collects subcontracting data, not sales data
- Reports are required when due, regardless of whether there has been any subcontracting activity since the inception of the contract or since the previous report.
- The Year-End Supplementary Report for Small Disadvantaged Business is required only **once a year, at the end of the government's fiscal year**, regardless of how often the agency requires the SSR. It is **NOT** required for quarterly or semi-annual reports.
- Keep a signed copy of the report on file.
- **Per the 13 Code of Federal Regulations (CFR) 121.404 (e) & 121.410 you must have a supporting written size self-certification for every small business you are counting in the small business and socioeconomic section of this report** [For more information on the special legislation for ANC and Indian tribes visit <http://www.regulations.gov/search/Regs/home.html#documentDetail?R=0900006480277f33> (See FAC 2005-19)] **at the time you submit your proposal**. If you do not have a written size self-certification, you must count these subcontracts in the large business field. **Per 13 CFR 121.411(a)**, a subcontractor must qualify and self-certify as a small business at the time it submits its offer as a small business subcontractor. **Do not retroactively apply small business subcontracting accomplishments.**
- The contractor **shall validate** that this firm is HUBZone-certified in the SBA Dynamic SB Search at [www.sam.gov](http://www.sam.gov) **prior to the award of a**

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**contract. Note** that HUBZone is different from some of the State HUB certifications, such as Texas.

- Effective October 1, 2015, the Department of Defense (DOD), General Services Administration (GSA), and National Aeronautics Administration (NASA) are issuing [FAR Case 2014-022](#) as a final rule amending the Federal Acquisition Regulation (FAR) to implement the inflation adjustment of acquisition-related dollar thresholds.

### **Quick Reference #4: What are the eSRS Year-End Supplementary Report for SDBs Responsibilities of the Government?**

- Federal agencies are responsible for ensuring that their prime contractors and subcontractors make every attempt to adhere to the approved subcontracting plan and file their reports in a timely manner.
- Federal agencies are also responsible for reviewing, accepting and/or rejecting both the prime contractors' and subcontractors' SSRs and Year-End Supplementary Report for Small Disadvantaged Business in the eSRS. (Note, however, that prime contractors, not the government, accept or reject the Individual Subcontract Reports (ISRs) for their immediate subcontractors.)
- While not a regulatory requirement, it is strongly recommended that the all subcontract reports be reviewed and accepted or rejected within 60 days of the contractor's submittal.
- Effective October 1, 2015, the Department of Defense (DOD), General Services Administration (GSA), and National Aeronautics Administration (NASA) are issuing [FAR Case 2014-022](#) as a final rule amending the Federal Acquisition Regulation (FAR) to implement the inflation adjustment of acquisition-related dollar thresholds.

### **Quick Reference #5: What do the Terms "Pending", "Accept", "Reopen" and "Reject" Represent?**

**Pending:** This report has been submitted and is awaiting review to be **"Accepted or Rejected"** by the Federal Government agency that awarded the contract.

## **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

**Accept:** This report has been reviewed by the Federal Government agency that awarded the contract, and they have found no known errors, issues, or concerns and do not require any clarification, information, and/or correction and is, therefore, **“Accepting”** receipt of this report’s data.

- Although receipt of the report’s data has been **“Accepted,”** if upon further review, errors, issues, or concerns are found with the report, the Federal Government agency that awarded the contract will **“Reopen or Reject”** the report to obtain clarification, additional information, and/or correction.

**Reopen:** This report’s data was previously **“Accepted”** by the Federal Government agency that awarded the contract. However, upon further review of the report’s data, the agency found errors, issues, and concerns and requires clarification, additional information, and/or correction. Once the report concerns have been addressed and/or corrected sufficiently by the contractor and resubmitted, the federal agency will **“Accept”** receipt of the report’s data.

**Reject:** This report has been reviewed by the Federal Government agency that awarded the contract, and they have found errors, issues and concerns. The report requires clarification, additional information, and/or correction. Thus, they will not accept receipt of the subcontracting report’s data at this time. Once the report concerns have been addressed and/or corrected sufficiently, the federal agency will **“Accept”** receipt of the report’s data.

**Example of a “Reject” notification:** The data in your report includes last fiscal year’s data, please resubmit your report with just the reporting periods subcontracting accomplishments.

### **Additional “Reopen and Reject” information:**

- An explanation explaining why your report was **“Rejected or Reopened”** will be sent to the email address of the person submitting the report.
- The **“Rejected or Reopened”** report will appear in the **“Alerts”** box of the report submitter.

## **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

- Click on the link within the “Alerts” box to view the report.
- Resolve the issue brought forth by the Federal Government agency and resubmit the report.

### **Quick Reference # 6: Things to Exclude from the Year-End Supplementary Report for SDBs**

- Subcontracts performed outside the U.S. or its outlying areas. NOTE: The Department of State and the Agency for International Development may **require** subcontracting plans for contracts awarded domestically but performed overseas. For additional information, contact the agency directly.
- Purchases from a corporation, company, or subdivision that is an affiliate of the prime/subcontractor.

### **Quick Reference #7: How to Access eSRS**

- Go to [www.esrs.gov](http://www.esrs.gov)
- Click on “Government”
- Click on the “Register” tab
- Complete the registration
- Your user ID and password will be emailed to you confirming your registration.
- You must validate your registration by clicking on the link within the e-mail to activate your eSRS account.

***The following information referencing Screen 1 thru 4 is the view you will see in eSRS and is in the Contractor’s Training Material.***

### **myESRS Screen**



# Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs

## Quick Reference #8: How to Enter a Year-End Supplementary Report for SDBs

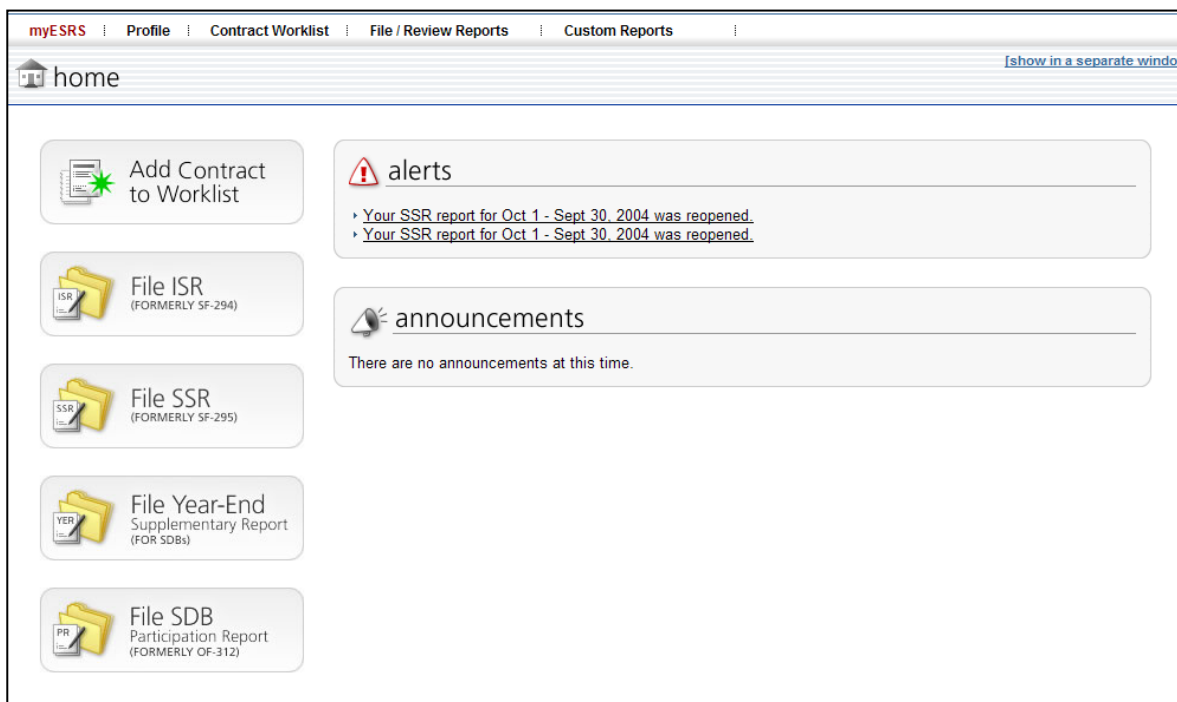
- Go to [www.esrs.gov](http://www.esrs.gov)
- Click on “**Contractor**”
- Login to eSRS using your ID and Password



- At the main screen click on
- Follow the steps in **Quick Reference #10**

## Quick Reference # 9: How to View an Existing Year-End Supplementary Report for SDBs Submitted to the Government

- Log into eSRS
- At the eSRS Home Page, click on the tab at the top that reads




### “File/Review Reports”

# Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs

- Click on the “**Search Filters**” link
- Choose the report “**Status**”: “Draft”, “Pending”, “Revised”, “Accepted”,

Status	Related SSR	Approving Agency	Date Submitted	Options
DRT	Oct 1 - Sept 30, 2004	FEDERAL SUPPLY SERVICE	-	delete
DRT	Oct 1 - Sept 30, 2005	FEDERAL SUPPLY SERVICE	-	delete

“Rejected”, “Reopened”

- You may select an “**Agency**” from the drop-down menu
- You may select the “**Date Created**” from one date to the next by clicking on “**select**” beside each blank. A calendar will appear, and you can click on the date
- You may enter any portion of the Federal Government contractor’s name who submitted the report in “**Keywords**” to narrow your search
- Click on “**Apply Search**”
- This will display a list of existing Year-End Supplementary Reports for SDBs in your worklist based on your status preference
- To select and view a report click on the following icon: 

## Search Filters Screen

### Quick Reference #10: Understanding the Year-End Supplementary Report for SDBs Data Fields

# Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs

## 1st Screen: Year-End Supplementary Report For SDBs

Pursuant to 48 CFR 52.219-9(l)(2)(iii), all Summary Subcontract Reports submitted at the close of each fiscal year (both individual and commercial plans) shall include a breakout, in the contractor's format, of subcontract awards, in whole dollars, to small disadvantaged business concerns by North American Industry Classification System (NAICS) Industry Subsector.

### 1. UNIQUE ENTITY ID (SAM)#:


- UNIQUE ENTITY ID (SAM) # is a 12-character, alpha-numeric, unique identification value used to identify a contractor's specific establishment's exact name and address.
- eSRS has an **"Auto Fill your Company's info from UNIQUE ENTITY ID (SAM)"** button. If used, the contractor's information will be automatically pre-populated from information in the SAM database.

2. **Corporation, Company or Subdivision Covered:** This field indicates the Corporation, Company or Subdivision that is associated with the UNIQUE ENTITY ID (SAM) number entered in eSRS.

The screenshot shows the 'New Report' interface in the eSRS system. At the top, there is a navigation bar with 'myESRS', 'Profile', 'Contract Worklist', 'File / Review Reports', and 'Custom Reports'. Below this is a breadcrumb trail and a title 'Year-End Supplementary Report For SDBs' with a '[show in a separate window]' link. The main content area is titled 'New Report' and includes a '+ BACK TO LIST' link. A vertical sidebar on the left contains a progress indicator with five steps: 1. Instructions (highlighted), 2. Subcontract Report, 3. Year-End Report, 4. Review, and 5. Submit Report. The main content area displays the title 'Year-End Supplementary Report For SDBs' and the same regulatory text as in the document. At the bottom of this area are 'cancel' and 'continue' buttons.

## Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs

- Contact Vendor Information: This is the name and contact information for the contractor's employee that can be contacted in the event that the agency has questions regarding this report.
- 3. Breakdown of SDB dollars by NAICS Industry Sector:** Please enter the NAICS Industry and Subsector (the first 3 digits of the six-digit NAICS code) and dollars attributed. Each entry should represent the subcontract awards to the nearest whole dollar.

NAICS Industry Subsector*	Dollars Attributed*
	
<input type="text"/>	<input type="text"/>

- 4. Total SDB Dollars:** Please enter the total amount of SDB Dollars from your SSR report.

- 5.-8. Submitter information:** Please enter Name, Date Submitted, Phone Number, Email Address, and additional Government employees that you would like notified upon submission.

**Administering Info:** This is the name and contact information of the individual within the contractor's organization that is responsible for ensuring the contractor's compliance with its subcontracting plan.

- 9. 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 email 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 email address. The awarding agency must provide an email address for which to submit this report.

**Quick Reference #11: How do I Correct a Year-End Supplementary Report for SDBs that was Previously Submitted?**

## **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

Contact your Federal Government agency and inform them of the error. They will **“Reject”** or **“Reopen”** the report depending on the report status at the time.

- If the report is **“Pending”**, then the report will be **“Rejected”**
- If the report has been **“Accepted”**, then the report will be **“Reopened”**

The report will then be sent back to your SRS account, so that you can make the necessary changes.

### **Quick Reference #12: Who to Contact When in Need of Assistance**

#### **Non-technical Questions:**

- Non-technical Questions are policy, processes and procedures related to Subcontracting and Subcontracting Reporting and information related to the contract. These questions will not be handled by the Federal Service Desk (FSD).
- Non-technical Question Examples:
  - Any questions pertaining to subcontracting and subcontracting reporting
  - Any questions pertaining to the data in a subcontracting report you submitted or have the responsibility to review
  - Any question related to the contract or subcontracting plan
  - Any questions related to data within eSRS or eSRS user responsibilities
  - eSRS agency contact information (i.e., Agency Coordinator or Point of Contact) for FOIA request and assistance on items with which the technical help desk cannot assist you
- Using the FSD website at [www.fsd.gov](http://www.fsd.gov), you can submit a non-technical help desk issue by selecting **“Submit a Question”** tab and select

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**“Policy”**. When you submit the webform, the SBA Procurement Analyst assigned to answer subcontracting questions will respond with an answer.

- If you call the FSD 800 number with a non-technical question, the FSD representative will not be able to answer your question but will provide you with the email address of the SBA Procurement Analyst assigned to answer subcontracting questions and the eSRS Agency Coordinator and Point of Contact for the agency to which you report.
- You may also contact the contracting officer (CO) of the Federal Government agency that awarded the contract for questions, concerns, or issues pertaining to subcontracting and subcontracting reporting.
- For training and subcontracting policy questions, contact the SBA Commercial Marketing Representative (CMR) for your area/state. You may locate your CMR’s contact information at [http://www.sba.gov/aboutsba/sbaprograms/gcbd/GC\\_PCRD1.html](http://www.sba.gov/aboutsba/sbaprograms/gcbd/GC_PCRD1.html)

### **Technical Questions:**

- Technical Questions will be handled by FSD. You may submit a technical help desk question by going directly to FSD at [www.fsd.gov](http://www.fsd.gov) and choosing to chat live with a representative, submit a question, search the answer center or call and speak to a representative. You may also reach the FSD website by logging on to eSRS at [www.esrs.gov](http://www.esrs.gov). Click the **“For Help Federal Service Desk”** and you will be forwarded to the FSD website. Remember, FSD will not answer any non-technical or subcontracting/subcontracting reporting questions related to policies, processes, and procedures.
- Technical Questions Examples:
  - Questions pertaining to how the system functions (i.e., Do I need a contract number to file a Year-End Supplementary Report for SDBs?)
  - Questions pertaining to user functionality (i.e., add a role, registration, contract work list, can’t view report)
  - eSRS agency contact information (i.e., Agency Coordinator or Point of Contact) for FOIA request and assistance on items with which the technical help desk cannot assist you
  - General information on the subcontracting reports being filed (i.e., When is the Year-End Supplementary Report for SDBs due?)

## **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

### **At the Federal Service Desk ([www.fsd.gov](http://www.fsd.gov)) you can:**

- Obtain a user id and password (not required) by registering at the [www.fsd.gov](http://www.fsd.gov) website. This will allow you to:
  - Keep historical information on your help desk inquiries
  - Check the status of your help desk ticket
- Find information you need by searching several ways in the Answer Center
- Submit a help desk request online
- Give feedback through a customer satisfaction survey
- Chat live with a Customer Service Representative
- Speak to a help desk representative by calling within the U.S. toll free at 1-866-606-8220 or outside the U.S. at 334-206-7828
- Contact FSD at [www.fsd.gov](http://www.fsd.gov), if the information pulled from your UNIQUE ENTITY ID (SAM) # is incorrect

For all other concerns, contact Integrated Acquisition Environment at [integrated.acquisition@gsa.gov](mailto:integrated.acquisition@gsa.gov).

### **Quick Reference #13: When is it Recommended for the Government Agency to “Accept” a Year-End Supplementary Report for SDBs?**

- After reviewing the report, the government agency is satisfied with the information provided by you
- If the government agency accepts a report, you will receive an email notification.

### **Quick Reference #14: When is it Recommended for the Government Agency to “Reject” a Year-End Supplementary Report for SDBs?**

- After reviewing the report, the government agency determines it requires additional information for clarity, and/or the information provided is not accurate or sufficient
- If the government agency rejects a report, you will receive an email notification.

## **Quick Reference for Federal Government Contractors Submitting a Year-End Supplementary Report for SDBs**

- An explanation for the rejection will be available in the **“Notes”** box on the right side of the screen displaying the Summary Contract Report.
- Once the issue has been corrected by you, the government agency will **“Accept”** the report

### **Quick Reference #15: Can I Delete a Report?**

- Only your draft reports can be deleted
- Click on **“Deleted”** by the report you would like to have deleted