

Subcontracting Plan Expectations

Federal regulations require in certain circumstances that the University develop a "Subcontracting Plan". The Subcontracting Plan is required when the Government anticipates awarding a contract that is expected to exceed \$500,000, and establishes an estimated amount of goods and services to be purchased for a project from small, small disadvantaged, and women-owned vendors. To develop the Subcontracting Plan the Business Office and the Principal Investigator must develop a budget in sufficient detail that the Purchasing Department may identify minority vendors that can provide goods and services for the project. Once a contract is awarded, Purdue is required to report to the sponsor actual expenditures in relation to the approved Subcontracting Plan.

A. Identifying When a Subcontracting Plan is Required

1. Proposal budget over \$500,000 and being submitted to a Federal Agency other than the National Science Foundation (NSF)
2. Proposal budget over \$500,000 being submitted to an Industrial Company that is submitting their proposal to a Federal Agency.

If the proposal budget meets the criteria listed above review the Request for Proposal (RFP), Solicitation, Broad Agency Announcement (BAA), or other sponsor proposal guidelines to see if a subcontracting plan is required. **Note: The subcontracting plan will only be required if the award mechanism is to be a contract or subcontract.** It is not required for financial assistance awards funded as a grant or cooperative agreement.

All U. S. Environmental Protection Agency (EPA) grants and cooperative agreements do not require a subcontracting plan be submitted with the proposal but do require reporting of actual expenditures with minority business enterprise (MBE) concerns and woman business enterprise (WBE) concerns on an individual project basis. **The Business Office is not expected to track MBE/WBE transactions on P Card activity for EPA grants and cooperative agreements.**

For further assistance contact the Sponsored Program Account Manager who handles proposals for the sponsor in question.

B. Roles in Subcontracting Plan Process

Sponsored Program Account Manager - Proposals

Inform all parties (Business Office, Purchasing, University Contracting Group) when a subcontracting plan is required and what the percentage requirements are if known.

Example: Small Disadvantaged Business Concerns must be 2%.

Obtain subcontracting plans from subrecipient entities when required.

Forward subcontracting plan to sponsor.

Business Office

Inform Sponsored Program Account Manager of subcontracting plan requirement while working on developing the proposal budget.

Provide detailed proposal budget with breakdown by commodity to Purchasing. Work with Purchasing to develop the subcontracting plan goals.

Example: Other S&E – chemicals, lab supplies, etc.

Ensure minority vendors identified in the subcontracting plan are used once the proposal is funded.

Track and report MBE/WBE activity on a quarterly basis for vendors used on P cards transactions to the Sponsored Program Account Manager for reporting to sponsor. Maintain supporting documentation in accordance with the University record retention guidelines.

Work with Principal Investigator and other faculty to ensure they understand requirements of the plan. i.e. buying air fare tickets through local travel agencies, special handling of credit card orders.

Purchasing

Identify possible vendors based on the detailed proposal budget information provided by the Business Office.

Work with Business Office to develop the subcontracting goals.

Provide subcontracting plan goals to the University Contracting Group.

Provide listing of minority vendors and types of expenditures used in developing the subcontracting plan to the Business Office for post award management.

University Contracting Group

Complete the subcontracting plan form (Attachment A) and obtain certification.

Work with sponsor on acceptance and approval of plan.

Sponsored Program Account Manager – Post Award

Ensure subcontracting plan attribute is correctly assigned in CADE when account established.

Ensure subcontracting plan reporting requirements are entered into SPTS Reporting section.

Report subcontracting plan expenditures to sponsor and enter into SPTS Reporting section.

C. Sponsored Program Post Award Administration

1. Coding of Accounts

When establishing new fund/centers in CADE the subcontracting plan attribute on Screen 922 must be entered with the appropriate code identifying the type of subcontracting plan required. Please refer to the CADE Instruction Manual. EPA fund/centers are coded even though there is no subcontracting plan submitted.

2. Reporting Requirements

Contracts and subcontracts with subcontracting plans must report actual expenditures with large businesses, small businesses, small disadvantaged businesses, and women-owned small businesses as they apply to the subcontracting plan semi-annually. The semi-annual reporting periods are October 1st through March 31st and April 1st through September 30th. The reports are due 30 days after each reporting period. The forms used for reporting are the Standard Form 294, Subcontracting Report For Individual Contracts (Attachment B) and Standard Form 295, Summary Subcontracting Report (Attachment C). The forms are located on the Sponsored Program Services Home Page under Sponsor Forms. **Please review each individual contract for reporting requirements as they may vary from sponsor to sponsor.**

Enter the subcontracting plan reporting requirements for each award into the SPTS Reporting section to insure reports are prepared and submitted to the sponsors.

3. EPA Reporting

All EPA grants and cooperative agreements must report actual expenditures with MBE and WBE businesses on a quarterly or annual basis. Annual reporting is for the period Oct. 1st through Sept. 30th each year. The annual report is due 30 days after the reporting period. The form used is the U. S. Environmental Protection Agency MBE/WBE Utilization Under Federal Grants, Cooperative Agreements, and Interagency Agreements, EPA Form 5700-52A (Attachment D). **P Card transaction activity is not reported to EPA.**

4. Expenditure Data

Expenditure data from the General Ledger for the reporting period should be requested from SPS Support Services Area. The SAS Program number is AACS172X (Attachment E) and is referred to as the MBE/WBE report. If credit cards are used you will need to request the credit card expenditure information from the Departmental Business Office. **Note: Business Offices are not expected to track MBE/WBE transactions on P Card transaction activity for EPA grants and cooperative agreements.**

ATTACHMENTS

- A. Subcontracting Plan Form
- B. Subcontracting Report For Individual Contracts, Standard Form 294
- C. Summary Subcontracting Report, Standard Form 295
- D. U. S. Environmental Protection Agency MBE/WBE Utilization Under Federal Grants, Cooperative Agreements, and Interagency Agreements, EPA Form 5700-52A
- E. SAS Program No. AACCS172X

**SMALL BUSINESS, SMALL DISADVANTAGED, AND WOMEN-OWNED
BUSINESS SUBCONTRACTING PLAN**

Date: _____

SUBCONTRACTOR: PURDUE UNIVERSITYADDRESS: 610 Purdue MallWest Lafayette, Indiana 47907-2040

SOLICITATION OR SUBCONTRACT NUMBER: _____

ITEM/SERVICE: " _____ "

The following, together with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements of FAR 52.219-9 and DFAR 252.219.7

1. (a) The following percentage goals (expressed in terms of a percentage of total planned lower-tier subcontracting dollars) will be applicable to any subcontract awarded as a result of this solicitation:
 - (i) Small Business Concerns: % of total planned subcontracting dollars under this subcontract will go to lower-tier subcontractors who are small business concerns.
 - (ii) Small Disadvantaged Business Concerns: % of total planned subcontracting dollars under this subcontract will go to lower-tier subcontractors who are small business concerns owned and controlled by socially and economically disadvantaged individuals.
 - (iii) Women-Owned Business Concerns: % of total planned subcontracting dollars under this subcontract will go to lower-tier subcontractors who are women-owned business concerns.
 - (iv) Veteran-Owned Business Concerns: % of total planned subcontracting dollars under this subcontract will go to lower-tier subcontractors who are veteran-owned business concerns.
 - (v) HubZone Business Concerns: % of total planned subcontracting dollars under this subcontract will go to lower-tier subcontractors who are HubZone business concerns.
- (b) The following dollar values correspond to the percentage goals shown in (a) above.
 - (i) Total dollars planned to be subcontracted to Small Business Concerns: _____.
 - (ii) Total dollars planned to be subcontracted to Small Disadvantaged Business Concerns: _____.
 - (iii) Total dollars planned to be subcontracted to Women-Owned Business Concerns: _____.
 - (iv) Total dollars planned to be subcontracted to Veteran-Owned Business Concerns: _____.
 - (v) Total dollars planned to be subcontracted to HubZone Business Concerns: _____.
- (c) The total estimated dollar value of all planned lower-tier subcontracting (to all types of businesses) under this subcontract is _____.
- (d) The following principal products and/or services will be subcontracted under this subcontract, and the distribution among small and small disadvantaged business is as follows:

(Products/services planned to be subcontracted to Small Business Concerns are identified by * -- to Small Disadvantaged Business Concerns by ** -- to Women-Owned Business Concerns by *** -- to Veteran-Owned Business Concerns****--to HubZone Business Concerns*****)

*

**

- (e) The following method was used in developing lower-tier subcontract goals (e.g., what source lists were used to obtain Small Business Concerns, Small Disadvantaged Business Concerns, Women-Owned Business Concerns, Veteran-Owned Business Concern and HubZone Business Concerns sources.) Subcontract should indicate herein if indirect and overhead costs are used in establishing goals. If used, explain the method used in determining the proportionate share of indirect and overhead cost incurred with (i) Small Business Concerns, (ii) Small Disadvantaged Business Concerns, and (iii) Women-Owned Business Concerns (iv) Veteran-Owned Business Concerns, (v) HubZone Business Concerns lower-tier subcontractors.

Estimates based on buyers' knowledge of Small, Small Disadvantaged, Women-Owned businesses Veteran-Owned Business Concern and HubZone Business Concerns Dealing in the items identified above.

2. The following individual will administer the lower-tier subcontracting program:

Name: Larry E. Pherson

Address: Purdue University

610 Purdue Mall

West Lafayette, IN 47907-2040

Telephone Number: (765) 494-1063

Title: Director, Sponsored Programs Services and Purchasing

This individual's specific duties, as they relate to the firm's lower-tier subcontracting program are as follows:

- (a) Obtaining Small Business Concerns, Small Disadvantaged Business Concerns, Women-Owned Business Concerns, Veteran-Owned Business Concerns and HubZone Business Concerns sources from all applicable agencies such as Small Business Administration
- (b) Assuring inclusion of firms considered to be Small Business Concerns, Small Disadvantaged Business Concerns, Women-Owned Business Concerns, Veteran-Owned Business Concerns and HubZone Business Concerns in all solicitations where appropriate.
- (c) Attending or arranging for attendance at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
- (d) Conducting or arranging for conduct of motivational training for purchasing personnel pursuant tot he intent of Public Law 95-507.
- (e) Monitoring attainment of proposed goals.

(f) Reviewing solicitations to remove statements, clauses, etc. which may tend to prohibit Small Business Concerns, Small Disadvantaged Business Concerns, Women-Owned Business Concerns, Veteran-Owned Business Concerns and HubZone Business Concerns participation.

(g) Additions to (or deletion from) the duties specified above are as follows: (Corporate duties may be described):

3. The following efforts will be taken to assure that Small Business Concerns, Small Disadvantaged Business Concerns, Women-Owned Business Concerns, Veteran-Owned Business Concerns and HubZone Business Concerns have an equitable opportunity to compete for lower-tier subcontracts:

(a) Outreach efforts will be made as follows:

(i) Contacts with Minority and Small Business Trade Associations.

(ii) Contacts with business development organizations.

(iii) Attendance at Small and Minority Business procurement conferences and trade fairs.

(b) The following internal efforts will be made to guide and encourage buyers:

(iv) Workshops, seminars and training programs will be conducted.

(v) Activities will be monitored to evaluate compliance with this subcontracting plan.

(c) Small Business Concerns, Small Disadvantaged Business Concerns, Women-Owned Business Concerns, Veteran-Owned Business Concerns and HubZone Business Concerns, source lists, guides, and other data identifying Small Business, Small Disadvantaged Business, and Women-Owned Business vendors will be maintained by authorized buyers in soliciting lower-tier subcontracts.

(d) Additions to (or deletions from) the above-listed efforts are as follows:

4. The offeror (subcontractor) agrees that the clause entitled "Utilization of Small Business Concerns, Small Business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals, and Women-Owned Business Concerns" will be included in all lower-tier subcontracts which offer further subcontracting opportunities, and all subcontractors (except small business) who receive subcontracts in excess of \$500,000 will be required to adopt a subcontracting plan similar to this one. The following procedures will be followed in reviewing, approving, and monitoring such plans:

5. The offeror (subcontractor) agrees to submit such periodic reports and cooperate in any studies or surveys as may be required by DOD or the Small Business Administration in order to determine the extent of compliance by the bidder with the subcontracting plan.
6. The offeror (subcontractor) agrees to maintain at least the following types of records to document compliance with this subcontracting plan.
 - (a) Small Business, Small Disadvantaged Business, Women-Owned Business, Veteran-Owned Business Concerns and HubZone Business Concerns source lists, guides, and other data identifying Small Business, Small Disadvantaged Business, Women-Owned Business, Veteran-Owned Business Concerns and HubZone Business Concerns vendors.
 - (b) Organizations contacted for Small Business, Small Disadvantaged Business, and Women-Owned Business, Veteran-Owned Business Concerns and HubZone Business Concerns sources.
 - (c) On a contract-by-contract basis, records on all lower-tier subcontract solicitations over \$100,000 indicating on each solicitation:
 - (i) whether small business was solicited, and if not, why not:
 - (ii) whether small disadvantaged business was solicited, and if not, why not:
 - (iii) whether women-owned business was solicited, and if not, why not:
 - (iv) whether Veteran-owned business was solicited, and if not, why not:
 - (v) whether HubZone business was solicited, and if not, why not:
 - (vi) reasons for failure of solicited small business, small disadvantage business, or women-owned business to receive the lower-tier subcontract award.
 - (d) Records to support other outreach efforts:
 - (i) whether small business was solicited, and if not, why not:
 - (ii) whether small disadvantaged business was solicited, and if not, why not:
 - (iii) whether women-owned business was solicited, and if not, why not:
 - (iv) whether Veteran-owned business was solicited, and if not, why not:
 - (v) whether HubZone business was solicited, and if not, why not:
 - (e) Records to support internal activities to guide and encourage buyers: Workshops, seminars, training programs, etc. Monitoring activities to evaluate compliance.
 - (f) On a contract-by-contract basis, records to support award data submitted to the Government to include name and address of lower tier subcontractor.

OFFEROR/SUBCONTRACTOR: PURDUE UNIVERSITY

SIGNATURE: _____

TYPED NAME AND TITLE: _____

DATE: _____

ACCEPTANCE OF PLAN:

SIGNATURE: _____

TYPED NAME: _____

TITLE: _____

DATE: _____

SUBCONTRACTING REPORT FOR INDIVIDUAL CONTRACTS*(See instructions on reverse)*

OMB No.: 9000-0006

Expires: 04/30/2004

Public reporting burden for this collection of information is estimated to average 9 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (MVP), Acquisition Policy Division, GSA, Washington, DC 20405.

1. CORPORATION, COMPANY OR SUBDIVISION COVERED			3. DATE SUBMITTED	
a. COMPANY NAME			4. REPORTING PERIOD FROM INCEPTION OF CONTRACT THRU: <input type="checkbox"/> MAR 31 <input type="checkbox"/> SEPT 30 YEAR _____	
b. STREET ADDRESS				
c. CITY	d. STATE	e. ZIP CODE		
2. CONTRACTOR IDENTIFICATION NUMBER			5. TYPE OF REPORT <input type="checkbox"/> REGULAR <input type="checkbox"/> FINAL <input type="checkbox"/> REVISED	
6. ADMINISTERING ACTIVITY <i>(Please check applicable box)</i>				
<div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"> <input type="checkbox"/> ARMY <input type="checkbox"/> NAVY <input type="checkbox"/> AIR FORCE </div> <div style="width: 30%;"> <input type="checkbox"/> GSA <input type="checkbox"/> DOE <input type="checkbox"/> DEFENSE CONTRACT MANAGEMENT AGENCY </div> <div style="width: 30%;"> <input type="checkbox"/> NASA <input type="checkbox"/> OTHER FEDERAL AGENCY <i>(Specify)</i> </div> </div>				
7. REPORT SUBMITTED AS <i>(Check one and provide appropriate number)</i>			8. AGENCY OR CONTRACTOR AWARDING CONTRACT	
<input type="checkbox"/> PRIME CONTRACTOR <input type="checkbox"/> SUBCONTRACTOR			a. AGENCY'S OR CONTRACTOR'S NAME b. STREET ADDRESS	
9. DOLLARS AND PERCENTAGES IN THE FOLLOWING BLOCKS:			c. CITY	
<input type="checkbox"/> DO INCLUDE INDIRECT COSTS <input type="checkbox"/> DO NOT INCLUDE INDIRECT COSTS			d. STATE e. ZIP CODE	

SUBCONTRACT AWARDS

TYPE	CURRENT GOAL		ACTUAL CUMULATIVE	
	WHOLE DOLLARS	PERCENT	WHOLE DOLLARS	PERCENT
10a. SMALL BUSINESS CONCERNS (Include SDB, WOSB, HBCU/MI, HUBZone SB, and VOSB <i>(Including Service-Disabled VOSB)</i>) (Dollar Amount and Percent of 10c.)				
10b. LARGE BUSINESS CONCERNS (Dollar Amount and Percent of 10c.)				
10c. TOTAL (Sum of 10a and 10b.)		100.0%		100.0%
11. SMALL DISADVANTAGED BUSINESS (SDB) CONCERNS (Include HBCU/MI) (Dollar Amount and Percent of 10c.)				
12. WOMEN-OWNED SMALL BUSINESS (WOSB) CONCERNS (Dollar Amount and Percent of 10c.)				
13. HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) AND MINORITY INSTITUTIONS (MI) <i>(If applicable)</i> (Dollar Amount and Percent of 10c.)				
14. HUBZone SMALL BUSINESS (HUBZone SB) CONCERNS (Dollar Amount and Percent of 10c.)				
15. VETERAN-OWNED SMALL BUSINESS CONCERNS <i>(Including Service-Disabled Veteran-Owned SB Concerns)</i> (Dollar Amount and Percent of 10c.)				
16. SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS CONCERNS (Dollar Amount and Percent of 10c.)				
17. REMARKS				

18a. NAME OF INDIVIDUAL ADMINISTERING SUBCONTRACTING PLAN	18b. TELEPHONE NUMBER	
	AREA CODE	NUMBER

GENERAL INSTRUCTIONS

1. This report is not required from small businesses.

2. This report is not required for commercial items for which a commercial plan has been approved, nor from large businesses in the Department of Defense (DOD) **Test Program for Negotiation of Comprehensive Subcontracting Plans**. The Summary Subcontract Report (SF 295) is required for contractors operating under one of these two conditions and should be submitted to the Government in accordance with the instructions on that form.

3. This form collects subcontract award data from prime contractors/subcontractors that: (a) hold one or more contracts over \$500,000 (over \$1,000,000 for construction of a public facility); and (b) are required to report subcontracts awarded to Small Business (SB), Small Disadvantaged Business (SDB), Women-Owned Small Business (WOSB), HUBZone Small Business (HUBZone SB), Veteran-Owned Small Business (VOSB) and Service-Disabled Veteran-Owned Small Business concerns under a subcontracting plan. For the Department of Defense (DOD), the National Aeronautics and Space Administration (NASA), and the Coast Guard, this form also collects subcontract award data for Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs).

4. This report is required for each contract containing a subcontracting plan and must be submitted to the administrative contracting officer (ACO) or contracting officer if no ACO is assigned, semi-annually during contract performance for the periods ended March 31st and September 30th. **A separate report is required for each contract at contract completion.** Reports are due 30 days after the close of each reporting period unless otherwise directed by the contracting officer. **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.**

5. Only subcontracts involving performance in the U.S. or its outlying areas should be included in this report.

6. **Purchases from a corporation, company, or subdivision that is an affiliate of the prime/subcontractor are not included in this report.**

7. Subcontract award data reported on this form by prime contractors/subcontractors shall be limited to awards made to their immediate subcontractors. **Credit cannot be taken for awards made to lower tier subcontractors.**

SPECIFIC INSTRUCTIONS

BLOCK 2: For the Contractor Identification Number, enter the nine-digit Data Universal Numbering System (DUNS) number that identifies the specific contractor establishment. If there is no DUNS number available that identifies the exact name and address entered in Block 1, contact Dun and Bradstreet Information Services at 1-800-333-0505 to get one free of charge over the telephone. Be prepared to provide the following information: (1) Company name; (2) Company address; (3) Company telephone number; (4) Line of business; (5) Chief executive officer/key manager; (6) Date the company was started; (7) Number of people employed by the company; and; (8) Company affiliation.

BLOCK 4: Check only one. Note that all subcontract award data reported on this form represents activity since the inception of the contract through the date indicated in this block.

BLOCK 5: Check whether this report is a "Regular," "Final," and/or "Revised" report. **A "Final" report should be checked only if the contractor has completed the contract or subcontract reported in Block 7.** A "Revised" report is a change to a report previously submitted for the same period.

BLOCK 6: Identify the department or agency administering the majority of subcontracting plans.

BLOCK 7: Indicate whether the reporting contractor is submitting this report as a prime contractor or subcontractor and the prime contract or subcontract number.

BLOCK 8: Enter the name and address of the Federal department or agency awarding the contract or the prime contractor awarding the subcontract.

BLOCK 9: Check the appropriate block to indicate whether indirect costs are included in the dollar amounts in blocks 10a through 14. To ensure comparability between the goal and actual columns, the contractor may include indirect costs in the actual column only if the subcontracting plan included indirect costs in the goal.

BLOCKS 10a through 16: Under "Current Goal," enter the dollar and percent goals in each category (SB, SDB, WOSB, VOSB, service-disabled VOSBs, and HUBZone SB) from the subcontracting plan approved for this contract. (If the original goals agreed upon at contract award have been revised as a result of contract modifications, enter the original goals in Block 16. The amounts entered in Blocks 10a through 15 should reflect the revised goals.) Under "Actual Cumulative," enter actual subcontract achievements (dollar and percent) from the inception of the contract through the date of the report shown in Block 4. In cases where indirect costs are included, the amounts should include both direct awards and an appropriate prorated portion of indirect awards.

BLOCK 10a: Report all subcontracts awarded to SBs including subcontracts to SDBs, WOSBs, VOSBs, service-disabled VOSBs, and HUBZone SBs. **For DOD, NASA, and Coast Guard contracts, include subcontracting awards to HBCUs and MIs.**

BLOCK 10b: Report all subcontracts awarded to large businesses (LBs).

BLOCK 10c: Report on this line the total of all subcontracts awarded under this contract (the sum of lines 10a and 10b).

BLOCKS 11 through 16: Each of these items is a subcategory of Block 10a. **Note that in some cases the same dollars may be reported in more than one block (e. g., SDBs owned by women or veterans).**

BLOCK 11: Report all subcontracts awarded to SDBs (**including women-owned, veteran-owned, service-disabled VOSBs, and HUBZone SB SDBs**). For DOD, NASA, and Coast Guard contracts, include subcontract awards to HBCUs and MIs.

BLOCK 12: Report all subcontracts awarded to Women-Owned firms (**including SDBs, VOSB's, service-disabled VOSBs, and HUBZone SBs owned by women**).

BLOCK 13 (For contracts with DoD, NASA, and Coast Guard): Report all subcontracts with HBCUs/MIs. Complete the column under "Current Goal" only when the subcontracting plan establishes a goal.

BLOCK 14: Report all subcontracts awarded to HUBZone SBs (including women-owned, veteran-owned, service-disabled VOSBs, and SDB HUBZone SBs).

BLOCK 15: Report all subcontracts awarded to VOSBs including service-disabled VOSBs (include VOSBs that are also SDBs, WOSBs and HUBZone SBs.).

BLOCK 16: Report all subcontracts awarded to service-disabled veteran-owned SB concerns that are also SDBs, WOSBs, and HUBZone SBs.

BLOCK 17: Enter a short narrative explanation if (a) SB, SDB, WOSB, VOSBs, Service-Disabled VOSBs, or HUBZone SB accomplishments fall below that which would be expected using a straight-line projection of goals through the period of contract performance; or (b) if this is a final report, any one of the three goals was not met.

DEFINITIONS

1. Direct Subcontract Awards are those that are identified with the performance of one or more specific Government contract(s).

2. Indirect costs are those which, because of incurrence for common or joint purposes, are not identified with specific Government contracts; these awards are related to Government contract performance but remain for allocation after direct awards have been determined and identified to specific Government contracts.

DISTRIBUTION OF THIS REPORT

For the Awarding Agency or Contractor:

The original copy of this report should be provided to the contracting officer at the agency or contractor identified in Block 8. For contracts with DOD, a copy should also be provided to the Defense Contract Management Agency (DCMA) at the cognizant Defense Contract Management Area Operations (DCMAO) office.

For the Small Business Administration (SBA):


A copy of this report must be provided to the cognizant Commercial Market Representative (CMR) at the time of a compliance review. It is NOT necessary to mail the SF 294 to SBA unless specifically requested by the CMR.

SUMMARY SUBCONTRACT REPORT

(See instructions on reverse)

OMB No.: 9000-0007
Expires: 09/30/2003

Public reporting burden for this collection of information is estimated to average 15.9 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (MVP), Acquisition Policy Division, GSA, Washington, DC 20405.

1. CORPORATION, COMPANY OR SUBDIVISION COVERED			3. DATE SUBMITTED	
a. COMPANY NAME				
b. STREET ADDRESS			4. REPORTING PERIOD:	
c. CITY			<input type="checkbox"/> OCT 1 - MAR 31	<input type="checkbox"/> OCT 1 - SEPT 30
d. STATE			YEAR	
e. ZIP CODE				
2. CONTRACTOR IDENTIFICATION NUMBER			5. TYPE OF REPORT	
			<input type="checkbox"/> REGULAR <input type="checkbox"/> FINAL <input type="checkbox"/> REVISED	
6. ADMINISTERING ACTIVITY (Please check applicable box)				
<input type="checkbox"/> ARMY	<input type="checkbox"/> DEFENSE CONTRACT MANAGEMENT AGENCY	<input type="checkbox"/> DOE		
<input type="checkbox"/> NAVY	<input type="checkbox"/> NASA	<input type="checkbox"/> OTHER FEDERAL AGENCY (Specify)		
<input type="checkbox"/> AIR FORCE	<input type="checkbox"/> GSA			
7. REPORT SUBMITTED AS (Check one)		8. TYPE OF PLAN		
<input type="checkbox"/> PRIME CONTRACTOR	<input type="checkbox"/> INDIVIDUAL	IF PLAN IS A COMMERCIAL PLAN, SPECIFY THE PERCENTAGE OF THE DOLLARS ON THIS REPORT ATTRIBUTABLE TO THIS AGENCY. 		
<input type="checkbox"/> SUBCONTRACTOR	<input type="checkbox"/> COMMERCIAL PRODUCTS			
<input type="checkbox"/> BOTH				
9. CONTRACTOR'S MAJOR PRODUCTS OR SERVICE LINES				
a			b	

CUMULATIVE FISCAL YEAR SUBCONTRACT AWARDS

(Report cumulative figures for reporting period in Block 4)

TYPE	WHOLE DOLLARS	PERCENT (To nearest tenth of a %)
10a. SMALL BUSINESS CONCERNS (Include SDB, WOSB, HBCU/MI, HUBZone SB, and VOSB (including Service-Disabled VOSB)) (Dollar Amount and Percent of 10c.)		
10b. LARGE BUSINESS CONCERNS (Dollar Amount and Percent of 10c.)		
10c. TOTAL (Sum of 10a and 10b.)		100.0%
11. SMALL DISADVANTAGED BUSINESS (SDB) CONCERNS (Include HBCU/MI) (Dollar Amount and Percent of 10c.)		
12. WOMEN-OWNED SMALL BUSINESS (WOSB) CONCERNS (Dollar Amount and Percent of 10c.)		
13. HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCU) AND MINORITY INSTITUTIONS (MI) (If applicable) (Dollar Amount and Percent of 10c.)		
14. HUBZONE SMALL BUSINESS (HUBZone SB) CONCERNS (Dollar Amount and Percent of 10c.)		
15. VETERAN-OWNED SMALL BUSINESS (VOSB) CONCERNS (Including Service-Disabled VOSB Concerns) (Dollar Amount and Percent of 10c.)		
16. SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS CONCERNS (Dollar Amount and Percent of 10c.)		
17. REMARKS		

18. CONTRACTOR'S OFFICIAL WHO ADMINISTERS SUBCONTRACTING PROGRAM

a. NAME	b. TITLE	c. TELEPHONE NUMBER	
		AREA CODE	NUMBER

19. CHIEF EXECUTIVE OFFICER

a. NAME	c. SIGNATURE
b. TITLE	d. DATE

GENERAL INSTRUCTIONS

1. This report is not required from small businesses.
2. This form collects subcontract award data from prime contractors/subcontractors that: (a) hold one or more contracts over \$500,000 (over \$1,000,000 for construction of a public facility); and (b) are required to report subcontracts awarded to Small Business (SB), Small Disadvantaged Business (SDB), Women-Owned Small Business (WOSB), Veteran-Owned Small Business (VOSB), Service-Disabled Veteran-Owned Small Business, and HUBZone Small Business (HUBZone SB) concerns under a subcontracting plan. For the Department of Defense (DOD), the National Aeronautics and Space Administration (NASA), and the Coast Guard, this form also collects subcontract award data for Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs).
3. This report must be submitted semi-annually (for the six months ended March 31st and the twelve months ended September 30th) for contracts with the Department of Defense (DOD) and annually (for the twelve months ended September 30th) for contracts with civilian agencies, except for contracts covered by an approved Commercial Plan (see special instructions in right-hand column). Reports are due 30 days after the close of each reporting period.
4. This report may be submitted on a corporate, company, or subdivision (e.g., plant or division operating on a separate profit center) basis, unless otherwise directed by the agency awarding the contract.
5. If a prime contractor/subcontractor is performing work for more than one Federal agency, a separate report shall be submitted to each agency covering only that agency's contracts, provided at least one of that agency's contracts is over \$500,000 (over \$1,000,000 for construction of a public facility) and contains a subcontracting plan. (Note that DOD is considered to be a single agency; see next instruction.)
6. For DOD, a consolidated report should be submitted for all contracts awarded by military departments/agencies and/or subcontracts awarded by DOD prime contractors. However, DOD contractors involved in construction and related maintenance and repair must submit a separate report for each DOD component.
7. Only subcontracts involving performance in the U.S. or its outlying areas should be included in this report.
8. Purchases from a corporation, company, or subdivision that is an affiliate of the prime/subcontractor are not included in this report.
9. Subcontract award data reported on this form by prime contractors/subcontractors shall be limited to awards made to their immediate subcontractors. Credit cannot be taken for awards made to lower tier subcontractors.
10. See special instructions in right-hand column for Commercial Plans.

SPECIFIC INSTRUCTIONS

BLOCK 2: For the Contractor Identification Number, enter the nine-digit Data Universal Numbering System (DUNS) number that identifies the specific contractor establishment. If there is no DUNS number available that identifies the exact name and address entered in Block 1, contact Dun and Bradstreet Information Services at 1-800-333-0505 to get one free of charge over the telephone. Be prepared to provide the following information: (1) Company name; (2) Company address; (3) Company telephone number; (4) Line of business; (5) Chief executive officer/key manager; (6) Date the company was started; (7) Number of people employed by the company; and (8) Company affiliation.

BLOCK 4: Check only one. Note that March 31 represents the six months from October 1st and that September 30th represents the twelve months from October 1st. Enter the year of the reporting period.

BLOCK 5: Check whether this report is a "Regular," "Final," and/or "Revised" report. A "Final" report should be checked only if the contractor has completed all the contracts containing subcontracting plans awarded by the agency to which it is reporting. A "Revised" report is a change to a report previously submitted for the same period.

BLOCK 6: Identify the department or agency administering the majority of subcontracting plans.

BLOCK 7: This report encompasses all contracts with the Federal Government for the agency to which it is submitted, including subcontracts received from other large businesses that have contracts with the same agency. Indicate in this block whether the contractor is a prime contractor, subcontractor, or both (check only one).

BLOCK 8: Check only one. Check "Commercial Plan" only if this report is under an approved Commercial Plan. For a Commercial Plan, the contractor must specify the percentage of dollars in Blocks 10a through 15b attributable to the agency to which this report is being submitted.

BLOCK 9: Identify the major product or service lines of the reporting organization.

BLOCKS 10a through 16: These entries must include all subcontract awards resulting from contracts or subcontracts, regardless of dollar amount, received from the agency to which this report is submitted. If reporting as a subcontractor, report all subcontracts awarded under prime contracts. Amounts must include both direct awards and an appropriate prorated portion of indirect awards. (The indirect portion is based on the percentage of work being performed

for the organization to which thereport is being submitted in relation to other work being performed by the prime contractor/subcontractor.) Do not include awards made in support of commercial business unless "Commercial" is checked in Block 8 (see Special Instructions for Commercial Plans in right hand column). Report only those dollars subcontracted this fiscal year for the period indicated in Block 4.

BLOCK 10a: Report all subcontracts awarded to SBs including subcontracts to SDBs, WOSBs, VOSBs, Service-Disabled VOSBs, and HUBZone SBs. For DOD, NASA, and Coast Guard contracts, include subcontracting awards to HBCUs and MIs.

BLOCK 10b: Report all subcontracts awarded to large businesses (LBs).

BLOCK 10c: Report on this line the grand total of all subcontracts (the sum of lines 10a and 10b).

BLOCKS 11 through 16: Each of these items is a subcategory of Block 10a. Note that in some cases the same dollars may be reported in more than one block (e.g., SDBs owned by women); likewise subcontracts to HBCUs or MIs should be reported on both Block 11 and 13.

BLOCK 11: Report all subcontracts awarded to SDBs (including women-owned, veteran-owned, service-disabled VOSBs, and HUBZone SB SDBs). For DOD, NASA, and Coast Guard contracts, include subcontract awards to HBCUs and MIs.

BLOCK 12: Report all subcontracts awarded to WOSB firms (including SDBs, VOSBs, service-disabled VOSBs, and HUBZone SBs owned by women).

BLOCK 13: (For contracts with DOD, NASA, and Coast Guard): Enter the dollar value of all subcontracts with HBCUs/MIs.

BLOCK 14: Report all subcontracts awarded to HUBZone SBs (including women-owned, veteran-owned, service-disabled VOSBs, and SDB HUBZone SBs).

BLOCK 15: Report all subcontracts awarded to VOSBs (including women-owned, SDB, and HUBZone SB VOSBs).

BLOCK 16: Report all subcontracts awarded to service disabled VOSBs (including Service-Disabled Veteran Owned Small Business Concerns that are SDBs, WOSBs, and HUBZone SBs). These subcontracts should also be reported in Block 15.

SPECIAL INSTRUCTIONS FOR COMMERCIAL PLANS

1. This report is due on October 30th each year for the previous fiscal year ended September 30th.

2. The annual report submitted by reporting organizations that have an approved company-wide annual subcontracting plan for commercial items shall include all subcontracting activity under commercial plans in effect during the year and shall be submitted in addition to the required reports for other-than-commercial items, if any.

3. Enter in Blocks 10a through 15b the total of all subcontract awards under the contractor's Commercial Plan. Show in Block 8 the percentage of this total that is attributable to the agency to which this report is being submitted. This report must be submitted to each agency from which contracts for commercial items covered by an approved Commercial Plan were received.

DEFINITIONS

1. Direct Subcontract Awards are those that are identified with the performance of one or more specific Government contract(s).

2. Indirect Subcontract Awards are those which, because of incurrence for common or joint purposes, are not identified with specific Government contracts; these awards are related to Government contract performance but remain for allocation after direct awards have been determined and identified to specific Government contracts.

SUBMITTAL ADDRESSES FOR ORIGINAL REPORT

For DOD Contractors, send reports to the cognizant contract administration office as stated in the contract.

For Civilian Agency Contractors, send reports to awarding agency:

1. NASA: Forward reports to NASA, Office of Procurement (HS), Washington, DC 20546

2. OTHER FEDERAL DEPARTMENTS OR AGENCIES: Forward report to the OSD/BU Director unless otherwise provided for in instructions by the Department or Agency.

FOR ALL CONTRACTORS:

SMALL BUSINESS ADMINISTRATION (SBA): Send "info copy" to the cognizant Commercial Market Representative (CMR) at the address provided by SBA. Call SBA Headquarters in Washington, DC at (202) 205-6475 for correct address if unknown.

U.S. ENVIRONMENTAL PROTECTION AGENCY MBE/WBE UTILIZATION UNDER FEDERAL GRANTS, COOPERATIVE AGREEMENTS, AND INTERAGENCY AGREEMENTS

PART 1. (Reports are required even if no procurements are made during the reporting period.)

1A. FEDERAL FISCAL YEAR 200_____	1B. REPORTING QUARTER (Check appropriate box) <input type="checkbox"/> 1 st (Oct-Dec) <input type="checkbox"/> 2 nd (Jan-Mar) <input type="checkbox"/> 3 rd (Apr-Jun) <input type="checkbox"/> 4 th (Jul-Sep) <input type="checkbox"/> Annual																																						
1C. REVISION Year: _____ Quarter: _____	HIGHLIGHT ITEMS TO BE REVISED AND PROVIDE EXPLANATION IN BLOCK No. 6																																						
2A. FEDERAL FINANCIAL ASSISTANCE AGENCY (EPA Office Address - ATTN: DBE Coordinator)		3A. REPORTING RECIPIENT (Name and Address)																																					
2B. REPORTING CONTACT (EPA DBE Coordinator)	2C. PHONE:	3B. REPORTING CONTACT (Recipient)	3C. PHONE:																																				
4A. FINANCIAL ASSISTANCE AGREEMENT ID NUMBER (SRF State Recipients, Refer to Instructions for Completion of 4A, 5A, and 5C)		4B. FEDERAL FINANCIAL ASSISTANCE PROGRAM																																					
5A. TOTAL ASSISTANCE AGREEMENT AMOUNT EPA Share: \$ _____ Recipient Share: \$ _____	5B. Check and skip to Block No. 7 if no procurements and accomplishments were made this reporting period. <input type="checkbox"/>	5C. TOTAL PROCUREMENT AMOUNT THIS REPORTING PERIOD (ONLY include the amount not in any prior reporting period and procurements made by SRF Loan Recipients and Sub-Recipients) \$ _____ (Exclude procurement amounts reported by Prime Contractors)																																					
5D. ACTUAL MBE/WBE PROCUREMENT ACCOMPLISHED THIS REPORTING PERIOD BY RECIPIENT (SRF State Recipients, Report State Procurement Activities Here) <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 35%; text-align: center;">\$ MBE</th> <th style="width: 35%; text-align: center;">\$ WBE</th> </tr> </thead> <tbody> <tr><td>Construction</td><td>_____</td><td>_____</td></tr> <tr><td>Equipment</td><td>_____</td><td>_____</td></tr> <tr><td>Services</td><td>_____</td><td>_____</td></tr> <tr><td>Supplies</td><td>_____</td><td>_____</td></tr> <tr><td>TOTAL</td><td>_____</td><td>_____</td></tr> </tbody> </table>			\$ MBE	\$ WBE	Construction	_____	_____	Equipment	_____	_____	Services	_____	_____	Supplies	_____	_____	TOTAL	_____	_____	5E. ACTUAL MBE/WBE PROCUREMENT ACCOMPLISHED THIS REPORTING PERIOD BY LOAN RECIPIENTS, SUB-RECIPIENTS, AND PRIME CONTRACTORS <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 35%; text-align: center;">\$ MBE</th> <th style="width: 35%; text-align: center;">\$ WBE</th> </tr> </thead> <tbody> <tr><td>Construction</td><td>_____</td><td>_____</td></tr> <tr><td>Equipment</td><td>_____</td><td>_____</td></tr> <tr><td>Services</td><td>_____</td><td>_____</td></tr> <tr><td>Supplies</td><td>_____</td><td>_____</td></tr> <tr><td>TOTAL</td><td>_____</td><td>_____</td></tr> </tbody> </table>			\$ MBE	\$ WBE	Construction	_____	_____	Equipment	_____	_____	Services	_____	_____	Supplies	_____	_____	TOTAL	_____	_____
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Equipment	_____	_____																																					
Services	_____	_____																																					
Supplies	_____	_____																																					
TOTAL	_____	_____																																					
	\$ MBE	\$ WBE																																					
Construction	_____	_____																																					
Equipment	_____	_____																																					
Services	_____	_____																																					
Supplies	_____	_____																																					
TOTAL	_____	_____																																					
6. COMMENTS:																																							
7. NAME OF AUTHORIZED REPRESENTATIVE		TITLE																																					
8. SIGNATURE OF AUTHORIZED REPRESENTATIVE		DATE																																					

EPA FORM 5700-52A - (5/96)

NOTE: THIS REPORT IS DUE 30 DAYS AFTER THE END OF EACH FEDERAL FISCAL QUARTER IR ANNUAL SUBMISSION DATES ARE:

January 30, April 30, July 30, and October 30*

*SUBMISSION DATE FOR ANNUAL REPORTS

EPA Financial Assistance Agreement Number: _____

A Type of product or service codes:

4 = Equipment

A = Business Services
B = Professional Services
C = Repair Services
D = Personal Services

INSTRUCTIONS

MBE/WBE UTILIZATION UNDER FEDERAL ASSISTANCE AGREEMENTS AND INTERAGENCY AGREEMENTS EPA FORM 5700-52A

A. General Instructions:

MBE/WBE utilization is based on Executive Orders 11625, 12138, 12432, P.L. 102-389 and EPA Regulations Part 30 and 31. EPA Form 5700-52A must be completed by recipients of Federal grants, cooperative agreements, or other Federal financial assistance which involve procurement of supplies, equipment, construction or services to accomplish Federal assistance programs.

Recipients are required to report to EPA within one month following the end of each Federal fiscal year quarter or annually as in the agreement.

B. Definitions:

Procurement is the acquisition through order, purchase, lease or barter of supplies, equipment, construction or services needed to accomplish Federal assistance programs.

A *contract* is a written agreement between an EPA recipient and another party (other than another public agency) and any lower tier agreement for equipment, services, supplies, or construction necessary to complete the project. Includes personal and professional services, agreements with consultants, and purchase orders.

A *minority business enterprise* (MBE) is a business concern that is (1) at least 51 percent owned by one or more minority individuals, or, in the case of a publicly owned business, at least 51 percent of the stock is owned by one or more minority individuals; and (2) whose daily business operations are managed and directed by one or more of the minority owners.

U.S. citizenship is required. Recipients shall presume that minority individuals include Black Americans, Hispanic Americans, Native Americans, Asian Pacific Americans, or other groups whose members are found to be disadvantaged by the Small Business Act or by the Secretary of Commerce under section 5 of Executive order 11625. The reporting contact at EPA can provide additional information.

A *woman business enterprise* (WBE) is a business concern that is, (1) at least 51 percent owned by one or more women, or, in the case of a publicly owned

business, at least 51 percent of the stock is owned by one

or more women and (2) whose daily business operations are managed and directed by one or more of the women owners.

Business firms which are 51 percent owned by minorities or women, but are in fact managed and operated by non-minority individuals do not qualify for meeting MBE/WBE procurement goals.

The following affirmative steps for utilizing MBEs and WBEs are required to be documented:

1. Inclusion of MBEs/WBEs on solicitation lists.
2. Assure MBEs/WBEs are solicited once they are identified.
3. Where feasible, divide total requirements into smaller tasks to permit maximum MBE/WBE participation.
4. Where feasible, establish delivery schedules which will encourage MBE/WBE participation.
5. Encourage use of the services of the U.S. Department of Commerce's Minority Business Development Agency (MBDA) and the U.S. Small Business Administration to identify MBEs/WBEs.
6. Require that each party to a subgrant, subagreement, or contract award take the affirmative steps outlined here.

C. Instructions for Part I:

- 1a. Complete Federal fiscal year.
- 1b. Check applicable reporting box quarterly or annually. **(Federal fiscal year runs from October 1 through September 30.)**
- 1c. Indicate if this is a change to previous year or quarter. **(Highlight items to be revised and provide explanation in Block No.6-Comments.)**
- 2a-c. **"Will be provided by EPA."**

3a-c. Identify the agency, state authority, university or other organization which is the recipient of the Federal financial assistance and the person to contact concerning this report.

4a. Assistance Agreements or Interagency Agreement number assigned by EPA. A separate form must be used for each Assistance Agreement or Interagency Agreement.

***For SRF recipients:** In box 4a list numbers for ALL open Assistance Agreements. SRF recipients will report activity for all Agreements on one form.

4b. Refer back to Assistance Agreement document for this information.

5a. Total amount of Assistance Agreement which includes Federal funds plus recipient matching funds and funds from other sources.

***For SRF recipients only:** SRF recipients will not enter an amount in 5a. Please leave 5a blank.

5b. Self-explanatory.

5c. Total contracts/procurements awarded this quarter. For example: Actual dollars for procurement from the procuring office; actual contracts let from the contracts office; actual goods, services, supplies, etc., from other sources including the central purchasing/procurement centers).

***For SRF recipients only:** In 5c please enter the total procurement amount for the quarter under all of your SRF Assistance Agreements. The figure reported in this section is **not** directly tied to an individual Assistance Agreement identification number.

5d. Dollar amount of all MBE/WBE procurement amounts awarded under this reporting period by the recipient. **(These amounts include the Federal, State and local shares in the procurement awards). (SRF state recipient report state procurements in this section.)**

5e. Dollar amount of all MBE/WBE procurement amounts awarded under this reporting period by the loan recipients, sub-recipients, and prime contractors.

6. Additional comments or explanations. Please refer to specific item number(s) if appropriate.

7. Name and title of official administrator or designated reporting official.

8. Signature and month, day year report submitted.

D. Instructions for Part II:

For each MBE/WBE procurement made under this assistance agreement during the reporting period, provide the following information:

1. Check whether this is a *first tier* procurement made directly by Federal financial assistance recipient or other *second tier* procurement made by recipient's subgrantee or prime contractor. **Include all qualifying second tier purchases executed this quarter regardless of when the first tier procurement occurred.**

2. Check MBE or WBE.

3. Dollar value of procurement.

4. Date of award, shown as month, day, year. Date of award is defined as the date the contract or procurement was awarded, **not** the date the contractor received payment under the awarded contract or procurement, unless payment occurred on the date of award.

5. Using codes at the bottom of the form, identify type of product or service acquired through this procurement (eg., enter 1 if construction, 2 if supplies, etc).

6. Name, address, and telephone number of MBE/WBE firm.

This data is requested to comply with provisions mandated by: statute or regulations (40 CFR Part 30 and 31); OMB Circulars; or added by EPA to ensure sound and effective assistance management. Accurate, complete data are required to obtain funding, while no pledge of confidentiality is provided.

The public reporting and recording burden for this collection of information is estimated to average 1 hour per response annually. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclosure or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, OPPE Regulatory Information Division, U.S. Environmental Protection Agency (2136), 401 M St., S.W., Washington, D.C. 20460. Include the OMB Control number in any correspondence. Do not send the completed form to this address.

THE LIST OF TRANSACTIONS SORTED BY SORT ACCOUNT, ACCOUNT
 SORT ACCOUNT, 530 1396-1715
 10/01/02 - 3/31/03

Account	Object	Date TX	Doc. Num	Vendor Name	PO	EC	Description 1	Minority	Women owned	Small Business	Large Business
530 1393-1788	5-4298	02/24/03	3097937	SCIENTIFIC INSTRUMENT SER	3D01176780	50	222209930	179177138201	0	53.81	0
	5-4298	02/18/03	3095064	SCIENTIFIC INSTRUMENT SER	3D01176780	50	222209930	179177138101	0	103.81	0
	5-4298	10/21/02	3044595	STRUCTURE PROBE INC	3D01142682	50	231733831	00246421N01	0	91.50	0
	5-4298	11/20/02	3055128	RESTEK CORP	3E00915	50	251497733	20042002	0	61.31	0
	5-4205	02/07/03	3084767	DIGI-KEY CORP	3D01176073	50	411234968	1323696801	0	0	89.36
	5-4205	02/03/03	3082314	DIGI-KEY CORP	3D01174089	50	411234968	1321189201	0	0	378.65
	5-4298	10/16/02	3040096	DIGI-KEY CORP	3D01142681	50	411234968	1273081201	0	0	462.60
	5-4205	01/15/03	3079917	APEX MICROTECHNOLOGY CORP	3D01170648	50	860386591	2471301	0	176.61	0
	5-4298	03/19/03	3108376	MDC VACUUM PRODUCTS CORP	3D01188022	50	941624336	C097007468301	0	43.00	0
	5-4298	03/19/03	3108376	MDC VACUUM PRODUCTS CORP	3D01188022	50	941624336	C097007468301	0	43.00	0
530 1393-1788	5-6201	01/17/03	3082962	CHART INC	3E00915	50	D000056980	54852002	0	0	826.44
	5-6201	01/17/03	3082961	CHART INC	3E00915	50	D000056980	54773102	0	0	2,054.15
									0	573.04	3,811.20
	5-4298	03/18/03	3107190	PFEIFFER VACUUM INC	3D01186588	50	020482717INV00031651701		0	0	225.82
	5-4298	03/10/03	3103788	RAININ INSTRUMENT LLC	3D01186586	50	042430712	44345801	0	367.92	0
	5-4298	10/14/02	3043588	WATERS CORPORATION	3D01141177	50	043234558	26370957001	0	0	595.10
	5-4298	10/28/02	3049508	APPLIED BIOSYSTEMS	3D01141176	50	060490270	9182553401	0	0	709.25
	5-4298	03/11/03	3100283	BARNSTEAD INTERNATIONAL	3D01186587	50	133326802	31732401	0	0	486.07
	5-4298	12/16/02	3064740	FISHER SCIENTIFIC CO	3D01161278	50	232942737	372860201	0	0	51.87
	5-4298	10/31/02	3049921	PHENOMEX INC	3D01141179	50	330179479	59688201	0	513.20	0
530 1393-1788	5-4105	01/15/03	3079840	FASTENAL COMPANY	3D01170448	50	410948415	INLAF3478801	0	0	12.80
	5-4298	01/30/03	3087677	VALCO INSTRUMENTS CO INC	3D01168605	50	741730577	41191601	0	37.65	0
	5-4298	01/09/03	3079379	VALCO INSTRUMENTS CO INC	3D01168605	50	741730577	VIC141147101	0	71.65	0
	5-4298	02/27/03	3099520	HELIIX TECHNOLOGY CORPORAT	3D01186584	50	910691489	39068RI00	0	0	2.58
	5-4298	02/27/03	3099520	HELIIX TECHNOLOGY CORPORAT	3D01186584	50	910691489	39068RI01	0	0	-2.58
	5-4298	02/27/03	3099520	HELIIX TECHNOLOGY CORPORAT	3D01186584	50	910691489	39068RI01	0	0	519.94
	5-4298	12/16/02	3069137	BECKMAN COULTER INC	3D01161384	50	951040600	628211FT0101	0	0	190.24
	5-4298	03/13/03	3105585	THE SEPARATIONS GROUP VYD	3D01165181	50	952806431	9162256801	545.00	0	0
	5-4298	02/27/03	3099322	THE SEPARATIONS GROUP VYD	3D01165181	50	952806431	9161863401	450.00	0	0
	5-4298	01/28/03	3041698	THE SEPARATIONS GROUP VYD	3D01165181	50	952806431	9154542501	487.60	0	0
530 1288-1791	5-4298	01/28/03	3041698	THE SEPARATIONS GROUP VYD	3D01165181	50	952806431	CM9158991401	-484.60	0	0
	5-4298	10/14/02	3041698	THE SEPARATIONS GROUP VYD	3D01141180	50	952806431	9148915301	484.60	0	0
	5-4298	10/30/02	3050706	THERMO HYPERSIL-KEYSTONE	3E00915	50	D000056179	3885702	0	0	1,460.90
	5-4298	01/15/03	3082141	MICROM BIORESOURCES INC	3E00915	50	D000056971	1004902	0	0	599.00
									1,482.60	990.42	4,850.99
	5-4298	02/27/03	3093130	ENTEGRIS INC-NW-983	3D01181942	50	411941551	9032382401	0	0	139.93
	5-4298	10/23/02	3042502	INTERNATIONAL WAFER SERVI	3D01144264	50	770262310	1623101	0	355.15	0
									0	355.15	139.93
									0	0	0
									0	355.15	139.93

530	1393-1793	5-4204	10/24/02	3048345	CALBIOCHEM-NOVABIOCHEM CO	3D01144959	50	330273104	96278401	0	0	0	108.00
		5-4204	10/02/02	3036158	CALBIOCHEM-NOVABIOCHEM CO	3D01137507	50	330273104	95458401	0	0	0	208.00
		5-4204	10/24/02	3048345	CALBIOCHEM-NOVABIOCHEM CO	3D01144959	50	330273104	96278401	0	0	0	108.00
		5-4204	10/02/02	3036158	CALBIOCHEM-NOVABIOCHEM CO	3D01137507	50	330273104	95458401	0	0	0	208.00
		5-4123	10/11/02	3040513	BIOANALYTICAL SYSTEMS INC	3E00915	50	351345024	002120018602	0	0	256.00	0
		5-4298	03/18/03	3006996	A DAIGGER & COMPANY INC		50	360972955	CM105766101	0	-25.90	0	0
		5-4298	10/02/02	3031290	PIERCE CHEMICAL COMPANY	3D01137352	50	362548893	53696301	0	0	0	75.50
		5-4206	10/02/02	3031292	PIERCE CHEMICAL COMPANY	3D01137509	50	362548893	53696201	0	0	0	216.50
		5-4204	10/10/02	3041931	PIERCE CHEMICAL COMPANY	3D01140375	50	362548893	54022601	0	0	0	309.50
		5-4204	10/17/02	3045456	E Y LABORATORIES INC	3D01141432	50	942512837	3371801	184.94	0	0	0
		5-4298	10/17/02	3041697	THE SEPARATIONS GROUP VYD	3D01142993	50	952806431	9149365701	0	0	0	0
		5-4298	10/04/02	3033741	THE SEPARATIONS GROUP VYD	3D01137655	50	952806431	9148073401	445.39	0	0	0
		5-4204	10/04/02	3033717	QIAGEN INC	3D01138235	50	95411306	9088574901	445.39	0	0	0
		5-4204	10/03/02	3035492	ISOSEP/FRANK LINDH	3E00915	50	D000055769	0202602	0	0	0	377.61
										1,075.72	-25.90	256.00	2,455.07
530	1393-1793												
530	1396-1794	5-6201	02/11/03	3091881	B & H PHOTO	3D01175810	50	132768071	1039472501	0	0	99.00	0
		5-6201	02/11/03	3091881	B & H PHOTO	3D01175810	50	132768071	1039759601	0	0	2,473.45	0
		5-4298	12/31/02	3073253	COLE-PARMER INSTRUMENT CO	3D01154657	50	362360953	495127601	0	0	0	28.54
		5-4298	11/25/02	3059194	COLE-PARMER INSTRUMENT CO	3D01154657	50	362360953	491891701	0	0	0	79.39
		5-6106	02/14/03	3087194	DELL MARKETING LP	3D01177561	50	742616805	21409480901	0	0	0	975.50
		5-4298	01/29/03	3087073	KG DESIGN		50	D000053757	0001401	0	0	0	183.75
530	1396-1794												
530	1288-1796	5-4298	10/07/02	3040986	UPCHURCH SCIENTIFIC	3D01136243	50	911152807	2273801	0	0	2,572.45	1,267.18
530	1288-1796												
530	1246-1799	5-4203	03/26/03	3104112	ELECTRON MICROSCOPY SCIEN	3D01192353	50	232529717	27682901	0	52.74	0	0
		5-6102	01/28/03	3082334	FISHER SCIENTIFIC CO	3D01172799	50	232942737	539789201	0	0	0	550.76
		5-4298	03/06/03	3096761	FISHER SCIENTIFIC CO	3D01185599	50	232942737	514971701	0	0	0	17.65
		5-4206	01/07/03	3074470	FISHER SCIENTIFIC CO	3D01166796	50	232942737	493363801	0	0	0	25.69
		5-4206	10/04/02	3036094	FISHER SCIENTIFIC CO	3D01137332	50	232942737	168856701	0	0	0	86.04
		5-4298	12/16/02	3064025	PIERCE CHEMICAL COMPANY	3D01162099	50	362548893	56621102	0	0	0	172.75
		5-4218	12/16/02	3064025	PIERCE CHEMICAL COMPANY	3D01162099	50	362548893	56621101	0	0	0	132.75
		5-4204	03/13/03	3105656	SIGMA-ALDRICH CORP	3D01183987	50	431742718	50017633001	0	0	0	202.23
		5-4204	02/27/03	3099355	SIGMA-ALDRICH CORP	3D01181783	50	431742718	50012938201	0	0	0	66.66
		5-4298	01/27/03	3083982	SIGMA-ALDRICH CORP	3D01172783	50	431742718	9978089101	0	0	0	148.55
		5-6198	10/02/02	3031320	SIGMA-ALDRICH CORP	3D01137334	50	431742718	9891159601	0	0	0	38.73
530	1246-1799												
530	1396-1800	5-6102	10/15/02	3039728	HAKAMATSU CORPORATION	3D01138654	50	132638233	000044447501	0	52.74	0	1,441.81
530	1396-1800												
530	1396-1800												
530	1396-1801	5-4298	10/15/02	3038978	MEYER PLASTICS INC	3D01140168	50	350859281	203136201	0	0	96.32	0
		5-6102	10/10/02	3039027	NEWPORT CORPORATION	3D01140169	50	940849175	88414401	0	0	0	71.42

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