



U.S. Small Business
Administration

Report to Congress on Mentor-Protégé Programs for Fiscal Year 2020

September 14, 2021

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List of the 7 CFO Act Agencies

Department of Homeland Security (DHS)

Department of Defense (DoD)

Department of Energy (DOE)

Department of Transportation (DOT)

General Services Administration (GSA)

National Aeronautics and Space Administration (NASA)

Small Business Administration (SBA)

Abbreviations

All Small Mentor-Protégé Program (ASMPP)
Capability Maturity Model Integration (CMMI)
Certified Information Systems Security Proficiency (CISSP, note DoD has it as CSSIP)
Cybersecurity Maturity Model Certification (CMMC)
Economically Disadvantaged Women-Owned Small Business (EDWOSB)
Excluded Parties List System (EPLS)
Federal Acquisition Regulation (FAR)
Federal Business Opportunities (FedBizOps)
Federal Procurement Data System-Next Generation (FPDS-NG)
Fiscal Year (FY)
General Services Administration Acquisition Regulation (GSAR)
Historically Black Colleges and Universities (HBCUs)
Historically Underutilized Business Zone (HUBZone)
Human Capital and Training (HCAT)
Information Technology (IT)
International Organization for Standardization (ISO) 9000
Mentor-Protégé Agreement (MPA)
Mentor-Protégé Program (MPP)
Minority-Servicing Institution (MSI)
Office of Small and Disadvantaged Business Utilization (OSDBU)
Small Business Concern (SBC)
Small Business Innovation and Research (SBIR)
Small Business Technology Transfer (STTR)
Small Disadvantaged Business (SDB)
Service-Disabled Veteran-Owned Small Business (SDVOSB)
Software Engineering Institute/Capability Maturity Model(SEI/CMM)
System for Award Management (SAM)
Technology Readiness Levels (TRLs)
Veteran-Owned Small Business (VOSB)
Women-Owned Small Business (WOSB)

Report to Congress on Mentor-Protégé Programs for Fiscal Year 2020

I. Introduction

The Small Business Act (the Act), at Section 45(c), requires the Small Business Administration (SBA) to submit a report on Mentor-Protégé programs to the Committee on Small Business of the House of Representatives and the Committee on Small Business and Entrepreneurship of the Senate. 15 U.S.C. § 657r(c) requires annual reporting:

“(1) In general. Not later than 2 years after the date of enactment of this section [enacted Jan. 2, 2013], and annually thereafter, the Administrator shall submit to the Committee on Small Business of the House of Representatives and the Committee on Small Business and Entrepreneurship of the Senate a report that—

- A identifies each Federal mentor-protégé program;*
- B specifies the number of participants in each such program, including the number of participants that are—*
 - i. small business concerns;*
 - ii. small business concerns owned and controlled by service-disabled veterans;*
 - iii. qualified HUBZone small business concerns;*
 - iv. small business concerns owned and controlled by socially and economically disadvantaged individuals; or*
 - v. small business concerns owned and controlled by women;*
- C describes the type of assistance provided to protégés under each such program;*
- D describes the benefits provided to mentors under each such program; and*
- E describes the progress of protégés under each such program with respect to competing for Federal prime contracts and subcontracts.*

II. Federal Mentor-Protégé Programs

Six Federal agencies reported six active Mentor-Protégé Programs (MPPs) in Fiscal Year (FY) 2020. One Federal agency, GSA, retired its Mentor Protégé Program; however, this report reflects GSA with one active Mentor Protégé agreement in existence prior to the establishment of SBA's All Small Mentor Protégé Program and whose agreement was still active in FY 2020.

One Federal agency, Department of Transportation (DOT), reported that all the Mentor-Protégé relationships active in FY2019 expired at the end of the 2019 fiscal year. The agency's office did not receive new applications in FY 2020 regardless of the outreach activities performed throughout the fiscal year. Moving forward, the agency's goal will be to increase program awareness and participation.

SBA's All Small Mentor-Protégé Program (ASMPP), established in FY2017, is the largest of all Federal MPPs, with 100 approved partnerships, followed by SBA's 8(a) MPP with 395 approved partnerships, and Department of Defense (DOD), Department of Homeland Security (DHS), Department of Energy (DOE), and NASA. Department of Transportation (DOT) resumed its Mentor-Protégé Program effective March 14, 2019.

III. Distribution of Small Business Participants

The Federal agencies with active MPPs in FY 2020 reported 1,545 Mentor-Protégé partnerships. Over 90% of all Federal Mentor-Protégé agreements were administered through SBA's 8(a) and All Small Mentor-Protégé Programs.

Table 1 summarizes the number of program participants that are: non-categorized Small Business Concerns (SBCs), Small Disadvantaged Businesses, including 8(a) firms (SDBs), Woman-Owned Small Businesses (WOSBs), non-Service-Disabled Veteran Owned Small Businesses (VOSBs), Service-Disabled Veteran Owned Small Businesses (SDVOSBs), HUBZone enterprises, and Historically Black Colleges and Universities (HBCUs).

In addition to participating as a protégé, a small business may also participate in program as a mentor.

Table 1

Mentor-Protégé Programs by Federal Activity with Number of Small Business
Participants and Socioeconomic Category Representation in FY 2020¹

Federal Agency	SBC²	SDB	WOSB/EDWOSB	SDVOSB	VOSB³	HUBZone	HBCU/MSI	Total Agreements⁴
DoD	24	15	8	10		4		61
DOE		20	13	11		7		40
DOT								0
DHS	2	28	10	27		9		36
GSA			1	1				2
NASA		4	7	2	2	2	1	10
SBA: 8(a)		395						395
SBA: ASMPP	100	604	341/254	397	44	149	0	1175
Grand Total	126	462	39	51	2	22	1	1545

¹ As reported by each Federal Activity. Some agencies authorize participation by entities that are not businesses, including non-profit organizations and Historically Black Colleges and Universities.

² Small Business Concerns that do not fall into a category otherwise represented in the table.

³ Veteran Owned Small Businesses that are not Service Disabled.

⁴ Figures in the rows will not add up to Total Agreements because many protégés qualify in multiple categories.

IV. Assistance and Benefits to Protégés (by Federal Activity)

Federal MPPs throughout the government provide different types of assistance to protégés, and the participant relationships formed through these programs provide benefits to both protégé and mentor. The following section outlines the assistance and benefits provided to protégés through each of the four active MPPs, as submitted by the Agency. One Federal agency, DOT, received no new applications in FY 2020. All of the DOT's active FY 2019 active Mentor-Protégé Agreements expired at the end of the 2019 fiscal year. One Federal agency, GSA's Mentor Protégé program is not active; however, one (1) agreement was in place before SBA's ASMPP was started. GSA will report on those Mentor-Protégé agreements until it is no longer active.

Department of Defense (DOD)

Mentors provided Small Business protégés with the following types of assistance:

- 1) Mentors helped protégés transform from Firm Fixed Price subcontractors to Cost Plus Offerors by helping small businesses create Defense Contract Audit Agency compliant Cost Accounting Systems. Pursuant to FAR Part 15.4 this is a requirement of any SBC in order to become a Prime Contractor on any Cost-type contract.
- 2) Mentors helped protégés receive Facility Security Clearances to review solicitations and submit proposals for classified work.
- 3) Mentors helped protégés obtain certifications such as ISO 9000, CSSIP, and CMMI, required to bid on many DoD contracts.

Department of Energy (DOE)

Technical, business and/or administrative assistance provided to the protégé includes:

- 1) Quality Assurance and Quality Control
- 2) Marketing Assistance and Networking
- 3) Cost Estimating
- 4) Proposal Writing
- 5) Strategic Business Planning
- 6) Construction Management
- 7) Project Budgeting and Controls
- 8) Risk Management
- 9) Safety and Health Programs and Practices
- 10) Training in Research and Development Technologies
- 11) Developing Human Resources policies

Department of Homeland Security (DHS)

In addition to providing small businesses with mutually beneficial developmental assistance, the program is also designed to:

- 1) Improve the performance of contracts and subcontracts;
- 2) Foster the establishment of long-term business relationships between large prime contractors and small business subcontractors; and
- 3) Strengthen subcontracting opportunities and accomplishments through pre and post incentives.

National Aeronautics and Space Administration (NASA)

All protégés, with the exception of HBCU/Minority Serving Institutions (MSI) organizations, must receive a minimum of 70% Technical Assistance based on the total proposed cost of the agreement, with the remainder of 30% or less being Business Development.

Examples of MPP development assistance includes, but is not limited to:

- 1) Technical Development including:
 - a. Aerospace and lean manufacturing
 - b. Quality Management programs: ISO 9000 Certification, SEI/CMM certification
 - c. Technology transfer
 - d. Telecommunication and satellite services
 - e. Obtaining security clearances
- 2) Business Development, including:
 - a. Organizational planning management: Strategic and Business Planning, legal/risk management, proposal development
 - b. General business/ business development/ marketing/ sales: Market Research, Product Forecasting; web-based marketing, e-commerce
 - c. Human Resource Management

HBCU/MSI proteges receive a minimum of 70% Business Development and 30% Technical Assistance. The type of developmental assistance HBCU/MSIs receive has been tailored to assist them in navigating the world of government contracting and harnessing the tools necessary to acquire government contracts in addition to grants. HBCUs/ MSIs can benefit more from

business development assistance and mentors can harvest the technology being developed by the HBCU/MSI.

Small Business Administration (SBA)

Protégés in both the All Small Mentor Protégé and 8(a) Mentor-Protégé Programs share similar benefits including:

- Improved access to the Federal marketplace through joint venture opportunities with mentor;
- Stronger ability to stand-alone and bid independently from mentor on Government contracts;
- Expanded opportunity for subcontracts from mentor;
- Increased wealth and employment growth;
- Enhanced business capabilities and experience through guidance and mentoring from experienced firms in the following areas:
 - Guidance on internal business management systems, accounting, marketing, manufacturing, and strategic planning;
 - Financial assistance in the form of equity investments, loans, and bonding;
 - Assistance navigating Federal contract bidding, acquisition, and performance process;
 - Education about international trade, strategic planning, and finding markets;
 - Business development, including strategy and identifying contracting and partnership opportunities; and

- General and administrative assistance, like human resource sharing or security clearance support.

General Services Administration (GSA)

Assistance provided to protégés under GSA' s program in Fiscal Year 2020 included:

- a. Continued training on updated Government regulations and advice on contract administration and compliance
- b. Organizational management support in corporate policies
- c. Continued to oversee protégé' s responses to sources sought notices, requests for information, and proposal submissions
- d. Tier 1 through 3 IT Help Desk and infrastructure support
- e. Meetings with mentor executives to review business development resource center to capture documents, resumes, templates, and other business development life cycle activities
- f. Assisted protégé in setting up a Program Management Office in anticipation of an award

V. Benefits Provided to Mentors (by Federal Activity)

This section describes the assistance and benefits provided to mentors through each of the six active MPPs.

Department of Defense (DoD)

Mentors receive the following types of benefits from their participation in the DoD MPP:

- 1) Credit towards achievement of their small business subcontracting goals associated with Federal government Prime contracts;
- 2) Access to innovative technology developed by small businesses; and
- 3) Strengthened supply chains consisting of more diverse suppliers.

Department of Energy (DoE)

Benefits for the mentor under the program include:

- 1) Receipt of credit for subcontracts awarded pursuant to MPP agreement(s) toward subcontracting goals contained in Mentor subcontracting plan;
- 2) Award of subcontracts on a noncompetitive basis as a set-aside subcontract to its protégé;
- 3) Opportunity to utilize the unique/specialized skills of the protégé; and
- 4) Mentors may develop very beneficial business relationships with the protégés that far exceed to term period of the MPP agreement.

DOE selected a Mentor of the Year in 2020, presented during the 19th Annual DOE Small Business Forum and Expo.

Department of Homeland Security (DHS)

The benefits to a mentor for their participation includes a pre-award incentive and post-award incentive phase of applicable DHS contracts:

- **Pre-Award Incentive**

For unrestricted acquisitions that require a subcontracting plan, mentors are eligible to receive evaluation credit in accordance with Homeland Security Acquisition

Regulation 3052.219-72. In order to receive credit under the source selection factor or subfactor, the offeror must provide an approved mentor-protégé agreement from the DHS Office of Small and Disadvantaged Business Utilization (OSDBU) before initial evaluation of proposals. Moreover, the mentor's intent to diversify and incorporate socioeconomic programs as identified in the evaluation criteria is also taken under consideration.

- **Post-Award Incentive**

Subcontracting credit is applied to the mentor's small business subcontracting plan goal achievement. The mentor can receive dollar-for-dollar subcontracting credit for costs incurred for development assistance to the protégé.

National Aeronautics and Space Administration (NASA)

Mentors receive benefits in a variety of ways. Through these established relationships, mentors are able to team with viable high-tech small businesses, receive additional points on proposals, form strategic partnerships, which serves as a foundation for future prime and subcontracts with any agency. With a wide array of small businesses available in all socio-economic categories, mentors are also able to benefit from the subcontracting credit.

Small Business Administration (SBA)

A mentor benefits from the MPP in the following areas:

- A mentor and protégé may form a joint venture and compete as a small business for any government prime contract or subcontract, 8(a) competitive and 8(a) sole source contracts, provided the protégé qualifies as small for the procurement.
- For those willing to create a joint venture, additional benefits may include:

- Collective representation of past performance;
 - Shared costs;
 - Shared resources; and
 - Leveraging the other partners' experience and market share.
- The affiliation exception can also be appealing to mentors, as it may allow a mentor to have a closer working relationship with a small business than might otherwise be advisable under SBA's affiliation rules.
 - The mentor may own an equity interest of up to 40 percent in the protégé.
 - Mentors are able to maintain a formal relationship with the protégé for up to six years, building trust and working together on multiple projects.

General Services Administration (GSA)

Benefits to mentors are limited to the following under GSA's program per GSAR section 519.7004:

- Evaluation credit during source selection process for subcontracts or teaming arrangements under the Mentor-Protégé Agreement; and
- Favorable assessment under the mentor's subcontracting plan and as a factor in evaluating past performance

VI. Progress of Protégés with Respect to Competing for Federal Prime Contracts and Subcontracts (By Federal Activity)

Based on information provided by agencies to SBA, the following section describes the progress of protégés in competing for contracts.

Department of Defense (DoD)

Protégés in the DoD MPP made the following types of progress with respect to competing for Federal prime contracts and subcontracts:

- 1) On average, DoD MPP protégés hired 24.93 new employees as a result of receiving federal contracts in FY 2020
- 2) On average, DoD MPP protégés added \$8.79M in annual revenue as a result of receiving federal contracts in FY 2020.
- 3) For every \$1M invested by DoD MPP in FY 2020, DoD MPP protégés experienced a net revenue gain of \$20.55M as a result of receiving federal contracts in FY 2020.

Department of Energy (DOE)

- 1) Mentors participating in the DOE MPP were awarded non-competitive and competitive subcontracts to their protégés while participating in the program. DOE protégés received a total of 784 subcontracts totaling \$90,617,138 in FY 2020. Of the 40 protégés participating in the DOE MPP during FY 2020, 32 were awarded one or more subcontracts or subcontract actions.
- 2) During FY 2020, participating protégés were awarded 173 Federal prime contract actions totaling \$36,173,870. Of the 40 participating protégés, 17 were awarded one or more federal prime contracts or prime contract actions in FY 2020.

DOE is also selecting a 2020 Protégé of the Year for recognition at the 19th Annual DOE Small Business Forum and Expo.

Department of Homeland Security (DHS)

The progress of the mentor-protégé team is evaluated by the submission of an 18-month Mid- Progress Report (jointly), a 36- Month Lessons Learned Report (separately), and a Protégé Post Mentor-Protégé Program Report, which is submitted annually for two years after the protégé firm exits the mentor-protégé program (protégé only).

National Aeronautics and Space Administration (NASA)

Through NASA's Mentor-Protégé Program, Protégés have strengthened and increased their core competencies, hired additional personnel, and increased revenues with some receiving direct subcontracting opportunities from the Mentor.

In order to measure the Protégé's progress during the life of the agreement, NASA conducts informal semi-annual reviews and requires the Protégé to submit independently developed annual reports.

Every six months, both Mentor and Protégé provide a briefing on the status of each developmental task based on their milestone chart. Semi-annual reviews afford all parties the opportunity to address any challenges early and prior to the annual reporting period.

Protégés are required to document the status of milestones/tasks, and accomplishments made every 12 months in their annual reports. Protégés are encouraged to rate their Mentor's performance of the developmental assistance provided by milestone/task. To ensure the Protégé is getting what they need from the program, they are also required to outline the progress made in employment growth, contract opportunities awarded, and gross revenue.

Small Business Administration (SBA)

Data from ASMPP was received in FY 2020 and protégés reported the following outcomes:

- Protégés submitted 10,530 offers; won 54%; lost 29%; and pending is 17%
- 307 subcontracts were awarded by the Mentor to the Protégé

General Services Administration (GSA)

The mentor is an existing GSA contractor who awarded a number of Schedule and Human Capital and Training Solution (HCAT) contracts. Progress of the protégé competing for prime federal contracts and subcontracts:

- Although the protégé has not received orders under their own GSA Schedule and HCAT contracts with GSA as reported in the annual report filed by the team, subcontracts awarded to the protégé during the last six months of the agreement amounted to \$356,503.
- Entered into a Joint Venture with the mentor for the Veterans Health Administration, Integrated Healthcare Transformation Act.

ENCLOSURES

ENCLOSURE 1
Department of Defense
(DoD)

DoD Mentor Protégé Program FY20 Agency Report to SBA

(A) The Department of Defense (DoD) Mentor Protégé Program (MPP) provides developmental assistance to Small Businesses of the defense industrial base.

(B) During FY20, the DoD MPP had 61 active mentor-protégé agreements. The protégé (small business) participants are comprised of the following socio-economic categories:

(i) 61 were small business concerns;

(ii) 10 were small business concerns owned and controlled by service-disabled veterans;

(iii) 4 were qualified HUBZone small business concerns

(iv) 15 were small business concerns owned and controlled by socially and economically disadvantaged individuals or

(v) 8 were small business concerns owned and controlled by women.

(C) Mentors provided Small Business protégés with the following types of assistance:

(i) Mentors helped protégés transform from being Firm Fixed Price subcontractors to Cost Plus Offerors by helping small businesses create Defense Contract Audit Agency compliant Cost Accounting Systems. Pursuant to FAR Part 15.4 this is a requirement of any SB concern in order to become a Prime Contractor on any Cost-type contract.

(ii) Mentors helped protégés receive Facility Security Clearances to review solicitations and submit proposals for classified work.

(iii) Mentors helped protégés obtain certifications; such as ISO 9000, CSSIP and CMMI; required to bid on many DoD contracts.

(D) Mentors received the following types of benefits from their participation in the DoD MPP:

i) Credit toward achievement of their small business subcontracting goals associated with federal government Prime contracts.

(ii) Access to innovative technology developed by small businesses.

(iii) Strengthened supply chains consisting of more diverse suppliers.

(E) Protégés in the DoD MPP made the following types of progress with respect to competing for Federal prime contracts and subcontracts:

i) On average, DoD MPP protégés hired 24.93 new employees as a result of receiving federal contracts in FY20.

(ii) On average, DoD MPP protégés added \$8.79M in annual revenue as a result of receiving federal contracts in FY20.

(iii) For every \$1M invested by DoD MPP in FY20, DoD MPP protégés experienced a net revenue gain of \$20.55M as a result of receiving federal contracts in FY20.

Socioeconomic Categories As of End of FY20	Total FY20 AR's
8(a)	3
EDWOSB	5
HubZone	9
SB	35
SDB	14
SDVOSB	12
VOSB	16
WOSB	5
Ability One	1
Total FY20 DCMA AR's (62)	100

ENCLOSURE 2
Department of Energy
(DOE)



**Office of Small and Disadvantaged
Business Utilization**

Fiscal Year 2020 Mentor-Protégé Annual Report

**Submitted to:
The U.S. Small Business Administration**

Introduction

In accordance with Section 15 of the Small Business Act (15 U.S.C. 657r(c)) Reporting, the U.S. Department of Energy (DOE) is providing the U.S. Small Business Administration (SBA) with the following narrative of its Mentor-Protégé Program.

The DOE Mentor-Protégé Program (MPP) was implemented in December 1999. It was established to provide an opportunity for eligible small businesses to receive developmental assistance in business and/or technical areas from experienced large and small businesses performing as DOE prime contractors. Through this developmental assistance, participating small businesses can improve and expand their capabilities to more successfully compete for prime federal contracts and/or subcontracts.

The DOE Office of Small and Disadvantaged Business Utilization (OSDBU) is responsible for the management and administration of the MPP. The program regulatory and program guidance are found in 48 Code of Federal Regulations Part 919 – Small Business Program and in the DOE Acquisition Regulations Part 919.70. DOE contractors eligible under 48 CFR 919.7005 may enter into MPP agreements with businesses certified by the SBA in the 8(a) Program, other small disadvantaged businesses (SDBs), women-owned small businesses (WOSBs), historically black college or universities (HBCUs), other minority-serving institutions (MSIs), small businesses in Historically Underutilized Business Zones (HUBZone), and small business concerns owned and controlled by service-disabled veterans (SDVOSBs).

The Number of Participants in the DOE Program

During Fiscal Year (FY) 2020, forty (40) Protégés actively participated in the DOE MPP. (Several of the Protégés qualified for multiple socio-economic categories):

- i. 40 Protégés were small business concerns
- ii. 11 Protégés were small business concerns owned and controlled by service-disabled veterans
- iii. 7 Protégés were certified HUBZone small business concerns
- iv. 20 Protégés were SDBs and 9 are 8(a) small business concerns owned and controlled by socially- and economically disadvantaged individuals
- v. 13 Protégés were small business concerns owned and controlled by women

Description of the Type of Assistance Provided to Protégés under the DOE MPP

Technical, business, and/or administrative assistance is provided to the Protégé under the program. Examples of the type of assistance provided include:

1. Quality Assurance & Quality Control
2. Marketing Assistance and Networking
3. Cost Estimating
4. Proposal Writing
5. Strategic Business Planning
6. Construction Management
7. Project Budgeting and Controls
8. Risk Management
9. Safety and Health Programs and Practices
10. Training in Research and Development Technologies
11. Developing Human Resources policies

Description of the Benefits Provided to Mentors under the DOE Program

Benefits for the Mentor under the program include:

1. Receipt of credit for subcontracts awarded pursuant to MPP Agreement(s) toward subcontracting goals contained in Mentor subcontracting plan
2. Award of subcontracts on a noncompetitive basis as a set-aside subcontract to its Protégé
3. Opportunity to utilize the unique/specialized skills of the Protégé
4. Mentors may develop beneficial business relationships with their Protégés that exceed the term period of the MPP agreement.

Description of the Progress of Protégés under the Program with Respect to Competing for Federal Prime Contracts and Subcontracts

Mentors participating in the DOE MPP awarded non-competitive and competitive subcontracts to their Protégés while participating in the program. DOE Protégés received a total of 784 subcontract actions, totaling \$90,617,137.62 in FY 2020. Of the 40 Protégés participating in the DOE MPP during FY 2020, 32 were awarded one or more subcontracts or subcontract actions. During FY 2020, participating Protégés were also awarded 173 Federal prime contract actions totaling \$36,173,869.64. Of the 40 participating protégés, 17 were awarded one or more federal prime contracts or prime contract actions in FY 2020.

DOE is also selecting a 2020 Protégé of the Year for recognition at the 19th Annual DOE Small Business Forum & Expo, August 3, 2021, in Albuquerque, NM.

Agency Information:

U.S. Department of Energy
Office of Small and Disadvantaged Business Utilization
1000 Independence Avenue, SW
Washington, DC 20585

Approval:



Paul E. Ross
Acting Director,
Office of Small and Disadvantaged Business Utilization

June 8, 2021

Date

ENCLOSURE 3
Department of Homeland Security
(DHS)

**U.S. Department of Homeland Security
Mentor Protégé Annual Report**

Fiscal Year 2020

March 9, 2021



**Homeland
Security**

U.S. Department of Homeland Security (DHS)
Fiscal Year (FY) 2020 Mentor-Protégé Annual Report

In accordance with Section 15 of the Small Business Act (15 U.S.C. 657r(c)), DHS provides the following information:

• **15 USC 657r(c) Reporting.**

- **(A)** DHS has an active Mentor-Protégé Program. The Mentor-Protégé program is primarily designed to motivate and encourage large business prime contractor firms to provide mutually beneficial developmental assistance to small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.

- **(B)** There are 36 active mentor-protégé agreements. The small business protégé participants belong to the following categories:
 - **(i)** 2 of the 36 protégé firms have no socioeconomic designation. They are only considered general small business concerns;
 - **(ii)** 27 of the 36 protégé firms are designated as service-disabled veteran-owned small businesses (which includes veteran owned small businesses);
 - **(iii)** 9 of the 36 protégé firms are certified and designated as HUBZone small business concerns;
 - **(iv)** 28 of the 36 protégé firms are certified and designated as small disadvantaged businesses (including 8(a) firms); and
 - **(v)** 10 of the 36 protégé firms are designated as women-owned small business concerns (which includes one economically disadvantaged women-owned small business).

The type of assistance provided by a mentor is mutually agreed and specified in the DHS Mentor-Protégé Agreement. In accordance with National Defense Authorization Act 2013, Section 1623, the OSDDBU Director will provide opportunities for the participation of small business concerns during acquisition planning processes and in acquisition plans. These opportunities include at the prime award level and subcontracting.

- **(C)** In addition to providing small businesses with mutually beneficial developmental assistance, the program is also designed to:
 - improve the performance of contracts and subcontracts;
 - foster the establishment of long-term business relationships between large prime contractors and small business subcontractors; and
 - strengthen subcontracting opportunities and accomplishments through pre and post award incentives.

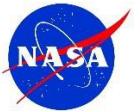
- **(D)** The benefits provided to a mentor for their participation occurs in the pre and post award phase of applicable DHS contracts:
 - **Pre-Award Incentive**

For unrestricted acquisitions that require a subcontracting plan, mentors are eligible to receive evaluation credit in accordance with Homeland Security Acquisition Regulation 3052.219-72. In order to receive credit under the source selection factor or subfactor, the offeror must provide an approved mentor-protégé agreement from the DHS Office of Small Business and Disadvantaged Business Utilization (OSDBU) before initial evaluation of proposals. Moreover, the mentor's intent to diversify and incorporate socioeconomic programs as identified in the evaluation criteria is also taken under consideration.
 - **Post-Award Incentive**

Subcontracting credit is applied to the mentor's small business subcontracting plan goal achievement. The mentor can receive dollar-for-dollar subcontracting credit for costs incurred for developmental assistance to the protégé.

- **(E)** The progress of the mentor-protégé team is evaluated by the submission of an 18th month Mid-Progress Report (jointly), a 36th Month Lessons Learned Report (separately), and a Protégé Post Mentor-Protégé Program Report, which is submitted annually for two years after the protégé firm exits the mentor-protégé program (protégé only).

ENCLOSURE 4
National Aeronautics and Space Administration
(NASA)



National Aeronautics and Space Administration
FY20 Mentor-Protégé Program Report Submission
March 9, 2021

A.) Identifies each Federal Mentor-Protégé Program

The National Aeronautics Space Administration's (NASA's) Office of Small Business Program's Mentor-Protégé Program (MPP) provides incentives for NASA's large prime contractors to assist eligible small businesses, as defined in NASA Federal Acquisitions Regulation (FAR) Supplement (NFS) 1819.72, in enhancing their capabilities to perform as prime and subcontractors under Government and commercial contracts.

B.) Specifies the number of participants in each such program, including the number of participants in each socio-economic concern

In FY20 the NASA Mentor-Protégé Program had 10 active Mentor-Protégé agreements. The length of the agreements ranged from 14 months to 3 years, which is the maximum length for participation in the MPP. The NASA Protégés span all socio-economic categories (*) cited below:

- Service-Disabled Veteran-Owned Small Business (SDVOSB) – 2 Protégé;
- Historically Underutilized Business Zone (HUBZone) Concern – 2 Protégés;
- Small Disadvantaged Business (SDB) – 4 Protégés;
- Women-Owned Small Business (WOSB) – 6 Protégés;
- 8(a) Small Businesses – 0 Protégés;
- Veteran-Owned Small Business (VOSB) – 2 Protégés;
- Historically Black College and Universities (HBCU) – 1 Protégés;
- Minority Serving Institutions (MSI) – 0 Protégés;

*Note: Protégés can be classified in multiple socio-economic categories

Other eligible Protégés in the MPP include:

- Entities participating in the AbilityOne Program;
- A small business with an active NASA Small Business Innovation Research (SBIR) Phase II contract; or
- A small business with an active NASA Small Business Technology Transfer (STTR) Phase II contract

When submitting a NASA Mentor-Protégé Agreement application, the participants have an option of selecting a credit-based agreement or an award fee agreement. Costs incurred under a credit MPA, are applied on a one-to-one basis toward their applicable small business subcontracting goals. The credit is reported on the Mentor's Individual Subcontracting Report.

Under the Award Fee Program, a Mentor providing assistance to a NASA SBIR Phase II or STTR Phase II company is eligible to receive a separate award fee at the end of the agreement period. The award fee evaluation criteria criterion based on the amount and quality of technology transfer and business development skills that will increase the Protégé's Technology Readiness Level(s) (TRLs). TRLs measure the technology readiness level of the company on a scale of 1 to 9.

C.) Describes the type of assistance provided to Protégés under each such program

All Protégés, with the exemption of HBCU/MSI Protégés, must receive a minimum 70% Technical Assistance and 30% Business Development based on the total proposed cost of the agreement.

Examples of Mentor-Protégé Program development assistance includes, but not limited to:

- ❖ Technical Development, including but not limited to:
 - Aerospace and lean manufacturing
 - Quality Management programs: ISO 9000 Certification, SEI/CMM certification, AS9100 Certification
 - Technology Transfer
 - Telecommunication and satellite services
 - Obtaining Security Clearance for Institutional facilities

- ❖ Business Development, including but not limited to:
 - Organizational planning management: Strategic and Business Planning, Legal/Risk management, Proposal Development
 - General business/Business development/Marketing/Sales: Market Research, Product Forecasting, Web-based marketing, e-commerce
 - Human Resource Management

HBCU/MSI protégés receive a minimum of 70% Business Development and 30% Technical Assistance. The type of developmental assistance HBCU/MSI protégés receive has been tailored to assist them in developing the ability to move towards doing contracts instead of grants. HBCUs/MSIs can benefit more from business development assistance and mentors can harvest the technology being developed by the HBCU/MSI.

D.) Describes the benefits provided to Mentors under each such program

Mentors receive benefits in a variety of ways. Through these establish relationships, Mentors are able to team with viable high-tech small businesses, receive additional points on proposals, form strategic partnerships, which serves as a foundation for future prime and subcontracts with any Agency. With a wide array of small businesses available in all socio-economic categories, mentors are also able to benefit from the subcontracting credit.

E.) Describes the progress of Protégés under each such program with respect to competing for Federal prime contracts and subcontracts

Through NASA's Mentor-Protégé Program, Protégés have strengthened and increased their core competencies, hired additional personnel, and increased revenues with some receiving direct subcontracting opportunities from the Mentor. Protégés have not only teamed with their Mentors on various contracting opportunities, but have been successful in winning new contracts as the prime or sub.

In order to measure the Protégé's progress during the life of the agreement, NASA conducts informal semi-annual reviews and requires the Protégé to submit independently developed annual reports.

Every six months, both Mentor and Protégé provide a briefing on the status of each developmental task based on their milestone chart. Semi-annual reviews afford all parties the opportunity to address any challenges early and prior to the annual reporting period.

Protégés are required to document the status of milestones/tasks, and accomplishments made every 12 months in their annual reports. Protégés are encouraged to rate their Mentor's performance of the developmental assistance provided by milestone/task. To ensure the Protégé is getting what they need from the program, they are also required to outline the progress made in employment growth, contract opportunities awarded and gross revenue.

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For a period of two years after the conclusion of the agreement, Protégés are required to submit two Post Agreement reports. This allows us to track the gross revenue, and employment growth for each of the two years. These reports document whether or not the developmental assistance provided to the Protégé help enhanced their ability to perform successfully under prime contracts and/or subcontracts within NASA and other federal agencies.

ENCLOSURE 5
Small Business Administration
(SBA)

SBA FY20 Mentor-Protégé Report

In accordance with Section 15 of the Small Business Act (15 U.S.C. 657r(c)), SBA provides the following information:

- (A) SBA has two active Mentor-Protégé Program. The small business mentor-protégé program is designed to enhance the capabilities of protégé firms by requiring approved mentors to provide business development assistance to protégé firms and to improve the protégé firms' ability to successfully compete for federal contracts. This assistance may include technical and/or management assistance; financial assistance in the form of equity investments and/or loans; subcontracts. (either from the mentor to the protégé or from the protégé to the mentor); trade education; and/or assistance in performing prime contracts. with the Government through joint venture arrangements. Mentors are encouraged to provide assistance relating to the performance of contracts set aside or reserved for small business so that protégé firms may more fully develop their capabilities.

The 8(a) mentor/protégé program is designed to encourage approved mentors to provide various forms of business development assistance to protégé firms. This assistance may include technical and/or management assistance; financial assistance in the form of equity investments and/or loans; subcontracts (either from the mentor to the protégé or from the protégé to the mentor); trade education; and/or assistance in performing prime contracts with the Government through joint venture arrangements. Mentors are encouraged to provide assistance relating to the performance of non-8(a) contracts so that protégé firms may more fully develop their capabilities. The purpose of the mentor/protégé relationship is to enhance the capabilities of the protégé, assist the protégé with meeting the goals established in its SBA-approved business plan, and to improve its ability to successfully compete for contracts.

- (B) There were **395** active 8(a) mentor-protégé agreements.

There were **100** active all small mentor-protégé agreements.

- (C) Describe the type of assistance provided to proteges under each such program: Proteges may benefit from participation in the All Small Mentor Protégé and 8(a) Mentor Protégé Programs as follows:

- Improved access to the federal marketplace through joint venture opportunities with mentor;
- Stronger ability to stand-alone and bid independently from mentor on government contracts;
- Expanded opportunity for sub-contracts from mentor;
- Increased wealth and employment growth;

- Enhanced business capabilities and experience through guidance and mentoring from experienced firms in the following areas:
 - Guidance on internal business management systems, accounting, marketing, manufacturing, and strategic planning;
 - Financial assistance in the form of equity investments, loans, and bonding;
 - Assistance navigating federal contract bidding, acquisition, and performance process;
 - Education about international trade, strategic planning, and finding markets;
 - Business development, including strategy and identifying contracting and partnership opportunities;
 - General and administrative assistance, like human resource sharing or security clearance support.

(D) Describes the benefits provided to mentors under each such program:

- A mentor and protégé may joint venture as a small business for any government prime contract or subcontract, 8(a) competitive and 8(a) sole source contracts, provided the protégé qualifies as small for the procurement.
- For those willing to create a joint venture, additional benefits may include:
 - Collective representation of past performance;
 - Shared costs;
 - Shared resources’
 - Leveraging the other partners’ experience and market share.
 - The affiliation exception can also be appealing to mentors, as it may allow a mentor to have a closer working relationship with a small business than might otherwise be advisable under the SBA’s affiliation rules.
 - The mentor may own an equity interest of up to 40 percent in the protégé.
 - Mentor’s are able to maintain a formal relationship with the protégé for up to six years, building trust and working together on multiple projects.

(E) Describe the progress of proteges under each such program with respect to competing for Federal prime contracts and subcontracts.

- For FY20, protégés submitted 10,530 offers. 54% won, lost 29% and 17% is pending.
- For FY20, 307 subcontracts were awarded by the Mentor to the Protégé.

ENCLOSURE 6
General Services Administration
(GSA)

FISCAL YEAR (FY) 2020 MENTOR PROTÉGÉ REPORT U.S. GENERAL SERVICES ADMINISTRATION (GSA)

GSA removed the Mentor Protégé Program from the Agency's acquisition regulations in FY 2018 upon the establishment of the Small Business Administrations' All Small Mentor Protégé Program. Existing GSA mentor-protégé agreements were allowed to reach the terms of their agreements provided they met the annual reporting requirement. Only one team remained viable in FY 2020, reaching the completion of its agreement in May, 2020. The following report, as required by 15 USC 657(r), records the accomplishments of the team from October 1, 2019 through May 30, 2020.

- 1. 15 USC 657r(c)(1)(B):** The protégé meets more than one socio-economic category:
 - small business concerns – 1
 - small business concerns owned and controlled by service-disabled veterans – 1
 - qualified HUBZone small business concerns – 0
 - small business concerns owned and controlled by socially and economically disadvantaged individuals – 0
 - small business concerns owned and controlled by women - 1

- 2. 15 USC 657r(c)(1)(C).** Assistance provided to the protégé included:
 - Continued training on updated government regulations and advice on contract administration and compliance
 - Organizational management support in corporate policies
 - Continued to oversee protégé's responses to sources sought notices, requests for information and proposal submissions
 - Tier 1 through 3 IT Help Desk and infrastructure support
 - Meetings with mentor executives to review business development resource center to capture documents, resumes, templates and other business development life cycle activities
 - Assisted protégé in setting up a Program Management Office in anticipation of an award

- 3. 15 USC 657r(c)(1)(D).** Benefits to mentors limited to the following under GSA's program in accordance with the legacy GSAR section 519.7004:
 - Evaluation credit during source selection process for subcontracts or teaming arrangements under the Mentor-Protégé Agreement
 - Favorable assessment under the mentor's subcontracting plan and as a factor in evaluating past performance

- 4. 15 USC 657r(c)(1)(E).** The mentor is an existing GSA contractor, awarded a number of Schedule and Human Capital and Training Solution (HCAT) contracts. Progress of the protégé competing for prime federal contracts and subcontracts:
- Although the protégé has not received orders under their own GSA Schedule and HCAT contracts with GSA as reported in the annual report filed by the team, subcontracts awarded to the protégé during the last six months of the agreement amounted to \$356,503.
 - Entered into a Joint venture with the mentor for the Veterans Health Administration, Integrated Healthcare Transformation contract.