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SECRETARY OF THE AIR FORCE**

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Special Management

SMALL BUSINESS PROGRAMS



COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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(Mr. Jamie L. Adams)

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This AFI implements Air Force Policy Directive (AFPD) 90-18, *Small Business Programs*; Department of Defense Instruction (DoDI) 4205.01, *DoD Small Business Programs*; and DoDI 5134.04, *Director of Small Business Programs (SBP)*, by assigning responsibilities for the Air Force's Small Business Programs. This instruction applies to Regular Air Force and Air Force government civilian personnel involved in the acquisition process to include small business professionals, program management, technical development, engineering, requirements definition, contracting functions, and research and development. It also applies to the Air Force Reserve and to all elements of the Air National Guard in Federal service, except where noted otherwise in the Defense Federal Acquisition Regulation Supplement (DFARS) Procedures, Guidance, and Information (PGI) Section 202.101, *Definitions*.

Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of in accordance with the Air Force Records Disposition Schedule in the Air Force Records Information Management System.

Refer recommended changes and questions about this publication to the Office of Primary Responsibility using the Air Force Form 847, *Recommendation for Change of Publication*. Route Air Force Forms 847 from the field through the appropriate functional chain of command. Field activities will send supplements that directly implement this publication to the Secretary of the Air Force Office of Small Business Programs (SAF/SB) for coordination prior to certification and approval. **(T-1)**.

The authorities to waive wing/unit level requirements in this publication are identified with a tier number (“T-0, T-1, T-2, T-3”) following the compliance statement. See AFI 33-360, *Publications and Forms Management*, for a description of the authorities associated with the tier numbers. Submit requests for waivers through the chain of command to the appropriate tier waiver approval authority or, alternatively, to the publication Office of Primary Responsibility for non-tiered compliance items.

DoD Instructions — DoDI 4205.01 establishes policy, assigns responsibilities, and provides procedures for DoD Small Business Programs. DoDI 5134.04 establishes the responsibilities, functions, relationships, and authorities of the Director, DoD Office of Small Business Programs. DoDI 5000.02, *Operation of the Defense Acquisition System*, establishes policy and principles for the management of all acquisition programs and includes considerations for the maximum participation of small business concerns. DoDI 5000.75, *Business Systems Requirements and Acquisition*, establishes policy for business system requirements and acquisition.

SUMMARY OF CHANGES

This document is substantially revised and must be completely reviewed.

This instruction rescinds and replaces AFI 64-201, *Small Business Programs*, as a special management series instruction. Revisions include updates to policy and responsibilities based on recent DoD publications and current statutes and regulations. Additionally, this revision incorporates waiver and tier classification throughout the publication.

1. ROLES AND RESPONSIBILITIES.

1.1. Secretary of the Air Force. The Secretary of the Air Force appoints the Director, Air Force Office of Small Business Programs (SAF/SB), after coordination with the Director, DoD Office of Small Business Programs.

1.2. The Air Force Office of Small Business Programs (SAF/SB). SAF/SB has the following roles and responsibilities, to include those listed in **Table 1**, *Common Roles and Responsibilities*.

1.2.1. Acts pursuant to statutory authority and is responsible for implementing and executing the functions and duties identified in DoDI 4205.01 on behalf of the Office of the Under Secretary of Defense for Acquisition and Sustainment as a ‘DoD Component Small Business Program’ and on behalf of the Secretary of the Air Force for the Department of the Air Force.

1.2.1.1. Serves as an agent of the Secretary of the Air Force within assigned policy and program domains and provides guidance, direction, and oversight for all matters pertaining to the formulation, review, and execution of plans, policies, programs, and budgets associated with the Air Force Small Business Programs.

1.2.1.2. Serves as the principal advisor to the Secretary of the Air Force on all small business matters.

1.2.1.3. Routinely briefs the Secretary of the Air Force and/or Under Secretary of the Air Force on Small Business Programs’ goals and results.

- 1.2.1.4. Establishes and maintains a Small Business Compliance Program ([paragraph 4.5](#)).
- 1.2.1.5. Administers the Air Force Small Business Awards Program.
- 1.2.1.6. Performs, full-time and exclusively, the duties listed in the Small Business Act, Title 15 United States Code (U.S.C.) Section 631, *et seq.*; Title 10 U.S.C. Section 8024, *Director of Small Business Programs*; Acting Director, DoD Office of Small Business Programs, Memorandum for DoD Component Directors of Small Business, *Small Business Regulatory Enforcement Fairness Act Requirements*, 1 December 2017; and Headquarters Air Force (HAF) Mission Directive 1-30, *Director, Small Business Programs*. Does not hold any other title, position, or responsibility, except as necessary to carry out the listed responsibilities.
- 1.2.2. Develops, implements, and oversees small business policy, processes, and management of the Air Force Small Business Programs to ensure maximum practicable prime- and sub-contracting opportunities for small businesses, including developing strategic goals and objectives for all Air Force Small Business Programs and monitoring and communicating performance through appropriate metrics. As a DoD Component office, ensures goals and objectives are aligned with the DoD Office of Small Business Programs and the Air Force's objectives and priorities.
- 1.2.3. Collaborates with the DoD Office of Small Business Programs annually to develop overall Air Force Small Business Programs' goals. In consultation with Major Commands (MAJCOMs), Direct Reporting Units (DRUs), Air Force Program Executive Offices (AFPEOs), and the Assistant Secretary of the Air Force (Acquisition, Technology and Logistics) (SAF/AQ), develops and disseminates the Air Force Small Business Programs' goals and associated performance expectations. Administers and maintains the Air Force Small Business Programs' goals and performance measurements and reports to Air Force, DoD, Small Business Administration (SBA), and Congress, as applicable.
- 1.2.4. Conducts periodic assessments of the Air Force Small Business Programs' performance. Provides input to the DoD Office of Small Business Programs annually in support of the SBA's Scorecard requirements.
- 1.2.5. Represents the Air Force in small business policymaking via active participation on Federal Acquisition Regulation (FAR), DFARS, Air Force Federal Acquisition Regulation Supplement (AFFARS), and Defense Acquisition Regulation Council teams, sub-committees, and activities.
- 1.2.6. Directs, oversees, and manages the Air Force Mentor-Protégé Program, which requires interaction with the DoD Office of Small Business Programs, industry, and acquisition teams.
- 1.2.7. Monitors and assists in implementing all Air Force Small Business Programs, including the Small Business Innovation Research and Small Business Technology Transfer Programs per AFI 61-102, *Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs*.
- 1.2.8. Coordinates on information system issues relating to small business policies, data, reports, anomalies, etc. (e.g., Federal Procurement Data System-Next Generation,

electronic Subcontracting Reporting System, Functional Security Requirements Specifications, and various payment systems).

1.2.9. Develops and executes a budget to manage SAF/SB.

1.2.10. Consults on a regular basis with stakeholders across the Air Force, DoD, SBA, industry, other government agencies, and Congress.

1.2.11. Works with the Air Force Corporate structure, MAJCOMs, DRUs, AFPEOs, and SAF/AQ to coordinate policy and make recommendations on matters pertinent to the utilization of small businesses (prime and subcontracting) in support of mission requirements.

1.2.12. Holds leadership, guidance, and oversight roles and exercises statutory and regulatory authority over the Air Force Small Business workforce, the professional education and training on small business matters of the Air Force acquisition team, and the appointment of Air Force Small Business Professionals.

1.2.12.1. Is required statutorily to have supervisory authority over small business personnel performing functions and duties relating to the Small Business Act. Exercises this authority through functional appointments, functional assignments, and functional designations; career path development; workforce training, policy, guidance, and direction; and evaluation, accountability, and oversight. (**Note:** Performance criteria and appraisals for small business professionals are addressed in the “Terms” section of this instruction.)

1.2.12.2. Is established as the Component Functional Leader for Air Force Small Business Professionals. Serves with the DoD Office of Small Business Programs Functional Leader on the Small Business Functional Integrated Process Team. Requires recurring engagement across DoD Office of Small Business Programs, Defense Acquisition Career Managers, Defense Acquisition University, and other offices as applicable. Provides or oversees training pertaining to the Small Business Act for small business concerns, as well as for acquisition team personnel.

1.2.12.3. Is required statutorily to assign a Small Business Technical Advisor to each office where the SBA has assigned a Procurement Center Representative. The technical advisor: (a) shall be a full-time employee of the procuring activity and shall be well qualified, technically trained, and familiar with the supplies or services purchased at the activity; and (b) whose principal duty shall be to assist the Procurement Center Representative in their duties and functions relating to the Small Business Act.

Table 1. Common Roles and Responsibilities.

	SAF/SB	MAJCOM/ DRU Directors of Small Business	Small Business Professionals ¹
1.2.13. Engages early in the acquisition process, to include acquisition planning, market research, acquisition strategy development and approval, and acquisition forecasting.			

1.2.13.1. Advises acquisition teams to ensure acquisition strategies are structured to facilitate small business participation throughout a program's life cycle via direct participation (prime contracts) or, where such participation is not practicable, through subcontracting.	✓	✓	✓
1.2.13.2. Provides advice on acquisition planning, strategies, and solicitations. Advises and assists in acquisition planning activities to identify small business sources and assists in formulating small business strategies. Reviews and formally coordinates on acquisition plans. Provides and/or coordinates on market research support including supporting documentation, streamlined acquisition support strategies, Small Business Set-Aside(s) determinations, full-and-open competition/other-than-full-and-open competition determinations, bundling and consolidation determinations, and subcontracting strategies and participation requirements (including various types of subcontracting plans, sole source justifications, letters of acceptance, and life cycle sustainment plans).	✓	✓	✓
1.2.13.3. As applicable, serves as a standing member on acquisition teams, including, but not limited to, early strategy planning and Acquisition Strategy Panels. May also serve as a member of Source Selection Advisory Councils and/or teams relative to small business strategies and evaluations.	✓	✓	✓
1.2.13.4. As appointed, serves on Multi-Functional Independent Review Teams and/or Peer Review Teams.	✓	✓	✓
1.2.13.5. Utilizes a forecast of expected contract opportunities or classes of contract opportunities to aid, counsel, and assist small-business concerns to ensure that a fair proportion of total purchases and contracts or subcontracts for goods and services are placed with small businesses.	✓	✓	✓
1.2.13.6. Maintains a public website and other social media presence as deemed necessary.	✓	✓	✓
1.2.13.7. Reviews summary data provided by purchase card issuers greater than the micro-purchase threshold and less than the simplified acquisition threshold to	✓	✓	✓

ensure purchases are in compliance with the Small Business Act and properly recorded.			
1.2.14. Advises contracting officers regarding small business set-asides.			
1.2.14.1. Carries out the policies, duties, and responsibilities set forth in DoD Directive (DoDD) 5000.01, <i>The Defense Acquisition System</i> , Enclosure 1, paragraph E1.1.24; DoDI 4205.01; DoDI 5134.04; AFPD 90-18; AFI 63-101/20-101, <i>Integrated Life Cycle Management</i> ; FAR Part 19, <i>Small Business Programs</i> ; DFARS Part 219, <i>Small Business Programs</i> ; and AFFARS Part 5319, <i>Small Business Programs</i> .	✓	✓	✓
1.2.15. Monitors contract consolidation and bundling.			
1.2.15.1. Works with acquisition teams and the requirements community to ensure maximum practicable opportunities for small business participation.	✓	✓	✓
1.2.15.2. Coordinates on all consolidation and bundling determinations and justifications required by the Small Business Act, FAR Part 7, <i>Acquisition Planning</i> , and DFARS Part 207, <i>Acquisition Planning</i> .	✓	✓	✓
1.2.15.3. Reviews all insourcing proposals related to small business contracts. Specifically, coordinates on all decisions to convert 'contract work' performed by small business contractor(s) to that of a Federal employee, state or local government, or public-private partnership.	✓	✓	✓
1.2.16. Collaborates with the SBA and the Procurement Technical Assistance Program.			
1.2.16.1. Collaborates with Procurement Center Representatives, Procurement Technical Assistance Centers, and SBA offices on issues related to acquisition planning and pre-award activities.	✓	✓	✓
1.2.16.2. Ensures small business professionals elevate small business issues timely whenever they cannot be resolved with locally assigned Procurement Center Representatives and/or Area/District SBA offices. If elevated, SAF/SB will work directly with the SBA and Air Force stakeholders to determine the best way forward to resolve the issue(s).	✓	✓	✓

1.2.17. Provides small business assistance.			
1.2.17.1. Assists small businesses in obtaining payments, required late payments, and interest penalties or information regarding payments based on small business inquires/concerns.	✓	✓	✓
1.2.17.2. Ensures unsolicited proposals from small businesses are handled in a timely manner in accordance with AFFARS Mandatory Procedures 5315.606-90, <i>Receipt, Evaluation, and Disposition of Unsolicited Proposals</i> .	✓	✓	✓
1.2.17.3. Receives Secretarial-level appeals from the SBA on small business matters and develops the Secretary of the Air Force's response.	✓		
1.2.17.4. Assists small businesses that believe a solicitation unduly restricts their ability to compete for an award.	✓	✓	✓
1.2.17.5. Assists small businesses that complain about excessive enforcement of regulations.	✓	✓	✓
1.2.17.6. Assists small businesses awarded contracts or sub-contracts in finding education/training resources on compliance with contracting regulations.	✓	✓	✓
1.2.18. Provides or oversees the provision of professional education and training to government personnel and industry on small business matters.			
1.2.18.1. Facilitates small business training and training access for small business professionals, acquisition team members, and industry partners.	✓	✓	✓
1.2.18.2. Establishes a tracking system for small business training provided pursuant to paragraph 1.2.18.1. Tracking shall be on a fiscal year basis, including the amount and percentage of the Air Force Small Business Program budget used in support of said training, broken out separately for training provided to industry and/or government personnel.	✓	✓	✓
1.2.18.3. Small business professionals shall acquire a minimum of 40 continuous learning points every fiscal	✓	✓	✓

year (goal) and 80 continuous learning points every 2 years (mandatory).			
1.2.19. Performs small business outreach.			
1.2.19.1. Plans and carries out a coordinated system for promoting outreach with local, state, regional, and/or national community interest, inclusive of local/state civic leaders, government organizations, members of Congress, and industry (e.g. industry days, matchmaking, etc.). Establishes, maintains, and budgets for industry outreach programs to locate sources and match industry capabilities to warfighting needs.	✓	✓	✓
1.2.19.2. Evaluates the effectiveness of the outreach program to identify/produce new sources and/or in identifying barriers to entry. Works to improve internal acquisition processes and policies by eliminating barriers for small business opportunities.	✓	✓	✓
1.2.20. Develops the SBA Scorecard.			
1.2.20.1. Follows the SBA Annual Scorecard criteria and guidelines at the SBA website and as supplemented by the DoD Office of Small Business Programs.	✓	✓	✓
1.2.20.2. On a fiscal year basis, compiles annual Small Business Program achievements through the MAJCOM/DRU Small Business Directors to prepare and submit a consolidated Air Force Scorecard report to the DoD Office of Small Business Programs. Report submissions are due to SAF/SB 45 calendar days after the end of the annual period (1 Oct through 30 Sep). MAJCOM/DRU Small Business Directors should collect this information from their subordinate units throughout the year (recommend quarterly), and provide the SAF/SB Scorecard point of contact access to the data as needed.	✓	✓	✓
Notes:			
1. T-2 waiver authority.			

1.3. The Office of the Assistant Secretary of the Air Force (Acquisition, Technology and Logistics) (SAF/AQ). Assists SAF/SB in relevant areas, including but not limited to: (a) acquisition programs and initiatives, (b) small business acquisition workforce matters, (c)

functional leader assistance and Small Business Functional Integrated Process Team support, and (d) policy implementation as it relates to small business, as appropriate.

1.3.1. Collaborates with SAF/SB when acquisition and contracting policies, procedures, and programs impact Air Force Small Business Programs.

1.3.2. Emphasizes the need for program offices to provide maximum practicable opportunities for small business participation in Air Force procurements.

1.3.3. Collaborates with SAF/SB on small business acquisition workforce matters, as well as the professional education and training of the Department's acquisition workforce with regards to small business matters.

1.3.4. Manages the Small Business Innovation Research/Small Business Technology Transfer programs, including oversight, policy, and implementing guidance and procedures.

1.3.5. Collaborates with SAF/SB in monitoring and implementing the Small Business Innovation Research/Small Business Technology Transfer programs.

1.4. **The Deputy Chief of Staff for Manpower and Personnel (AF/A1).** On an annual basis, assists SAF/SB and senior leaders, as necessary, to ensure legal mandates for small business-related appraisal criteria are properly accounted for in qualifying senior leader appraisals and evaluations.

1.5. **The Office of General Counsel (SAF/GC) and the Office of the Judge Advocate General (AF/JA).** As the focal point legal advisor to SAF/SB, SAF/GC provides legal reviews and advice relating to small business matters. SAF/GC works in cooperation with the AF/JA on functional areas within the responsibility of AF/JA. The SAF/GC and AF/JA communities will consult with small business professionals at the appropriate level on small business-related litigation or other legal matters affecting the implementation or administration of Air Force Small Business Programs.

2. **COMMANDERS' ROLES AND RESPONSIBILITIES.**

2.1. **Commanders.** Commanders implement Small Business Programs within their activities, including the identification of program goals. Shall ensure that: (a) acquisition and technical personnel maintain knowledge of Small Business Programs' requirements, (b) the organization's climate is responsive to small business concerns, and (c) all appropriate actions are taken to promote maximum practicable participation of small businesses in Command or program acquisitions. **(T-1).**

2.2. **MAJCOM/DRU/Center Commanders.** MAJCOM/DRU/Center Commanders will oversee small business functions. Nominates in writing a small business professional at the level of Small Business Director in consultation with SAF/SB for appointment by the Director, SAF/SB. The MAJCOM/DRU/Center Small Business Director shall be full-time (unless waived) and at a grade level permitting effective advocacy, management, and oversight of the unit's Small Business Programs. The candidate may be eligible for appointment to the position if he/she possesses the business acumen, knowledge of acquisition policies and procedures, training, and background to administer the Small Business Programs. A minimum Acquisition Professional Development Program (APDP) Level III certification (in any acquisition career field) is required for MAJCOM/DRU/Center

Directors of Small Business, given the degree of acquisition and program complexity. The candidate must meet the minimum qualifications and successfully complete required Defense Acquisition University Small Business courses within 24 months of appointment.

2.3. Installation Commanders with Annual Contract Obligations Exceeding \$100M. Installation Commanders that obligate over \$100M annually will oversee small business functions. Nominates in writing a small business professional in consultation with SAF/SB for appointment by the Director, SAF/SB. The installation small business professional shall be full-time (unless waived) and at a grade level permitting effective advocacy, management, and oversight of the unit's Small Business Programs. The candidate may be eligible for appointment to the position if he/she possesses the business acumen, knowledge of acquisition policies and procedures, training, and background to administer the Small Business Programs. A minimum APDP Level II certification (in any acquisition career field) is required for Installation Directors of Small Business and for all other small business professionals below the director-level. The candidate must meet the minimum qualifications and successfully complete required Defense Acquisition University Small Business courses within 24 months of appointment. (**Note:** The Air Force Small Business Programs are currently undergoing a Small Business Workforce Study. Once the study is complete, the criteria associated with this paragraph may change.)

2.4. Installation Commanders with Annual Contract Obligations Below \$100M. Commanders of units that obligate less than \$100M annually will oversee small business functions. Nominates in writing a full-time or part-time small business professional in consultation with SAF/SB for appointment by the Director, SAF/SB. The candidate may be eligible for appointment to the position if he/she possess the business acumen, knowledge of acquisition policies and procedures, training, and background to administer the Small Business Programs. A minimum APDP Level II certification (in any acquisition career field) is required for full-time or part-time small business professional positions. The full-time or part-time small business professional shall be at a grade level permitting effective advocacy, management, and oversight of the unit's Small Business Programs and in a position no lower than the Director of Business Operations. The candidate must meet the minimum qualifications and successfully complete required Defense Acquisition University Small Business courses within 24 months of appointment. (**Note:** The Air Force Small Business Programs are currently undergoing a Small Business Workforce Study. Once the study is complete, the criteria associated with this paragraph may change.)

2.5. Waivers. Commanders shall submit waiver requests to SAF/SB. The Director, SAF/SB, may grant a waiver to the full-time Director of Small Business, full-time small business or part-time professional requirements as depicted in [paragraph 2.2.](#), [paragraph 2.3.](#) and [paragraph 2.4.](#) Waiver requests must be in writing, and the Director, SAF/SB, may approve a waiver for up to 12 months (reference [Attachment 3](#)).

2.6. Terminations. In the event of a proposed termination (i.e. reassignment, retirement, other) of a MAJCOM/DRU Director of Small Business or any other small business professional, termination of appointment resides with the Director, SAF/SB, and shall be worked in consultation with the MAJCOM/DRU Commander.

3. SMALL BUSINESS PROFESSIONALS' ROLES AND RESPONSIBILITIES.

3.1. **MAJCOM/DRU Directors of Small Business.** The MAJCOM/DRU Director of Small Business, appointed under [paragraph 2.2.](#), manages the Small Business Program on behalf of the commander and in support of SAF/SB. At a minimum, the MAJCOM/DRU Director of Small Business will perform the duties listed in [Table 1](#) and as follows:

3.1.1. Manages the overall MAJCOM/DRU Small Business Programs, reports directly to the commander (or as appropriately delegated to second in command), must be a member of the acquisition corps, and be at a grade commensurate with the Commander's other staff Directors for effective advocacy, management, and oversight of the Small Business Programs, including interactions with subordinate units, higher headquarters, external agencies, members of Congress, civic leaders, and industry.

3.1.2. Develops command small business mandatory procedures and/or informational guidance for local, mission-unique requirements, as appropriate. (**Note:** Where Air Force-wide equity applies, MAJCOM/DRU Directors of Small Business shall defer to and work with SAF/SB to develop Air Force-wide small business policy and/or procedures.)

3.1.3. Develops and manages the MAJCOM/DRU Small Business Program Plan to achieve the Activity goals, and objectives (see [Attachment 2](#) for sample format). The plan shall be approved and signed by the commander and forwarded to SAF/SB.

3.1.4. Receives all requests within their MAJCOM/DRU for small business professional appointments in writing and provides review of required documentation and appointment recommendation to the Director, SAF/SB, for approval. Provides the signed nomination, with copies of the completed course certificates, to the Director, SAF/SB, for endorsement and issuance of the Certificate of Appointment.

3.1.5. Submits waiver requests on behalf of the Commander to SAF/SB. Waiver requests must be in writing, and the Director, SAF/SB may approve a waiver for up to 12 months (reference [Attachment 3](#)).

3.1.6. Processes appointment terminations through the Director, SAF/SB, for small business professionals below the director-level (reference [Attachment 3](#)).

3.1.7. Reviews and provides recommendations on proposed performance elements, standards, and appraisals for subordinate small business professionals in accordance with Acting Director, DoD Office of Small Business Programs, Memorandum for Director, SAF/SB, *Applicability of Certain Provisions of Department of Defense Instruction (DoDI) 4205.01*, 2 July 2018. (**Note:** Performance criteria and appraisals for small business professionals are addressed in the "Terms" section of this instruction.)

3.1.8. Establishes and maintains a system for monitoring the MAJCOM/DRU Small Business Programs' performance.

3.1.9. Serves on ad hoc teams and assists SAF/SB in strategic planning initiatives to ensure consistency across the Air Force.

3.1.10. Manages the Command Small Business Awards Program and submits command-level award recipients to SAF/SB for further competition at the Secretariat-level.

3.1.11. Establishes a MAJCOM/DRU Small Business Programs Office with optimum staff and budgetary resources to perform all small business statutory and regulatory functions and duties.

3.1.12. Implements the Small Business Compliance Program to include all reviews and inspections. Requests for small business professional support for Inspector General inspections shall flow through the MAJCOM/DRU Director.

3.2. Small Business Professional. Small business professionals below the MAJCOM/DRU Director level shall perform the duties as listed in **Table 1** and as follows:

3.2.1. Develops and manages the Activity Small Business Program Plan (see **Attachment 2** for sample format). The plan shall be approved and signed by the commander and submitted to the designated MAJCOM/DRU Director of Small Business. **(T-2)**.

3.2.2. Establishes and maintains a system for monitoring unit Small Business Programs' performance. Prepares annual reporting input through the MAJCOM/DRU Director of Small Business (see **paragraph 1.2.20**). **(T-2)**.

3.2.3. Represents the unit on behalf of the commander, MAJCOM/DRU Director, and SAF/SB when sponsoring, speaking, or teaching at procurement and/or industry outreach events and conferences. **(T-2)**.

3.2.4. Assists the contracting officer where non-responsibility determinations and termination actions are being considered relative to small business contracts. **(T-2)**.

3.2.5. Works closely with and assists the unit competition advocate to maximize opportunities at the small business and socio-economic subcategory levels to the maximum extent practicable. **(T-2)**.

3.2.6. Participates in de-briefings (Source Selection), reviews Requirements Approval Documents, and performs Source Approval Process Reviews as applicable. **(T-2)**.

3.2.7. Addresses miscellaneous post-award issues (e.g. Compliance with Sub-Contract Limitations, Payments, defaults, performance, compliance with subcontracting plan, Contractor Performance Assessment Reports, Ombudsman, etc.) **(T-2)**.

3.2.8. Briefs small business goals and program status to commanders and senior leaders or provides data and support to the Director of Small Business to brief small business goals and program status to commanders and senior leaders, as applicable. **(T-2)**.

3.2.9. Coordinates/comments on proposed policies, regulations, and procedures. Researches, analyzes, and responds to small business policy questions. Submits policy issues to higher headquarters for review. **(T-2)**.

3.2.10. Researches, coordinates, and responds to SAF/SB, DoD Office of Small Business Programs, SBA, Congressional, and other inquiries/requests. **(T-2)**.

3.2.11. Coordinates on Military Interdepartmental Purchase Requests in accordance with AFI 65-118, *Air Force Purchases Using Military Interdepartmental Purchase Requests*. **(T-1)**.

3.3. Source Development Specialist. At the Air Force Sustainment Center, the Source Development Specialist is a small business professional assigned within selected unit small business offices and is under the direct supervision of the unit Director of Small Business. The Source Development Specialist acts as the primary liaison with industry on all requests for source approval. The Source Development Specialist monitors source approval requests; participates in source development surveys; performs market surveys, to include advising on initial sources sought synopses, for publication in the Federal Business Opportunities; and other electronic data networks. **(T-2).**

4. INFORMATION AND DATA ANALYSIS

4.1. Information and Data Analysis. Information and data analysis are critical to expressing the achievements, lessons learned, and success stories associated with the small business community. The Senior Leader Performance Expectation goals, Air Force Small Business Scorecard Report, Unit Small Business Program Plan, and Small Business Compliance Program are the primary management information methods for collection and analysis.

4.2. Organizational Goals and Senior Leader Performance Expectations.

4.2.1. The Small Business Act requires that each Federal Agency establish annual small business prime contracting goals. In turn, the DoD assigns goals for each service component. SAF/SB converts assigned Air Force goals, through a comprehensive analysis of Air Force market segments and pending contract actions, to Senior Leader Performance Expectations for each MAJCOM, DRU, and AFPEO.

4.2.2. The Air Force utilizes current and forecasted acquisition data, historical data, fiscal year trending information from several portfolio market segments, and actual data reported in Federal Procurement Data System-Next Generation. In preparation for release of the goals, SAF/SB coordinates with each MAJCOM, DRU, and AFPEO on the applicable small business goals for the fiscal year projections.

4.2.3. Senior leaders are expected to support attaining prescribed small business goals by considering potential small business contracting opportunities during the acquisition process and by establishing a climate that is responsive to small business concerns. Senior leaders will ensure that small business awareness, outreach, and support is incorporated as part of the Activity's overall mission and establish performance measures that reflect that commitment. **(T-0).**

4.3. Air Force Small Business Scorecard Report. Every fiscal year, SAF/SB collects from each MAJCOM/DRU Director of Small Business information to develop a comprehensive Air Force Small Business Scorecard Report (reference [paragraph 1.2.20.2.](#)). **(T-1).**

4.3.1. SAF/SB will distribute the draft Air Force Small Business Scorecard Report to the MAJCOM/DRU Directors of Small Business for review, updates, and validation. **(T-1).**

4.3.2. SAF/SB will generate the final Air Force Small Business Scorecard Report and submit it to the DoD Office of Small Business Programs. **(T-1).**

4.4. Unit Small Business Program Plan. The strategic goals and objectives, as defined in the Air Force Small Business Program Plan, influence the actions taken by activity personnel in support of the Air Force's mission. Therefore, the Unit Small Business Program Plan

(Attachment 2) and supporting initiatives shall formally promulgate the Air Force Small Business Program Plan. (T1).

4.5. Small Business Compliance Program. The Small Business Compliance Program measures program conformance, performance, and effectiveness through evaluations, assessments, and inspections in accordance with AFI 90-201, *The Air Force Inspection System*.

4.5.1. Program evaluations will be conducted for squadron, wing, wing-equivalent (or higher with an assigned small business staff) by qualified small business professionals or contracting professionals, MAJCOM/DRU Directors of Small Business, or designated small business staff as part of the Inspector General inspection process as defined in AFI 90-201. MAJCOM/DRU Small Business offices are not authorized to perform inspections independent of the scheduled Inspector General process. (T-1).

4.5.2. Small business professionals at all levels may be called upon to participate as members of internal/external inspection teams. Small business professionals will utilize AFI 90-201 to assess their Small Business Programs. (T-1).

4.5.3. Small business professionals at all levels will utilize the SAF/SB Small Business Program Self-Assessment Communicator defined in the Management Internal Control Toolset to perform assessments throughout the scheduled 36-month evaluation cycle. (T-1).

4.5.4. In support of the “Yes/Comply” responses to Management Internal Control Toolset, MAJCOM/DRU Directors of Small Business will ensure a description of the process used to support the response is provided in the “Assessment Notes” column with adequate supporting documentation. (T-1).

VALERIE L. MUCK
Director
Office of Small Business Programs

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

- The Small Business Act*, Title 15, U.S.C. Section 631, *et seq.*
- Title 10 U.S.C. Section 8024, *Director of Small Business Programs*
- AFFARS Mandatory Procedures 5315.606-90, *Receipt, Evaluation, and Disposition of Unsolicited Proposals*, current edition
- AFFARS Part 5319, *Small Business Programs*, current edition
- AFI 33-360, *Publications and Forms Management*, 1 December 2015
- AFI 61-102, *Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs*, 16 November 2012
- AFI 63-101/20-101, *Integrated Lifecycle Management*, 9 May 2017
- AFI 65-118, *Air Force Purchases Using Military Interdepartmental Purchase Requests*, 4 October 2016
- AFI 90-201, *The Air Force Inspection System*, 21 April 2015
- AFMAN 33-363, *Management of Records*, 1 March 2008
- AFFD 90-18, *Small Business Programs*, 23 March 2011
- DFARS Part 10, *Market Research*, current edition
- DFARS Part 219, *Small Business Programs*, current edition
- DFARS PGI Section 202.101, *Definitions*, current edition
- DoDD 5000.01, *The Defense Acquisition System*, 20 November 2007
- DoDI 4205.01, *DoD Small Business Programs (SBP)*, 8 Jun 2016
- DoDI 5000.02, *Operation of the Defense Acquisition System*, 10 August 2017
- DoDI 5000.75, *Business Systems Requirements and Acquisition*, 2 February 2017
- DoDI 5134.04, *Director of Small Business Programs (SBP)*, 27 September 2016
- Acting Director, DoD Office of Small Business Programs, Memorandum for Director, SAF/SB, *Applicability of Certain Provisions of Department of Defense Instruction (DoDI) 4205.01*, 2 July 2018
- Acting Director, DoD Office of Small Business Programs, Memorandum for DoD Component Directors of Small Business, *Small Business Regulatory Enforcement Fairness Act Requirements*, 1 December 2017
- FAR Part 7, *Acquisition Planning*, current edition
- FAR Part 10, *Market Research*, current edition
- FAR Part 19, *Small Business Programs*, current edition

HAF Mission Directive 1-30, *Director, Small Business Programs*, 14 March 2011

Prescribed Forms

None

Adopted Forms

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

AF/A1—Deputy Chief of Staff for Manpower and Personnel

AF/JA—Office of the Judge Advocate General

AFFARS—Air Force Federal Acquisition Regulation Supplement

AFI—Air Force Instruction

AFMAN—Air Force Manual

AFPEO—Air Force Program Executive Office

APDP—Acquisition Professional Development Program

DFARS—Defense Federal Acquisition Regulation Supplement

DoD—Department of Defense

DoDD—Department of Defense Directive

DoDI—Department of Defense Instruction

DRU—Direct Reporting Unit

FAR—Federal Acquisition Regulations

HAF—Headquarters Air Force

MAJCOM—Major Command

PGI—Procedures, Guidance, and Information

SAF/AQ—Assistant Secretary of the Air Force (Acquisition, Technology and Logistics)

SAF/GC—Office of General Counsel

SAF/SB—Air Force Office of Small Business Programs

SBA—Small Business Administration

U.S.C—United States Code

Terms

Acquisition Team—For the purposes of this instruction, all government participants (e.g. contracting officers, program managers, acquirers, logisticians, etc.) involved in defining, determining, procuring, and managing government acquisition requirements. The role of each

member of the Acquisition Team is to exercise sound business judgment in providing the best value product or service to meet the warfighters' requirements.

Activity Director of Small Business—Manages the overall activities' Small Business Programs on behalf of the commander for the MAJCOM, DRU, Center, or installation. Serves in an Air Force small business senior leadership role.

Commanders' Authority—Nominates in writing any candidate for appointment by the Director, SAF/SB, to the position of MAJCOM/DRU Small Business Director or to the position of any full-time or part-time small business professional or Small Business Technical Advisor within the MAJCOM/DRU, Center, or installation, as appropriate.

Control—Consistent with DoDI 4205.01, any full-time or part-time small business professional, including those assigned or designated as Small Business Technical Advisors, are not subject to the control or direction of contracting, contract management, or technical personnel in the performance of their duties as small business professionals.

Functional Supervisory Authority—The Director, SAF/SB, exercises statutory supervisory authority as the Senior Functional Leader, agent of the Secretary within small business policy and program domains, and Secretarial-level proponent of the small business functional community within the Department of the Air Force. Such authority is exercised through functional appointments, functional assignments, and functional designations; career path development; workforce training, policy, guidance, and direction; and evaluation, accountability, and oversight.

The Department of the Air Force small business functional community includes all Departmental personnel who are appointed, assigned, or designated to perform functions and duties specified in 15 U.S.C. §644(k)(7) and 10 U.S.C. §8024(c) on a full-time or part-time basis, regardless of full-time or part-time employment status. Members of this community are known as small business professionals, including those individuals assigned or designated as Small Business Technical Advisors. Pursuant to 15 U.S.C. §644(k), 10 U.S.C. §8024, and DoDI 4205.01, the Director, SAF/SB, is granted the sole authority within the Department of the Air Force for making and terminating all such appointments, assignments, and designations.

Performance Criteria and Appraisals for Small Business Professionals—The Director, SAF/SB, provides guidance on performance criteria, elements, and standards for evaluations of small business professionals at all levels and regardless of full-time or part-time status. The Director, SAF/SB, may issue any appropriate guidance on functional control and direction of small business professionals. The Director, SAF/SB, further provides input on performance appraisals of MAJCOM/DRU Small Business Directors, and may provide input on performance appraisals of any other small business professionals.

Small Business Directors at major subordinate elements (i.e., MAJCOM/DRU/Centers) report to, and are rated by, the commander or the second in command. The Small Business Director at a major subordinate element shall be at least the initial rater of any full-time or part-time small business professional on the staff of that element's Small Business Program Office, while the relevant commander or second in command shall be the reviewer.

Installation level small business professionals report to, and are rated by, their local chain of command, with mandatory input from the appropriate MAJCOM/DRU/Center Small Business Program Director.

All performance criteria and appraisals are carried out in accordance with the Memorandum of Acting Director, DoD Office of Small Business Programs, for Director, SAF/SB, *Applicability of Certain Provisions of Department of Defense Instruction (DoDI) 4205.01*, dated 2 July 2018.

Small Business Administration Scorecard—An annual SBA reporting requirement with delineated criteria for all federal agencies.

Small Business Professional—Individuals assigned to perform DoD Small Business Program duties/functions related to the Small Business Act.

Small Business Technical Advisors—Any full-time or part-time small business professional who is a full-time employee of the procuring activity with an assigned SBA Procurement Center Representative, and who meets the qualifications of the Small Business Technical Advisor under 15 U.S.C. §644(k)(8). Shall be assigned or designated by the Director, SAF/SB, in consultation with the relevant unit commander. The Small Business Technical Advisor's principal role is to serve as the Air Force procuring activity's pre-assigned counterpart to the SBA-assigned Procurement Center Representative for that particular Air Force procuring activity. A directory of current Procurement Center Representative assignments is available on the SBA website. Assignment or designation may be in addition to other duties.

Termination of Appointments or Designations—The Director, SAF/SB, may terminate appointment, assignment, or designation of any small business professional upon the Director's own initiative or upon the written request of the relevant commander or MAJCOM/DRU Small Business Programs Director. The Director, SAF/SB, issues guidance outlining procedures and criteria for termination of appointments, assignments, or designations.

Attachment 2**SAMPLE FORMAT AND INSTRUCTIONS****SMALL BUSINESS PROGRAM PLAN****I. EXECUTIVE SUMMARY.**

Summarize key features of your organization's plan to meet your fiscal year small business performance expectations and associated goals. This section should condense key information from the rest of the plan to one page or less, including key points the commander wants to emphasize to the Secretary of the Air Force, DoD, and Congress.

II. PLAN TO ACHIEVE GOALS AND OBJECTIVES.

Describe your implementation approaches to use small business opportunities to meet your performance expectations and small business goals. Discuss how your commander plans to leverage Senior Leader small business performance evaluation elements, small business in reach/outreach opportunities, and small business-associated data sets and tools to accomplish this. Additional initiatives should be tracked at the unit and/or command level.

III. METRICS (MARKET SHARE).

SAF/SB will work with your organization to determine a reasonable small business performance expectation and associated goals for each fiscal year.

IV. PROGRAM ANNEXES.

Attach supporting plans in the above format. (**Note:** SAF/SB will tailor annual submissions in accordance with DoD Office of Small Business Programs, SBA, and Congressional guidance, and/or related taskings and items of emphasis.)

Attachment 3

APPOINTMENTS, WAIVERS, AND TERMINATIONS

I. Appointments.

The authority to appoint an individual as a MAJCOM/DRU/Center Director of Small Business or any other small business professional resides with the Director, SAF/SB. Appointments, terminations, and waiver actions will be a collaborative effort with MAJCOM/DRU/Center and installation commanders; Directors of Small Business; and designated selection officials. (T 1)

(a) Submit to the Director, SAF/SB, all requests for appointment with the following information:

Full name of proposed appointee.

Series and grade level.

Type of appointment (full or part-time).

MAJCOM/DRU mailing address, including organizational code of the proposed appointee.

Appointee's contact information (telephone number/email address).

Defense Acquisition University Small Business Program 101 training certificate (required at the time of nomination and appointment). (Note: The appointment memorandum will provide additional guidance on the Small Business training requirements for the specific position of appointment.)

APDP Level III certificates (in any acquisition career field) for MAJCOM/DRU/Center Directors of Small Business and APDP Level II certificates (in any acquisition career field) for all other small business professionals.

(b) During the selection process and prior to appointment the following will be considered:

Candidates are required to possess the business acumen, knowledge of Small Business Programs and acquisition policies and procedures, training, and background to perform successfully in the designated position. **(T-1)**.

Directors of Small Business, small business technical advisers, and any other small business professionals in any full-time or part-time positions cannot be subject to the control or direction of contracting, contract management, or technical personnel when performing small business activities. **(T-1)**.

Appointments to part-time positions are authorized if the organization historically conducts \$100M or less in annual contract obligations. Once the \$100M threshold is exceeded, the part-time position should be converted to a full-time position. **(T-1)**.

MAJCOM/DRU/Center Small Business Directors will not be designated part-time. **(T-1).**

Appointments can only be made upon receipt of the SAF/SB Director endorsed appointment certificate, and is valid until withdrawn or the position is vacated.

SAF/SB will forward the endorsed appointment certificate to the applicable MAJCOM/DRU Director of Small Business for distribution to the small business professional.

II. Waivers.

The Director, SAF/SB will consider two types of waivers: (1) Interim Appointment Waiver requests for those small business professionals that have not met the mandated APDP Level or training requirements specified for the position appointed, and (2) Part-time small business professionals appointed to a position that supports organizations that conduct more than \$100M in annual contract obligations. **(Note:** In cases where the Director, SAF/SB, approves a waiver request for a part-time Director of Small Business, the duties of the part-time Director must take precedence over all other duties.)

Waiver requests will contain the information and utilize the format located in Section I of this attachment. **(T-1).**

The Commander will provide written waiver justification to the Director, SAF/SB, and include the following information: (a) a general description of what the activity buys, (b) historical data showing small business initiatives and achievements over the most recent three-year period, including assigned small business prime contract goals and percent achieved (overall small business and each socio-economic category), (c) a description of the activity's successes in compliance with small business requirements, and (d) an explanation stating how the statutory and regulatory functions and duties will be carried out fully on a part-time basis.

SAF/SB will respond to waiver requests within ten (10) business days after receipt.

III. Terminations.

Termination authority of small business professional appointments resides with the Director, SAF/SB, and will be worked in collaboration with the commander or MAJCOM/DRU Director of Small Business. Terminations may be voluntary (elective reassignments/promotions as desired by incumbent; separation, retirement) or involuntary (unsatisfactory performance). Terminations will not occur retroactively. **(T-1).**

For small business professional terminations below the MAJCOM/DRU-level, the MAJCOM/DRU Director of Small Business will collaborate with SAF/SB. **(T-1).**

Intent to terminate notifications will be made to SAF/SB in the most expeditious manner. **(T-1).**

Notifications will contain the information specified in Section I of this attachment and describe the organization's corresponding replacement actions. Terminations can only proceed upon receipt of approval by the Director, SAF/SB. **(T-1)**.