

ATTACHMENT J.8

APPENDIX H

SMALL BUSINESS SUBCONTRACTING PLAN

Applicable to the Operation of  
AMES Laboratory

Contract No. DE-AC02-07CH11358

## 2016 Subcontracting Plan

Contractor: Ames Laboratory at Iowa State University (in eSRS as Iowa State Equities Corporation)

Address: 224 TASE, Ames IA 50011-3020

Solicitation or Contract Number: DE AC02-07CH11358

Item/Service: Research Laboratory

Total Amount of Contract (Including Options) \$55,000,000

Period of Contract Performance (DAY, MO. & YR.) 10/01/2015-09/30/2016

The following, together with any attachments, is hereby submitted as a Small Business Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 as implemented by FAR Clause 52.219-9.

### 1. Type of Plan

This is an Individual Contract Plan, which means a subcontracting plan that covers the entire contract period referenced and applies to this contract only. The goals are based on planned subcontracting in support of the referenced contract.

### 2. Goals

State separate dollar and percentage goals for small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns, as subcontractors, for the basic and each option year, as specified in FAR 19.704. The following goals are based on a minimum requirement determined by the DOE.

- A. Total estimated dollar value of all planned subcontracting, i.e., with all types of concerns under this contract is \$14,000,000.
- B. Total estimated dollar value and percent of planned subcontracting with small businesses (includes small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), women-owned small business): (% of "A"):  
\$4,200,000 and 30%.
- C. Total estimated dollar value and percent of planned subcontracting with service-disabled veteran-owned small businesses: (% of "A"):  
\$450,000 and 3%.
- D. Total estimated dollar value and percent of planned subcontracting with veteran-owned small businesses: (% of "A"):  
\$450,000 and 3%.
- E. Total estimated dollar value and percent of planned subcontracting with HUBZone small businesses: (% of "A"):



\$450,000 and 3%.

- F. Total estimated dollar value and percent of planned subcontracting with small disadvantaged business (including ANCs and Indian Tribes): (% of "A"):  
\$750,000 and 5%.
- G. Total estimated dollar value and percent of planned subcontracting with women-owned small business: (% of "A"):  
\$750,000 and 5%.
- H. Total estimated dollar value and percent of planned subcontracting with **LARGE BUSINESS**: (% of "A"):  
\$9,800,000 and 70%.
- I. Principal products and/or services to be subcontracted under this contract are listed below along with the distribution to small, veteran-owned, HUBZone, small disadvantaged, woman-owned small business or large business concerns:

Subcontracted Product/Service	SB	VOB	SDVOB	HUB	SDB	WOSB	LB
Biological Materials	X				X		X
Computer Hardware/Software	X	X	X	X	X	X	X
Chemicals	X	X			X		X
Cleaning and Custodial Supplies	X						
Construction Supplies	X						
Construction Services	X						X
Containers							X
Equipment Repair	X					X	X
Flooring/Furniture	X						
Laboratory Equipment	X	X					X
Laboratory, Electrical & Safety Supplies	X	X	X	X	X	X	X
Memberships/Subscriptions	X						X
Metals	X	X					X
Office Supplies	X						
Professional Services	X	X		X	X	X	X
Research	X					X	X

In accordance with FAR 19.502-2, awards greater than \$3,000 and less than \$150,000 to large businesses will include documentation which supports the decision to award to other than small businesses. Preference will be given to small business awards for purchases between \$3,000 and \$150,000 awarded through small purchase/simplified acquisition procedures where there is a reasonable expectations that proposals, competitive as to price, quality and delivery, will be obtained from two or more responsive small business concerns.

- J. A description of the method used to develop the subcontracting goals for small businesses and all classifications of small minority businesses: including ANCs and Indian Tribes (SB), veteran-



owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), women-owned small business (WOSB), as well as large business concerns is listed below:

Ames Laboratory builds on past performance history with previously successful small and small minority businesses, and works diligently to expand spend with other small and small minority businesses. Ames Laboratory also uses the [www.sam.gov](http://www.sam.gov) dynamic search database and logs e-mails received from potential small business sources. The Laboratory works with other DOE SC laboratories to develop its small business and small minority business portfolio. The Laboratory also uses the GSA Advantage site to find reliable pricing and small businesses that can offer the COTS goods and services to support the Laboratory's mission.

Ames Laboratory requests proposals from two or more small businesses for products and services. Often, these are businesses in which the Laboratory has experienced several previous transactions which were successful from the pre-award through delivery stages. Ames Laboratory will invite new small business suppliers to quote and give them a chance to do business with the Laboratory. As a company proves satisfactory products, reliable delivery, and competitive pricing, the Laboratory continues to expand its offerings to that small or small minority business.

K. Indirect costs are NOT included in the dollar and percentage subcontracting goals stated above.

3. The following individual administers the subcontracting program:

Name: Andrea Spiker

Title: Purchasing Manager

Address: 211 TASF, Ames, IA 50011-3020

Telephone: 515-294-6738

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

- A. General overall responsibility for the Laboratory's small business program, the development, preparation, and execution of individual subcontracting plans, and for monitoring performance relative to contractual subcontracting requirements contained in this plan.
- B. Developing and promoting company-wide policy initiatives that demonstrate the company's support for awarding contracts and subcontracts to small businesses and small minority businesses including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns are included on the services they are capable of providing.
- C. Ensuring that procurement packages are structured to permit small and small minority business concerns to participate in maximum extent possible.
- D. Establishing and overseeing the maintenance of solicitations and subcontract award activity.
- E. Ensuring that procurement "packages" are designed to permit the maximum possible participation of small businesses including ANCs and Indian Tribes (SB), veteran-owned small business (VOB),



service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns within State Purchasing laws and regulations;

- F. Make arrangements for the utilization of various sources for the identification of small businesses including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns such as the System for Award Management ([www.sam.gov](http://www.sam.gov)) the DOE'S Small Business Energy Contract database, the VetBiz database, the National Minority Business Data Center in the Department of Commerce, Women Business Enterprise Council Vendor Information Service, and the facilities of local small business, small disadvantaged business (minority), women associations, and contacts with Federal Agencies' Small Business Program Managers;
- G. Attending the annual DOE Small Business Conference and other local trade fairs, procurement conferences as they are available;
- H. Ensure small businesses including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns are made aware of subcontracting opportunities and how to prepare responsive bids to the company;
- I. Conducting or arranging for the conduct of training for purchasing personnel regarding the intent and impact of Public Law 95-507 on purchasing procedures;
- J. Monitoring the company's performance and making any adjustments necessary to achieve the subcontract plan goals;
- K. Preparing, and submitting timely, required subcontract reports;
- L. Coordinating the company's activities during the conduct of compliance reviews by Federal agencies;
- M. Reviewing solicitations to remove statements, clauses, etc., which may tend to restrict or prohibit small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns participation, where possible.
- N. Ensuring that the bid proposal review board documents its reasons for not selecting low bids submitted by small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns.
- O. Ensuring that Historically Black Colleges and Universities and Minority Institutions shall be afforded maximum practicable opportunity (if applicable).

#### 4. Equitable Opportunity

In accordance with FAR 19.704 (a) (3), the contractor agrees to ensure that small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns will have an equitable opportunity to compete for subcontracts. The various efforts include, but are not limited to, the following activities:

A. Outreach efforts to obtain sources:

- (i) Contacting small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) trade associations (to the extent known, identify specific small business (SB) veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes, (SDB), and women-owned small business (WOSB) trade associations. This includes receiving and responding to e-mailed solicitation from small businesses, discussing opportunities over the phone with small business.
- (ii) Attending small business (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB) small disadvantaged business (WOSB) procurement conferences and trade fairs, including any local conferences offered and the DOE Small Business conference.
- (iii) Potential sources will be requested from the System for Award Management ([www.sam.gov](http://www.sam.gov)), the DOE's Small Business Energy Contract database, the VetBiz database, and other electronic medium.

B. Internal efforts to guide and encourage purchasing personnel:

- (i) Establishing, maintaining, and using small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) source lists, guides and other data for soliciting subcontracts; and
- (iii) Monitoring activities to evaluate compliance with the subcontracting plan.

C. Additional efforts: Meeting with current and potential small business suppliers to identify opportunities to conduct business together, maintain close relationships with other GOCOs in an effort to identify potentially common small business and minority suppliers.

5. Flow-Down clause

The contractor agrees to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities. The contractor will also require all subcontractors, except small business concerns, that receive subcontracts in excess of \$700,000 (\$1,500,000 for construction) to adopt a plan that complies with the requirements of the clause at FAR 52.219-9, "Small Business Subcontracting Plan." (FAR 19.704 (a)(4)).

Such plans will be reviewed by comparing them with the provisions of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractors facilities to review applicable records and subcontracting program progress.

As prescribed in FAR Subpart 19.301(d), the Federal U.S. Government may impose a penalty against any firm misrepresenting their business size as a small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns status for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the contractor's subcontracting plan.

6. Timely Payments to Subcontractors

The Contractor agrees to ensure the timely payment amounts due pursuant to the terms of the subcontracts with small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantage business (including ANCs and Indian Tribes), and women-owned small business concerns.

7. Reporting and Cooperation

The contractor gives assurance of (1) cooperation in any studies or surveys that may be required by the contracting agency or the Small Business Administration; (2) submission of periodic reports such as utilization reports, which show compliance with the subcontracting plan; (3) submission of timely "Subcontracting Report for Individual Contracts," (SRI) and "Summary Subcontract Report," (SSR) in accordance with instructions identified on the eSRS website ([www.esrs.gov](http://www.esrs.gov)); and (4) ensuring that large business subcontractors with subcontracting plans agree to electronically input to the eSRS.

<u>Reporting Period</u>	<u>Report Due</u>	<u>Due Date</u>
Oct 1 - Mar 31	SRI	04/30
Apr 1 - Sep 30	SRI	10/30
Oct 1 - Sep 30	SSR	10/30

8. Record Keeping

The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records will include, but not be limited to, the following:

- A. The System for Award Management ([www.sam.gov](http://www.sam.gov)) for small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business (including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) concerns, lists the names of guides and other electronic data systems identifying such vendors;



- B. Organizations contacted in an attempt to locate small business including ANCs and Indian Tribes (SB), veteran-owned small business (VOB), service-disabled veteran-owned small business (SDVOB), HUBZone small business (HUB), small disadvantaged business including ANCs and Indian Tribes (SDB), and women-owned small business (WOSB) sources;
  - C. On a contract-by-contract basis, records on all subcontract solicitations more than \$150,000 which indicate for each solicitation (1) whether small business concerns (including ANCs and Indian Tribes) were solicited, and if not, why not; (2) whether veteran-owned small business were solicited, and if not, why not; (3) whether service-disabled veteran-owned business were solicited, and if not, why not; (4) whether HUBZone small business were solicited, and if not, why not; (5) whether small disadvantaged business concerns (including ANCs and Indian Tribes) were solicited, and if not, why not; (6) whether women-owned small business were solicited, and if not, why not; and (7) reason for failure of solicited small business, veteran-owned business, small disadvantaged business, women-owned small business, or HUBZone small business concerns to receive the subcontract award;
  - D. Records to support other outreach efforts, e.g., contacts with small disadvantaged business (minority), small business, veteran-owned small business, disabled veteran-owned small business, women-owned small business, HUBZone small business, trade associations, attendance at small business, small disadvantaged business (minority), service-disabled and veteran-owned small business, women-owned small business procurement conferences and trade fairs;
  - E. Records to support internal guidance and encouragement, provided to buyers through (1) workshops, seminars, training programs, incentive awards; and (2) monitoring of activities to evaluate compliance; and
  - F. On a contract-by-contract basis, records to support subcontract award data including the name, address and business size of each subcontractor. **(This item is not required for company or division-wide commercial products plans.)**
9. Description of Good Faith Effort
- The Contractor intends to use all reasonable and good faith efforts (as described in this plan) to award the stated percentages of the final actual subcontract base amount with small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns. The following steps shall be taken.
- A. Issue and promulgate company-wide policy statements in support of the small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business effort. Develop written procedures and work instructions, and assign specific responsibilities regarding requirements of the applicable Public Law.
  - B. Review specific procurement actions for possible acquisition from eligible small business (including ANCs and Indian Tribes), veteran-owned small business, service disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns.



- C. Demonstrate continuing management interest and involvement in support of this through such actions as regular reviews of progress.
- D. Train and motivate Ames Laboratory personnel regarding the need for the support of small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns.
- E. Assist small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns by arranging solicitations, allowing time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns to enable these forms to compete fairly.
- F. Counsel and discuss subcontracting opportunities with small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns.
- G. Execute Service Agreements, Teaming Agreements, and Basic Ordering Agreements with qualified small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business firms, as required, in an attempt to ensure availability and usage of subcontractor personnel to support Ames Laboratory work efforts when required.
- H. Make available specifications, drawings, and other relevant data so the qualified, known small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned small business concerns have equal opportunity in preparing bids.
- I. Establish and maintain a categorized list of potential subcontractors with separate identification of small business (including ANCs and Indian Tribes), veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business (including ANCs and Indian Tribes), and women-owned *small* business concerns.

[SIGNATURE PAGE TO FOLLOW]



This subcontracting plan was submitted by:

Signature: *Andrea Spiker*  
Typed Name: Andrea Spiker  
Title: Manager, Purchasing and Property Services  
Date Signed: 10/5/2015  
Phone No.: 515-294-6738

Approval:

Agency: U.S. Department of Energy  
Signature: *Jennifer Stricker*  
Typed Name: Jennifer Stricker  
Title: Contracting Officer  
Date Signed: 11/10/2015  
Phone No.: 630-252-2408