

Sikorsky Aircraft Corporation
Comprehensive Small Business Subcontracting Plan
For Fiscal Year 2013

COMPREHENSIVE SMALL BUSINESS SUBCONTRACTING PLAN
SIKORSKY AIRCRAFT CORPORATION
6900 Main Street
P.O. Box 9729
Stratford, CT 06615-9129
CAGE CODE: 78286, 48E41, 2X381, 6Y878 and 4G1C8
DUNS Number: 835551474, 001449735, 095680570, 107254062, and 109063920

THE EFFECTIVE DATE OF THIS PLAN IS:
OCTOBER 1, 2012 THROUGH SEPTEMBER 30, 2013

Prepared by: (b) (6)
Francisco Vasquez
SBLO/Manager, Supplier Diversity

Date: 9/28/2012

Approved by: (b) (6)
Mick Maurer
President

Date: 10/1/12

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

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

Approval of this Plan by DCMA:

(b) (6)
Date: 10-2-2012
Mark G. Olson
Director, Small Business
Defense Contract Management Agency

(b) (6)
Date: 10-2-2012
Margarette Trimble-Williams
Division Chief, Comprehensive
Subcontracting Program Division
DCMA Small Business Center

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

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1. Introduction

Sikorsky Aircraft Corporation (Sikorsky) is pleased to participate in the Test Program for Negotiation of Comprehensive Small Business Subcontracting (Test Program). Under this Test Program, Sikorsky expects to focus its resources on increasing subcontracting opportunities for Small Businesses (SBs), including Alaska Native American Corporations (ANCs) and Indian Tribes, Small Disadvantaged Businesses (SDBs), Women-Owned Small Businesses (WOSBs), HUBZone SBs, Veteran-Owned SBs (VOSBs), and Service Disabled Veteran SBs (SDVOSBs). This Comprehensive Small and Small Disadvantaged Business Subcontracting Plan (hereafter referred to as the "Plan") covers the following Sikorsky entities:

1. Sikorsky Aircraft Corporation, Stratford, CT (SAC) Cage Code 78286 and DUNS# 835551474.
2. Sikorsky Bridgeport, CT, Cage Code 48E41, DUNS#001449735 (satellite facility for Stratford plant; does not have separate contracts)
3. Sikorsky Shelton, CT, Cage Code 2X381, DUNS# 095680570 (satellite facility for Stratford plant; does not have separate contracts)
4. Sikorsky Support Services-Stratford, CT, Cage Code 6Y878, DUNS#107254062 (has some unique contracts)
5. Sikorsky Support Services-Pensacola, FL, Cage Code 4G1C8, DUNS#109063920

All the above entities' subcontracting is managed in SAP and reported under this Plan. Sikorsky will endeavor to enhance its overall SB subcontracting program by focusing its resources on the development and use of SBs, including ANCs and Indian Tribes, as well as SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs. The Plan also establishes specific goals for awarding of subcontracts to the socioeconomic classes referenced in the selected Industry Categories for Development table in Section 15.

2. Background

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

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

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for the U.S. Marines. The major programs that will contribute to Sikorsky's Fiscal Year 2013 plan include:

- BLACK HAWK helicopters: UH-60M, UH-60L, HH-60M, FMS Variant S-70A
- SEAHAWK[®] helicopters: MH-60R, MH-60S, FMS Variant S-70B
- Helicopters for the Marine Corps: CH-53D/E, CH-53K, VH-60/VH-3D

As indicated previously, this Plan covers operations in Connecticut and Florida. There are approximately (b) (4) personnel engaged in the procurement of goods and services. Sikorsky's SBLO is Francisco Vasquez, and he can be reached by phone at (b) (6) or e-mail (b) (6).

3. Policy

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

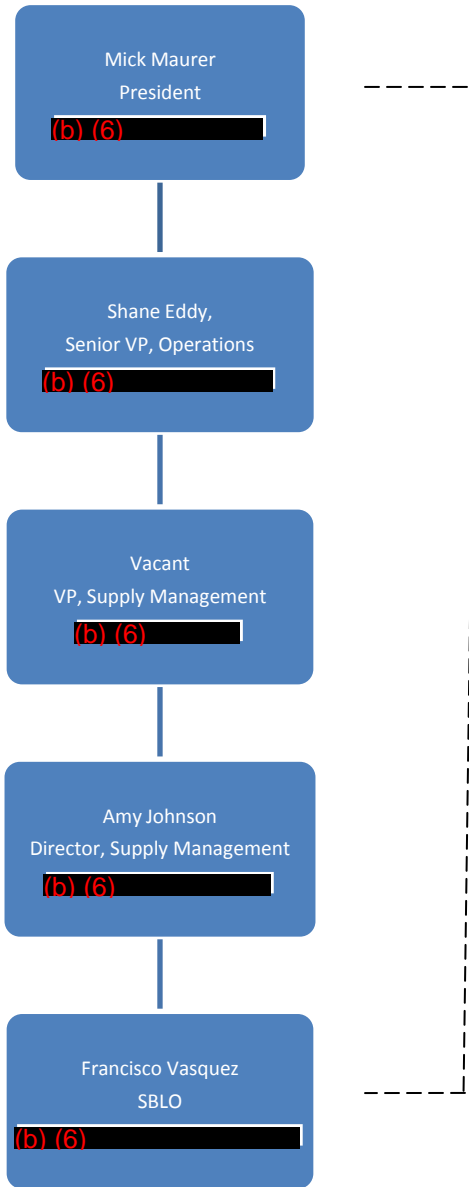
4. Implementation

Implementation of the foregoing is contained within Sikorsky's Supply Management procedures as well as management memoranda and Sikorsky's Small Business Liaison Officer's Handbook. All changes to the procedures require documented approval by the individual who holds the position of Manager, Supply Management Compliance. William Cotton is the current Manager, Supply Management Compliance. He can be reached by phone at (b) (6) or by email (b) (6). The procedures are reviewed and modified as necessary to remain in compliance with applicable public laws and regulatory requirements.

5. Administration of the Plan

To ensure maintenance and optimum improvement in the high performance standards that apply to all contracts being performed by Sikorsky, an administrative organization has been established and given responsibility of ensuring that SBs, including ANCs and Indian Tribes, SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs are provided the maximum practicable opportunities to participate in Sikorsky's subcontracts, consistent with the efficient performance of such subcontracts. Within this organization, Mr. Vasquez reports to Mrs. Amy Johnson. She can be reached by phone at (b) (6) or email (b) (6). An organization chart is provided below for your convenience.

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Small Business Liaison Officer
Francisco Vasquez
6900 Main Street
P.O. Box 9729
Stratford, CT 06615-9129

(b) (6)
[Redacted]
[Redacted]

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6. SBLO Duties

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

- a) Administer all aspects of the Plan, including the development of annual goals for SB, including ANCs and Indian Tribes, SDB, WOSB, HUBZone SBs, VOSB, and SDVOSB, as well as industry categories identified in the Plan. Additionally, the SBLO will cooperate with Government personnel for any periodic reviews conducted in connection with the Plan. Our Plan goals and objectives are company-wide.
- b) Prepare and submit semi-annual status reports (SSR, and supplemental SDB report) in eSRS to the DoD, with a copy to the DCMA Program Manager, Comprehensive Subcontracting Program.
- c) Approve and assist in the development of subcontract plans required by the Contracting Officer for DoD contracts, proposals, and modifications with a value of \$650,000 or more where the proposed efforts offer subcontracting possibilities.
- d) Ensure that Sikorsky is made aware of any issues related to SBs, ANCs and Indian Tribes, SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs.
- e) Ensure that policy memoranda, procedures and operating instructions are current with regard to the implementation requirements of FAR Subpart 19.7 and FAR 52-219-9, as well as DFARS Subpart 219.7, DFARS 252.219-7004, reference Section 834 of public law 101-189 and section 211 of public law 95-507, public law 843- 108-375.
- f) Establish company-wide goals and objectives in support of the Plan with input and approval from VP Product Centers, General Managers (GMs), Commodity Managers (CMs), and Chief Procurement Officers (CPOs).
- g) Verify that training of Sikorsky personnel includes the Small Business Program, and its procedures. (b) (4)
The training is provided to new buyers as well as experienced Supply Management and Commodity Management personnel. Christine Griffiths is the (b) (4) Training Coordinator. She can be reached by phone at (b) (6) or email (b) (6). This training includes the following measures:
Ensure that 100% of Supply Management organization completes the Small Business subcontracting Plan Course by Nov 30 2013.
Ensure that 100% of the Supply Management Organization completes the UTC Supplier Diversity 101 Course by Dec 31 2012.
- h) Provide and/or coordinate assistance to SBs, including ANCs and Indian Tribes, SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs regarding subcontracting with Sikorsky along with procedures regarding such matters as quality requirements, schedule

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requirements, availability of progress payments and assistance with understanding and complying with contractual requirements. Such assistance is ongoing in order to maintain a healthy and responsive supply chain.

- i) Establish, monitor and control reporting on Sikorsky's Small Business and Small Diverse Supplier activity to Sikorsky management, Government agencies, and UTC. On-line progress reports will be available to Senior Management, Chief Procurement Officers, Commodity Managers, and Supply Management Personnel. Additionally, the SBLO and CPOs will review progress and challenges with Senior Management monthly.
- j) Submit status reports on target industries and major initiatives on a quarterly basis, and submit any other documentation that might be requested and obtainable within existing parameters.
- k) Maintain Sikorsky's Small Business Liaison Officer Handbook.
- l) Maintain a database of all active Sikorsky SBs, including ANCs and Indian Tribes, SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs, that is available to Sikorsky's Supply Management Personnel.
- m) Represent Sikorsky in matters related to its SB subcontracting program with applicable government agencies, including DoD, NASA, and SBA, as well as state and local agencies, local Chambers of Commerce, national and regional minority purchasing councils, the Department of Commerce's Minority Business Development Agency (MBDA), and other interested organizations.
- n) Cooperate with the local representatives of the SBA with respect to periodic reviews and/or opportunity referrals.
- o) Ensure that SBs, including ANCs and Indian Tribes, SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs, are considered in make-or-buy decisions.
- p) Participate in programs, opportunity fairs, trade shows, and any such related events that provide SBs with opportunities to introduce their products and/or services as potential subcontractors to Sikorsky. These activities are listed in the Outreach Section of this Plan
- q) Flow down annual Small Business Subcontracting Plan goals into specific objectives to Product Center General Managers, Chief Procurement Officers, and Commodity Managers to ensure Sikorsky meets the Plan.
- r) Identification, on-boarding and development of new suppliers as requested by Sikorsky Product Centers in their Small Business opportunity matrix. Ensure that Product Centers have an integrated strategy to maximize the capacity of existing Small and Small Diverse Businesses.
- s) Present the SB subcontracting program performance to Product Center Senior Management on a quarterly basis.

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- t) Ensure that policy memoranda, procedures and operating instructions are current with regard to the implementation requirements of FAR Subpart 19.7 and FAR 52-219-9, as well as DFARS Subpart 219.7 and DFARS 252.219-7004.
- u) Manage Sikorsky’s Automated Supplier Diversity Reporting Tool. Analyze and audit and report on Sikorsky’s Small and Small Diverse Business supplier data. Use database and Product Center input to develop recommended annual company-wide spend goals for small and small diverse businesses.

7. Small and Small Disadvantaged Business Status

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

8. Sikorsky Aircraft Corporation Goals

The following is a summary of our submission (and goals) for Sikorsky Small Business concerns for the 2013 Comprehensive Subcontracting Plan. These are Small Disadvantaged Business (SDB), Woman Owned Small Business (WOSB), Historically Underutilized Business Zone Small Business (HUB), Veteran Owned Small Business (VOSB) and Service Disabled Veteran Owned Small Business (SDVOSB).

Socio Economic Category	FY2012 Goal		FY2012 Mid Year Achievements		FY2013 Goals (as negotiated between Sikorsky and DCMA)	
LB(Info only)	\$970,000,000	76.5%	\$872,023,352	74.8%	\$913,931,511	77.1%
SB(Including ANCs and Indian Tribes)	\$298,000,000	23.5%	\$294,226,369	25.2%	\$272,055,802	22.9%
Total Subcontracting Dollars	\$1,268,000,000	100.0%	\$1,166,249,721	100.0%	\$1,185,987,313	
SDB(Including ANCs and Indian Tribes)	\$37,000,000	2.9%	\$29,069,602	2.5%	\$28,455,907	2.4%
WOSB	\$65,000,000	5.1%	\$61,428,964	5.3%	\$41,892,851	3.5%
HUBZONE	\$8,700,000	0.7%	\$6,659,741	0.6%	\$11,000,533	0.9%
VOSB	\$19,000,000	1.5%	\$17,966,779	1.5%	\$10,685,304	0.9%
SDVOSB	\$11,400,000	0.9%	\$7,994,299	0.7%	\$5,236,827	0.4%

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The spend shown is a function of the contracts Sikorsky receives from the U.S. Government and the methodology utilized in purchasing the requirements to support those contracts. Indirect spend is included in the subcontracted goals as described in section 11.

The proposed goals for FY 2013, contained in the preceding table, represent Sikorsky’s best estimate of total SB subcontracting for FY 2013 based on data projections as of August 9, 2012. A detailed breakdown of Sikorsky FY2013 Forecasted Spend is provided below in accordance with the Summary Subcontracting Report Calculation Methodology listed in section 11.

Socio Economic Category	FY2013 Forecasted Direct Spend	FY2013 Proportion of “Blank Spend” with Allocation Rate of 74%	FY2013 Forecasted Totals	FY2013 Forecasted Goals
Large	\$529,245,881	\$384,685,631	\$913,931,511	77.1%
Small	\$156,046,184	\$116,009,618	\$272,055,802	22.9%
Total Subcontracting Dollars	\$685,292,064	\$500,695,249	\$1,185,987,313	
SDB	\$14,851,344	\$13,604,563	\$28,455,907	2.4%
WOSB	\$23,200,277	\$18,692,573	\$41,892,851	3.5%
HUBZONE	\$3,939,421	\$7,061,111	\$11,000,533	0.9%
VOSB	\$6,498,522	\$4,186,781	\$10,685,304	0.9%
SDVOSB	\$2,811,947	\$2,424,881	\$5,236,827	0.4%

Goal Substantiation

(b) (4) [Redacted]

[Redacted]

[Redacted]

[Redacted]

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(b) (4)

While it is beneficial that Sikorsky helps its SBs grow, develop and succeed, it creates a challenge when a SB outgrows their size or socioeconomic status since it impacts Sikorsky performance to SB goals. It is not economical to grow and invest in a supplier, fully qualify them to manufacture our parts and subsequently transition the work to another new SB if this supplier outgrows their size or socioeconomic status.

As stated in section 3, it is Sikorsky's policy to afford SBs, including ANCs and Indian Tribes, as well as SDBs, WOSBs, HUBZone SBs, VOSBs, and SDVOSBs, the maximum practicable opportunity to compete for the goods and services required by Sikorsky in the performance of its contracts with the U.S. Government.

Sikorsky will continue to search for and provide opportunities for Small Businesses and Small Business Concerns.

The executive champions of this plan are the VP Supply Management, a vacant position at the time of submission, and Sherrie Casasanta, Vice President Product Centers. Sherrie can be reached by phone at (b) (6) or by email at (b) (6). The subject matter experts (SMEs) are:

- Dave Gunzenhauser, Manager Commodity Management. He can be reached by phone at (b) (6) or by email at (b) (6).
- Ted Coran - CPO. He can be reached by phone at (b) (6) or by email at (b) (6).
- Josh Goodman – CPO. He can be reached by phone at (b) (6) or by email at (b) (6).
- Jeff Brodersen - CPO. He can be reached by phone at (b) (6) or by email at (b) (6).
- Ron Swatt – General Procurement Manager. He can be reached by phone at (b) (6) or by email at (b) (6).

The SBLO will serve as the administrator of Sikorsky's Plan.

9. Methods of Developing Goals

The goals and dollar amounts stated in Section 8 and listed for each socioeconomic category are a percentage of the total amount estimated to be subcontracted for all categories under U.S.

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Government contracts. These projections are based on past performance and the FY 2013 DoD procurement base anticipated at the time this Plan was prepared. Sikorsky firmly believes that our commitment to meeting those goals will increase participation and representation of SBs in the aerospace industry.

10. Proportional Allocation Calculation FY 2013

The Plan percentage goals and selected industry category goals include a proportionate share of products or services whose costs are not specifically identified as direct government procurement. If the product or service costs are identified as “blank,” (defined as neither Government nor commercial procurement) Sikorsky will report proportional allocations of this spend.

Sikorsky will (b) (4) [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

11. Summary Subcontracting Report Calculation Methodology

The SB subcontracting data calculation is consistent with Summary Subcontract Report (SSR) instructions. The calculation is comprised of two prime components:

1. The direct government procurement dollars for all buying groups, and
2. Proportional share of “blank” procurement dollars determined by applying the Allocation Rate. This includes indirect spend.

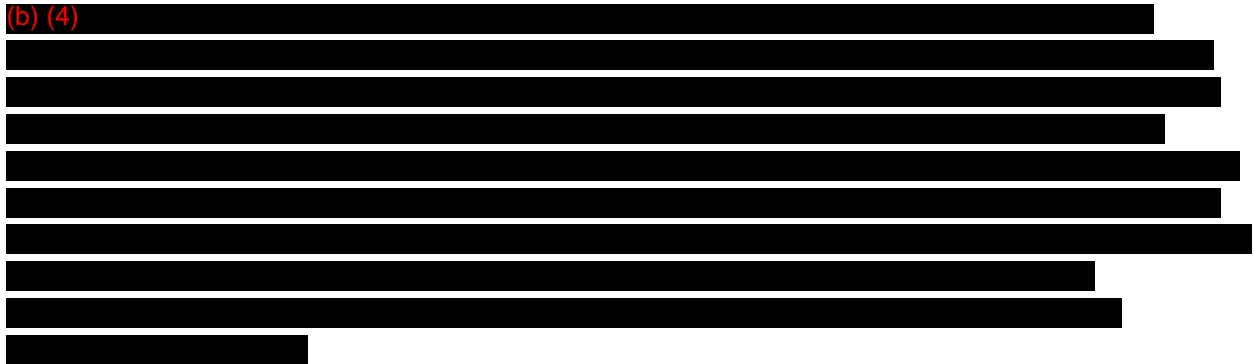
All data utilized to calculate Sikorsky’s SSR form is obtained from our SAP system. The data logic in the system that was utilized for purposes of this Plan is the same logic approved in Sikorsky’s previous Plan.

All DoD revenue is reported and captured on the SSR. Once aggregated under DoD revenue, the dollars are represented on the SSR by socio-economic category. Sikorsky is not positioned systemically to provide program level diverse supplier spend data at this time. Program reporting

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level is not a requirement of the Comprehensive Small Business Subcontracting (Test Program) and Sikorsky structured its SAP System based on its participation in the program under DFARS 252.219-7004. DFARS 219.702 permits contractors to negotiate a Comprehensive Subcontracting Plan in lieu of Individual Plans, consequently Sikorsky's system is configured to provide Small/Small Diverse Business spend data in a manner that reflects the comprehensive approach set forth in the DFARS. Sikorsky's evaluation of program-level reporting has determined that it would take a comprehensive company-wide business model change in order to provide program-level reporting on legacy programs, such as the BLACKHAWK, resulting in an economic impact. Design for manufacturing has led to the shared usage of multiple parts across different programs, and it would take a shift in supply management culture and SAP in order to differentiate the small hardware that is purchased for multiple programs.

(b) (4)



12. Overall Progress:

- The SB percentage increased from 17% in FY 2010 to 22.3% in FY 2011. As of August 13, 2012, it is projected to end FY 2012 at 24.12%
- The SDB percentage increased from 2.2 % in FY 2010 to 3.0% in FY 2011. However as of August 13, 2012, it is projected to end FY 2012 at 2.21%
- The WOSB percentage increased from 3.8% in FY2010 to 5.2% in FY 2011. However as of August 13, 2012, it is projected to end FY 2012 at 4.91%
- The HUBZone Small Business Percentage has increased from 0.2% in FY 2010 to 0.5% in FY 2011. As of August 13, 2012, it is projected to end FY 2012 at .6%
- The VOSB percentage has increased from 1.1% in FY 2009 to 1.4 % in FY 2010. As of August 13, 2012, it is projected to end FY 2012 at 1.62%
- The SDVOSB percentage has increased from .6% in FY 2010 to .7% in FY 2011. As of August 13, 2012, it is projected to end FY 2012 at .7%

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13. Program Enhancements:

Sikorsky continually evaluates its SB subcontracting program and is committed to providing opportunities for diverse suppliers to achieve strong relationships with Sikorsky. Sikorsky is pleased with its ability to integrate small businesses into core processes, and believes that the tools and strategies necessary to bring opportunities to the supply base are in place and will continue to be improved until they are "best in class." (b) (4)

[REDACTED]

[REDACTED]

Sikorsky will use the FY2013 Small Business Subcontracting Plan as an internal written requirement, which will allow the SBLO to ensure that all items of the Plan are achieved and backed by a team of dedicated supply chain personnel. In addition to holding people accountable (b) (4), senior management will be regularly briefed on performance against our supplier diversity goals. If any of the objectives are not being met, a recovery plan will be presented by the initiative owner.

Sikorsky evaluates its SB subcontracting program on an ongoing basis with the intent to become best-in-class. In addition to the initiatives noted in this Plan, in FY 2013, Sikorsky intends to enhance its current program practices as detailed below.

- The training module has been modified and updated by the SBLO. (b) (4)
[REDACTED]
[REDACTED]
requires all new buyers and experienced supply management personnel, to be familiar with the material. The training records for this class are available upon request. .
- Sikorsky annually nominates both employees and suppliers for consideration by the UTC Supplier Diversity Office to be recognized for their efforts under UTC's Diversity Awards Program. Sikorsky also recognizes individuals for their contribution to Sikorsky's SB subcontracting program by having them represent Sikorsky at various events, such as the Greater New England Minority Supplier Development Council's (GNEMSDC) Annual Golf Outing and the GNEMSDC's Annual Awards Banquet. Additionally, Sikorsky also has an internal awards program called the "peer to peer" award. The SBLO uses this system to recognize on a quarterly basis Sikorsky personnel for outstanding efforts to

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foster, promote and utilize small and diverse businesses. These awards are highlighted at the Supply Management All Hands meeting by the VP Supply Management.

- A significant program enhancement for FY 2013 is the Program Management Reviews with key leadership of the Product Centers. The Product Centers manage the majority of the military spend and therefore have the greatest opportunity for SB growth.

These monthly reviews of the SB subcontracting program performance are conducted with Sikorsky Chief Procurement Officers. These reviews include monthly strategy and success story reviews detailing the progress of each Product Center and Commodity Manager’s performance to the goals set forth in this Plan. In addition, the SBLO conducts a Quarterly Performance Management Review with the VP Product Centers, General Managers, and Chief Procurement Officers of each product center. Additionally, the SBLO conducts regular reviews with the owners of specific elements of their Plan, highlighting SB subcontracting program progress and challenges. A recovery plan will be required from the specific Manager where goals are not being met. The executive champion is Sherrie Casasanta.

14. Description of Principle Types of Supplies and Services to subcontracted

As a large defense contractor, Sikorsky awards subcontracts for a wide variety of goods and services. The principal products and services with the potential for subcontracting in FY 2013 with SB (including ANCs and Indian tribes), SDB (including ANCs and Indian tribes), WOSB, HUBZone, VOSB, and SDVOSB, include, but are not limited to, the commodities indicated in the following table.

Type	SHEET METAL	COMPOSITES / PLASTICS	MACHINED PARTS	AVIONICS / ELECTRICAL	HARDWARE	EQUIPMENT	HYDRAULICS	CASTINGS	FORGINGS	RAWMA	GEARS & HSGS	BEARINGS
SB	x	x	x	x	x	x	x	x	x	x	x	x
SDB	x	x	x	x		x	x					
WOSB	x	x	x	x	x	x	x	x				
HUBzone	x	x	x	x								
VOSB	x	x	x	x	x	x			x			
SDVOSB		x	x									

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Every commodity manager and buying group will be responsible for monitoring their SB spend.

(b) (4)
 [Redacted text block]

15. Two Industry Categories for Development

Sikorsky’s Supply Management Organization has designated two Chief Procurement Officers to lead the FY 2013 Industry Categories discussed below:

NAICS	SB Concern Category	Commodity	Increased spend Goal	Point of contact
332710	SDB (including ANCs and Indian tribes)/ SDVOSB	(b) (4)	(b) (4)	Ted Coran CPO (b) (6)
321211	HUBZone	(b) (4)	(b) (4)	Josh Goodman CPO (b) (6)

Sikorsky will continue to increase its efforts to foster growth of the two industry categories listed above through FY 2013. Sikorsky believes this will have a positive impact on our efforts to achieve the SDB (including ANCs and Indian tribes) /SDVOSB subcontracting goals and increasing spend on HUBZone (b) (4).

(b) (4)
 [Redacted text block]

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(b) (4)

The SBLO will have responsibility for monitoring the target industries and will provide quarterly progress reports beginning January 30, 2013, to be submitted to the DCMA Sikorsky Program Manager.

16. Identification and Development of Potential Sources

Sikorsky utilizes directories of potential SB, SDB, WOSB, VOSB, SDVOSB, and HUBZone sources, such as the Sikorsky Internal Directory of Suppliers, System of Acquisition Management (SAM.gov), the Greater New England Minority Supplier Development Council, the United Technologies Supplier Registration Database, and VETBiz. We obtain information about potential suppliers from organizations such as the Aerospace Industries Association, Chambers of Commerce, other major corporations, and other subsidiaries and divisions of UTC.

Additionally, Sikorsky regularly attends and actively participates in Federal procurement conferences, trade shows, matchmaker events, corporate meetings, industry conferences, seminars, and related functions for purposes of identifying potential new SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB business sources. (See Section 27 for a listing of outreach activities). We will track the impact of these efforts on the growth of our initiatives to increase awards to SBs.

17. Efforts to Publicize Subcontracting Opportunities

In a cooperative effort, the UTC Supplier Diversity Council and Sikorsky have developed a supplier diversity web site that features the following information to assist suppliers: supplier registration, contact information, subcontracting opportunities, "How to do business with UTC", product descriptions, links to division web sites and much more. This can be reached through the Sikorsky supplier diversity website, accessible through www.sikorsky.com, under the Sikorsky Supplier Diversity page Suppliers and Licensing> Supplier Resource>Supplier Diversity).

Sikorsky also participates in Federal procurement conferences, trade fairs, industry conferences and local organizations such as Chambers of Commerce, regional minority purchasing councils and small business development associations. Sikorsky will, in conjunction with UTC, continue to sponsor events associated with the Greater New England Minority Supplier Development Council including its Trade Expo, Annual Banquet, and Golf Outing.

Sikorsky uses the following process to review supplier inquiries:

- 1) Supply management personnel will register to receive information on both new and existing suppliers utilizing the Sikorsky/UTC Registration Website.

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- 2) Suppliers will be directed to register through Sikorsky/UTC's on-line Supplier Registration System.
- 3) Commodity Managers, Product Center General Managers, and Chief Procurement Officers will reevaluate existing suppliers' capabilities and capacity. The CMs, GMs and CPOs will then match those suppliers to potential opportunities.
- 4) Sikorsky has developed and implemented use of a revised SA 1048 Form (Annual Certifications and Representations) to include a section that requires the supplier to recertify their socioeconomic status on an annual basis.
- 5) Communication to all suppliers of the FAR requirements and penalties for misrepresenting their socioeconomic status.

18. Subcontract Flow down Provisions

Sikorsky incorporates the "Utilization of Small Business Concerns" clause contained in FAR 52.219-9 in all subcontracts that offer further subcontracting opportunities, and requires all subcontractors that are subject to the requirements of FAR 52.219-9 and receive subcontracts in excess of \$650,000 (over \$1,500,000 for construction of a public facility) to adopt a plan similar to the plan described in the clause. Sikorsky collects, reviews, accepts or rejects, and files these plans in the procurement package. Further, Sikorsky complies with FAR 52.219-8 (Utilization of Small Business Concerns) and DFARS 252.219 -7004 (Small Business Subcontracting Plan (Test Program)). When an SSR/ISR is submitted by the subcontractor in eSRS, it is reviewed and accepted or rejected by Sikorsky. Sikorsky will submit an SSR using the eSRS per DoD instructions.

19. Records

Sikorsky maintains records to demonstrate that its policies and procedures have been implemented, to track performance, and to assure compliance with the requirements and goals reflected by the subcontract plan. Such records include the following:

- a) SB, SDB, WOSB, HUBZone SBs, VOSB, SDVOSB and ANC's and Indian Tribes source lists, guides and web links that enable procurement personnel to identify and provide subcontracting opportunities to such businesses.
- b) Records of all outreach efforts to obtain data and use SBs, SDBs, WOSBs, HUBZone SBs, VOSBs, SDVOSBs and ANCs and Indian Tribes which is obtained through interface with the Federal government, industry organizations, trade associations, business development organizations as well as Sikorsky's participation in conferences, trade fairs, matchmakers, and related procurement conferences.
- c) Records of all awards of \$100,000 or more, indicating on each solicitation whether:
 - 1) A SB was solicited and if not, why not

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- 2) A SDB was solicited and if not, why not
- 3) A WOSB was solicited and if not, why not
- 4) A HUBZone SB was solicited and if not, why not
- 5) A VOSB and/or SDVOSB was solicited and if not, why not.

20. Mentor-Protégé Program

Sikorsky is an active participant in the DoD sponsored Mentor-Protégé program. Our goal is to enhance the capabilities of the Mentor-Protégé participants to allow them to compete for Sikorsky subcontracts and for direct contracts with the DoD and other prime contractors.

(b) (4) [Redacted text block]

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Sikorsky will continue to assist in developing collaborative relationships between former and existing protégés and other corporate partners.

21. Small Business Innovative Research/Small Technology Transfer Research Program (SBIR/STTR)

Sikorsky will focus its efforts to subcontract with at least one additional SBIR project or client in FY2013. (b) (4)

Sikorsky's functional and program teams will continue to evaluate candidates for potential opportunities. The executive champion is Chris VanBuiten VP of Technology and Innovation. He can be contacted by phone at (b) (6) or by email (b) (6).

(b) (4)

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(b) (4)

(b) (4)		Anticipated Value	Status as of 8/8/2012
Company	Address		
(b) (4)	(b) (4)	(b) (4)	(b) (4)
(b) (4)	(b) (4)	(b) (4)	(b) (4)
(b) (4)	(b) (4)	(b) (4)	(b) (4)
(b) (4)	(b) (4)	(b) (4)	(b) (4)

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(b) (4)			
Company	Address	Anticipated Value	Status as of 8/8/2012
[REDACTED]	[REDACTED]	(b) [REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	(4) [REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

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

(b) (4)			
Company	Address	Anticipated Value	Status as of 8/8/2012
(b) [REDACTED] (4) [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED] [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED] [REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED] [REDACTED] [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED] [REDACTED]
[REDACTED] [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED] [REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED] [REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

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(b) (4)

(b) (4)			
Company	Address	Anticipated Value	Status as of 8/8/2012
_____	(b) (4) _____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(b) (4)

(b) (4)			
Company	Address	Anticipated Value	Status as of 8/8/2012
(b) (4)	_____	_____	_____
_____	_____	_____	_____

Sikorsky Innovations was also a Platinum Sponsor of the 2012 SBIR & Global Trade Summit held on July 24-26, 2012. Chris VanBuiten was a speaker on the topic of “Scouting for Innovation”. Chris’s key message was outreach to innovative small companies with technical expertise aligned to Sikorsky areas of focus. Chris and his team continually seek new suppliers for potential collaboration in technology solutions.

22. Historically Black Colleges and Universities and Minority Institutions (HBCU/MI)

Sikorsky has established a long-term relationship with a HBCU/MI in FY 2012 with Vaughn College of Aeronautics and Technology (VCAT) that is located in Flushing, NY. VCAT is a Minority Institution supporting Sikorsky in the area of research and development, as well as

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some other potential engineering services work. This agreement includes collaboration, teaming, internships, co-ops, mentoring..

Sikorsky will also continue to support the INROADS program, whose mission is *“To develop, and place talented minority youth in business and industry and prepare them for corporate and community leadership.”* This is an early identification program, of high potential minority talent from colleges across the country.

In addition, each year executives attend and present at conferences held by the National Society of Black Engineers (NSBE) and support different outreach events. The following is a list of activities in which Sikorsky participates:

- Sikorsky Engineering Diversity Council (EDC) is a Diamond sponsor of NSBE Region 1
- Sikorsky EDC advertises internships and scholarships to qualified NSBE members via the Igor Sikorsky Scholars Program (ISSP)
- Sikorsky EDC sponsors the NSBE’s annual Regional Leadership Conference.
- Several Sikorsky employees facilitate workshops at various NSBE conferences (local, regional and national level).
- Sikorsky employees also support the Bridgeport NSBE Jr. Chapter.

23. Make-or-Buy Decisions

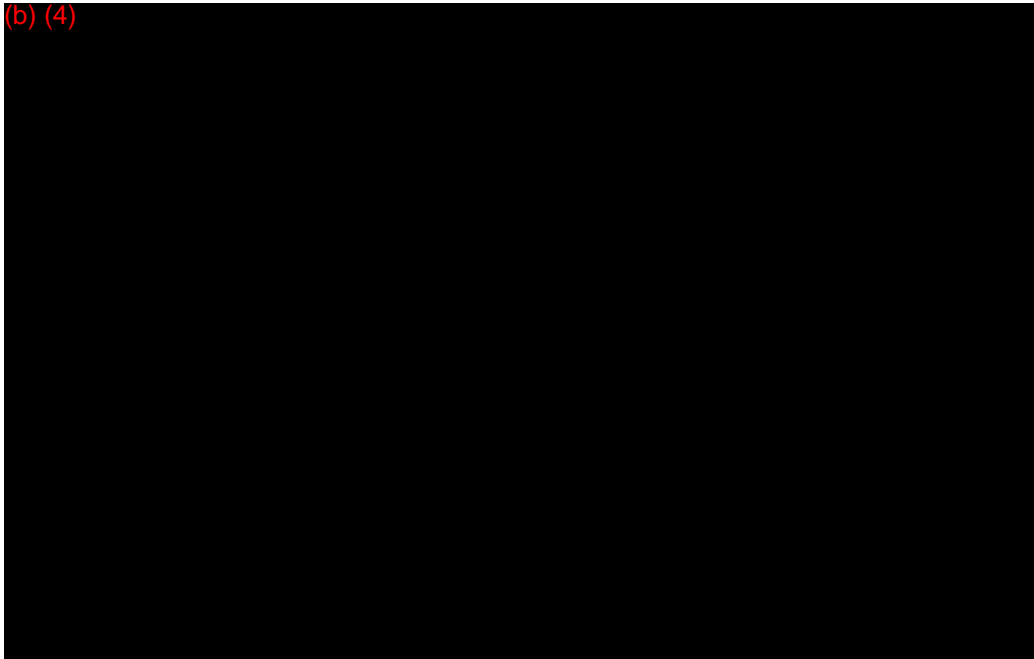
(b) (4) [Redacted text block]

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24. Submission of Required Reports

On a semi-annual basis, Sikorsky will submit an SSR in accordance with DFARS 252.219-7004. Sikorsky will work to ensure that all applicable subcontractors (except SBs) who receive subcontracts in excess of \$650,000 (over \$1,500,000 for construction of a public facility) submit ISR's and SSR's by agreeing to the terms of SA Form 5568 (Small Business Subcontracting Plan). On a semi-annual basis, no later than 30 days after each reporting period, Sikorsky will provide a narrative (within the "Remarks" section of the SSR) on any deviations from industry category development objectives or subcontracting goals to the local DCMA. Any additional customer written requests for data associated with deviations to the industry category development objectives and subcontract award goals will be submitted in writing to the DCMA Program Manager, Comprehensive Subcontracting Program Division.

Sikorsky is fully committed to continuing its participation in the OSBP study that is being conducted by Triumph Enterprises.

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25. MAJOR INITIATIVES

25.1 Initiative 1 (SDVOSB)

SDVOSBs are underrepresented in the aerospace industry. In order to increase their representation, Sikorsky continues to focus on increasing the subcontracts awarded to suppliers in this category. This initiative consists of the following components:

- A) (b) (4) [REDACTED]
- B) **Increase spend.** Sikorsky has established an overall goal of 0.6 % of total projected DoD spend, which equates to \$7,115,923 of forecasted business targeted for SDVOSBs in FY 2013. The dollars being measured will correlate to the percentage of spend. To meet this challenge, Sikorsky will work in conjunction with the UTC Supplier Diversity Office, other UTC entities, the U.S. Department of Veteran Affairs, other veterans' organizations, such as the Elite Service Disabled Veteran Owned Business Network, Additionally; Sikorsky will pursue any other activities that may lead to opportunities with SDVOSB firms.
- C) **SDVOSB conference.** Sikorsky will attend a SDVOSB conference in FY 2013 to match potential opportunities with appropriate businesses in these categories. This conference will include Sikorsky strategic sourcing personnel as well as functional decision makers.

Executive Champion for this initiative is Bill Falk, General Manager of Avionics. Bill can be reached by phone at (b) (6) [REDACTED] or by email at (b) (6) [REDACTED].

The SBLO, in conjunction with the Manager of Commodity Management and the applicable Chief Procurement Officers, will have responsibility for monitoring the target industries and will be able to provide quarterly progress reports to the DCMA Sikorsky Program Manager beginning January 30, 2013. The SBLO and DCMA Sikorsky Program Manager will have monthly teleconferences for status reviews of the various initiatives.

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25.2 Initiative 2 (Additional Domestic SDB, WOSB, SDVOSB, VOSB, HUBZone and Native American Sources)

The second initiative focuses on adding new domestic SB suppliers in the area of machined components in FY 2012. (b) (4)

(b) (4) Included in the bid are SBs and Small Business concerns who are either new or existing suppliers to Sikorsky, and suppliers who have previously performed work for Sikorsky in this commodity. All the suppliers were identified by Toan Hinh, Commodity Manager, as part of his strategy to maximize SB and SDBs in the commodity for which he is responsible.

Toan is the owner of this initiative and can be reached by phone at (b) (6) or by email at (b) (6)

The strategy is to evaluate the SB suppliers based on their competitiveness in response to Requests for Quotation. Once their competitiveness is established, the Commodity Manager will coordinate visits to the suppliers by a Sikorsky team. The team will work with the competitive suppliers to ensure that the suppliers can successfully perform the work specified without jeopardizing their financial stability and quality and delivery ratings. (b) (4)

Upon completion of the reviews which occurred in FY 2012, Purchase Order awards have been, and will continue to be issued, to suppliers who have been determined to be a new value-added member of the Sikorsky supply base.

Based on the complex processes involved, this initiative will span FY 2011 through FY 2013. (b) (4)

25.3 Initiative 3 (Small Business Growth/Development)

Sikorsky's third initiative in this Plan is a continuing focus on increasing it's spend with SBs by \$8,400,000 (3%) over the previously projected baseline of \$281,000,000 for FY 2012. Success will be measured by Sikorsky's Product Centers achieving a total spend with SBs of \$289,430,000 by the end of FY 2013.

The rationale for a two year initiative is based on the fact that qualification of new suppliers and capacity building at existing suppliers is a long-term process that is sensitive to ensuring Sikorsky's new and existing suppliers can accomplish the increased workload without jeopardizing their financial stability, quality and delivery ratings.

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The Executive Champion is Sherrie Casasanta, Vice President Product Centers. The development and implementation of the strategies to be utilized in this initiative will be the responsibility of the Product Center's General Manager (GM) and Chief Procurement Officer (CPO). The Product Center and the associated General Manager is listed below along with their contact information.

Bill Falk, GM-Avionics. Bill can be reached by phone at (b) (6) or by email at (b) (6).

Alan Walling, GM-Blades. Alan can be reached by phone at (b) (6) or by email at (b) (6).

Reid Dunlap, GM-Rotor Systems and Transmissions.. Reid can be reached by phone at (b) (6) or by email at (b) (6).

Mark Francis, GM-Aerostructures. Mark can be reached by phone at (b) (6) or by email at (b) (6).

The SBLO, along with the GMs, will have responsibility for monitoring each Product Center's progress toward meeting the SB goal set forth above and will provide quarterly progress reports to the DCMA Sikorsky Program Manager beginning January 30, 2013. SBLO and DCMA Sikorsky Program Manager will have monthly teleconferences for status reviews of the initiatives.

26. Completion of the Test Program

Upon expulsion from the Test Program or Test Program termination, Sikorsky shall negotiate and establish individual subcontracting plans on all future DoD contracts that otherwise meet the requirements of Section 211 of Public Law 95-507.

27. Outreach Activities

Sikorsky Aircraft will continue to strive to improve its SB subcontracting program and will make all reasonable efforts to support the Outreach Events shown below.

Identified Outreach Events for FY 2013 are as follows:

GNEMSDC: Trade Expo and Awards Gala 2013 (FY13 Q4).

NMSDC: National Event, October 2012 (FY13 Q1)

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MED Week National Event September 2013 (FY13 Q4)

TRIAD Events: Spring, Summer, Fall: 2013 (Dates TBD)

Veterans/ Service Disabled Veterans Conference or alternate 2012 (Dates TBD)

Mentor-Protégé Conference: TBD 2013

DoD Northeast Council Matchmaker Events (Dates TBD)