

ATTACHMENT J.8

APPENDIX H

SMALL BUSINESS SUBCONTRACTING PLAN

**Applicable to the Operation of
Ernest Orlando Lawrence Berkeley National Laboratory**

Contract No. DE-AC02-05CH11231

Lawrence Berkeley National Lab
Small Business Subcontracting Plan – FY 2017

DATE: 11/21/2016

CONTRACTOR: Regents of the University of California

ADDRESS: 1 Cyclotron Road, Berkeley, CA 94720

SOLICITATION OR CONTRACT NUMBER: DE-AC02-05CH11231

ITEM/SERVICE: Management and Operations of Lawrence Berkeley National Laboratory

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. The total estimated dollar value of all planned subcontracting (to all types of business concerns) under this contract is: \$316,000,000.
2. The following percentage goals (expressed in terms of a percentage of total planned Subcontracting dollars) are applicable to the contract cited above or to the contract awarded under the solicitation cited.
 - (a) Small business concerns: 50% of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns.
 - (b) Veteran-owned small business concerns: 3% of total planned subcontracting dollars under this contract will go to subcontractors who are veteran-owned small business concerns. This percentage is included in the percentage shown under 2(a), above.
 - (c) Service-disabled veteran-owned small business concerns: 3% of total planned subcontracting dollars under this contract will go to subcontractors who are service-disabled veteran-owned small business concerns. This percentage is included in the percentage shown under 2(a), above.
 - (d) HUBZone small business concerns: 3% of total planned subcontracting dollars under this contract will go to subcontractors who are HUBZone small business concerns. This percentage is included in the percentage shown under 2(a), above.
 - (e) Small disadvantaged business concerns: 5% of total planned subcontracting dollars under this contract will go to subcontractors who are small disadvantaged business concerns. This percentage is included in the percentage shown under 2(a), above.
 - (f) Women-owned small business concerns: 5% of total planned subcontracting dollars under this contract will go to subcontractors who are women-owned small business concerns. This percentage is included in the percentage shown under 2(a), above.

3. The following dollar values correspond to the percentage goals shown in 2. above.
 - (a) Total dollars planned to be subcontracted to small business concerns: \$158,000,000.
 - (b) Total dollars planned to be subcontracted to veteran-owned small business concerns: \$9,480,000. This amount is included in the amount shown under (a), above
 - (c) Total dollars planned to be subcontracted to service-disabled veteran-owned small business concerns: \$9,480,000. This amount is included in the amount shown under (a), above.
 - (d) Total dollars planned to be subcontracted to HUBZone small business concerns: \$9,480,000. This amount is included in the amount shown under (a), above.
 - (e) Total dollars planned to be subcontracted to small disadvantaged business concerns: \$1,580,000. This amount is included in the amount shown under (a), above.
 - (f) Total dollars planned to be subcontracted to women-owned small business concerns: \$1,580,000. This amount is included in the amount shown under (a), above.

4. 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, women-owned small business, or large business concerns:

CATEGORY	SB	VOB	SDVOB	HUB	SDB	WOSB	LB
Architect-Engineer Services	X	X			X	X	X
Biological Agents	X	X					
Books & Periodicals	X						X
Building/Construction Machinery	X				X	X	X
Building/Construction Supply	X	X	X	X	X	X	X
Chemicals	X	X	X				X
Computer/Technology Services	X	X	X	X	X	X	X
Construction/Repair Services	X		X	X	X	X	X
Consultant Services	X	X		X	X	X	X
Controlled Substance	X	X					X
Design/Graphic Supply	X						
Distribution/Conditioning	X	X	X	X	X	X	X
Domestic Appliance	X	X			X	X	X
Electrical Supply	X	X					X
Electronic Component	X	X			X	X	X
Electronic Consumer Goods	X	X	X	X	X	X	X
Environmental Services	X	X	X		X	X	X
Equipment Repair/Maintenance	X				X	X	X
Fabrication	X			X	X	X	X
Furniture/Furnishings	X				X	X	X
Gases, Bulk	X	X	X				X

CATEGORY	SB	VOB	SDVOB	HUB	SDB	WOSB	LB
Gases, Hazardous	X					X	X
Healthcare Services	X						X
HEPA Filter	X	X			X		X
Industrial Supply	X				X	X	X
Isotopes	X	X					X
IT Hardware	X	X	X	X	X	X	X
Janitorial Services	X						X
Laboratory Equipment	X	X	X	X	X	X	X
Lab Cabinet/Hood	X	X	X	X			X
Landscaping Services	X	X	X	X	X		X
Laser Equipment						X	X
Lease, Equipment	X	X				X	X
Medical Equipment/Supply	X	X				X	X
Office Equipment	X	X			X	X	X
Paper Material/Products	X	X			X	X	X
Pharmaceutical Supply	X	X			X	X	X
Plant/Animal Supplies	X	X	X		X	X	X
Precious Metal	X	X			X		
Relocation Services							X
Research & Development	X	X			X	X	X
Respiratory Equipment	X	X			X	X	
Safety Equipment	X	X		X	X	X	
Security Equipment	X						X
Stores	X				X	X	X
Telecommunication Services	X	X			X	X	X
Temporary Personnel	X			X	X	X	X
Tools/Machinery	X	X	X		X	X	X
Transportation Service	X	X	X	X			X
Travel & Lodging	X						
Work Apparel Product	X	X	X	X	X	X	X

5. The following method was used in developing subcontract plan goals:

The following is a description of the method used to develop the subcontracting goals for small business concerns and large business (LB) concerns including the quantitative basis (in dollars) used to establish the percentage goals and how the areas to be subcontracted to the various small business concerns and large business (LB) concerns were determined.

The goaling dollars and percentages entered in Section 2 and 3 represent stretch estimates applied to an acquisition forecast developed from historical data, institutional projections, and market research. The forecast is a multi-step computation of the laboratory's projected procurement base and analysis of small business spend by subcontract category.

The Laboratory's projected Real Available Procurement Dollars (a basis used in forecasting), after adjusting for multi-year and incrementally funded subcontract obligations is \$139M. The projection is estimated based on current data on expiring term agreements and available subcontracting opportunities. An internal forecast of 33.6% was computed based upon the above analysis. Refer to Section 6 for methods used to identify small business sources of supply and services to bridge the gap between forecast and stretch goals.

6. The following methods were used to identify potential sources for solicitation purposes:

Berkeley Lab has strong small business program that focuses both on outreach and in-reach activities to maximize opportunities to small business.

Outreach efforts to obtain sources and attract small businesses:

- Engage and work with a selection from the following small business concern trade associations:
 - The Minority Business Development Agency (MBDA)/US Dept of Commerce
 - National Minority Supplier Development Council (NMSDC) and its regional offices
 - National Association of Women Business Owners (NAWBO) and its regional offices
 - Northern California Small Business Association
 - US Pan Asian Chamber of Commerce and its regional offices
 - East Bay Small Business Development Center
 - City of Berkeley
 - Berkeley Chamber of Commerce
 - Emeryville Chamber of Commerce
 - Department of Veteran Affairs
 - California Alliance of Disabled Veterans
 - Department of General Services SB Advocate Committee
 - US Army Corps of Engineers
 - SBA Business Matchmaking
 - Women's Business Enterprise National Council (WBENC) and its regional offices
 - Oakland African American Chamber of Commerce (OAACC)

- Attend a selection of events from this list of small business concern conferences and trade fairs
 - National Minority Supplier Development Council Conference
 - Northern California Small Business Association meetings
 - SBA Business Matchmaking Western Region
 - DOE SB Program Manager's Meetings
 - National Veteran Small Business Conference & Expo
 - Department of General Services Advocate SB Meeting
 - The Annual High Tech Small Business Conference
 - US Army Corps of Engineer Veterans Conference
 - UC Annual Vendor Fair at UC Berkeley
 - US Pan Asian Chamber of Commerce Conference
 - SBA Bay Area Vendor Fair
 - California Disabled Veteran Business Alliance Fair
 - DOE Annual Small Business Conference
 - Women's Business Enterprise National Council (WBENC) and its regional offices
 - UC Small Business Manager meetings as deemed appropriate
 - Hubzone National Conference and its regional offices

- Leverage resources such as
 - System for Award Management (SAM)
 - SBA Dynamic Small Business Search
 - DOE's Small Business Energy Contract database
 - VetBiz database
 - GSA, ICPT, UC Consortium Agreements to leverage SB outreach
 - UC, government & industry source directories (e.g. HUBZone Gateway, EBMUD, UC Berkeley, etc.)

- Attract Small Businesses to the Laboratory
 - Single point of contact for all resources relating to SB community and concerns
 - LBNL Small Business website that is easy to use and provides relevant information to Small Businesses and easy registration to work with the Lab
 - Conduct presentations and training at various small business industry/trade events to attract small business suppliers and promote laboratory contracting opportunities
 - Enable business partnerships between large and small business to drive small business development and growth
 - Maintain open-door policy for vendor visits and product demonstrations; conduct one-on-one meetings and coaching as time permits.
 - Work closely with various local Chambers of Commerce to establish special Ambassador programs in utilizing local small businesses.

In-reach efforts to promote small business engagement and subcontracting:

- LBNL Small Business Directory for easy access to Small Business information for procurement specialists and Lab end-users
- Targeted seminars and training programs relating to small business matters to procurement specialists and Lab end-users
- Continuous communication to procurement specialists on small business goals and success stories to increase awareness and promote success
- Monitor activities to evaluate compliance with the subcontracting plan
- Collaborate with technical end users to identify/locate small business resources including arranging the initial meetings and presentations between small businesses and technical project managers
- Train procurement specialists on Small Business matters to help the procurement specialists gain a better understanding of the importance of small businesses, and encourage them to increase subcontracting opportunities for small business concerns.
- Review acquisitions greater than \$25K for small business opportunities
- Leverage eCommerce program to meet small business objectives
- Small business goals are an element of employee performance expectations

7. Indirect costs (check one below):

have been,

have not been

included in the goals specified

8. The following individual will administer the subcontracting program:

Name: Edna Annis
Title: Business Assurance Manager
Address and Telephone: 1 Cyclotron Road, MS 971-PROC
Berkeley, CA 94720
510-486-5824

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

- Develop and promote policy initiatives that demonstrate support for awarding subcontracts to small business concerns
 - Review and monitor requisitions over \$25K in advance to maximize contracting opportunities for small business concerns
 - Monitoring of activities to assure compliance with subcontracting plan
 - Make arrangements for the utilization of various sources for the identification of small business concerns – see sources in section 6 above
 - Actively review new supplier capabilities and match/introduce them to procurement specialists
 - Coordinate and arrange meetings between prospective suppliers and technical end-users/project managers
 - Attend and actively participate in small business annual conferences, trade shows and networking events – see listing in section above
 - Make small business concerns aware of subcontracting opportunities and how to prepare responsive bids
 - Train procurement staff on small business program requirements, process and how to maximize small business opportunities
 - Monitor the Lab's performance on socioeconomic goals and making any adjustments necessary to achieve the subcontract plan goals
 - Prepare and submit required reports
 - Ensure that the bid proposal review team documents its reasons for not selecting low bids submitted by small business concerns
9. The following efforts will be taken by the SBO to assure that small business, service-disabled veteran owned, HUBZone small business, small disadvantaged business and women-owned business concerns will have an equitable opportunity to compete for subcontracts:
- (a) The Small Business Program maintains an SB Directory of small, small disadvantaged, women-owned, service-disabled veteran owned and HUBZone businesses. This directory is accessible to both end-users and to procurement specialists in soliciting subcontracts.
 - (b) Utilization of small, service-disabled veteran owned, HUBZone, small disadvantaged, and women-owned business sourcelists by procurement specialists (see section 6 above)
 - (c) Internal efforts to guide and encourage procurement specialists (see section 6 above)

10. Lawrence Berkeley National Laboratory agrees that FAR 52.219-8 will be included in all subcontracts greater than \$700,000 (\$1,500,000 for construction), with the exception of commercial items, if subcontract involves any further subcontracting opportunities. Such plans will be reviewed by comparing them with the provisions of FAR 52.219-9, and assuring that all minimum requirements of an acceptable subcontracting plan has been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved and the availability of potential small business subcontractors. Once approved and implemented, plans will be monitored through the submission of periodic reports, and subcontracting program progress.
11. Lawrence Berkeley National Laboratory agrees to submit periodic reports and cooperate in any studies or surveys as may be required by the contracting agency or the Small Business Administration in order to determine the extent of compliance with the subcontracting plan and with the clause entitled "Utilization of Small Business Concerns" contained in the contract. We further agree to submit The Individual Subcontracting Report for Individual Contracts (ISR by 4/30/17 and 10/31/17), and the Summary Subcontract Report (SSR by 10/31/17), in accordance with the instructions outlined in the government wide eSRS Subcontracting Reporting System located at www.esrs.gov.


Additionally, we will ensure that our subcontractors agree to submit the Individual and Summary Subcontracting reports where applicable.

12. Lawrence Berkeley National Laboratory agrees to maintain at least the following types of records to document compliance with this subcontracting plan:
 - (a) Source Lists (e.g. PRO-Net), guides, and other data that identify small business, service-disabled veteran owned, HUBZone, small business, small disadvantaged business, and women-owned small business concerns.
 - (b) Organizations contacted in an attempt to locate sources that are small business, service-disabled veteran owned, HUBZone, small business, small disadvantaged business, or women-owned business concerns.
 - (c) Records on each subcontract solicitation resulting in an award of more than \$150,000, indicating on each solicitation
 - i. Whether small business concerns were solicited, and if not, why not;
 - ii. Whether service-disabled veterans-owned small business concerns were solicited, and if not, why not;
 - iii. Whether HUBZone small business concerns were solicited, and if not, why not;
 - iv. Whether small disadvantaged business concerns were solicited, and if not, why not;
 - v. Whether women-owned small business concerns were solicited, and if not, why not; and
 - vi. If applicable, the reason award was not made to a small or small disadvantaged business concern.
 - (d) Records of any other outreach efforts to contact trade associations, business development organizations, and conferences and trade fairs to locate small, service-disabled veteran-

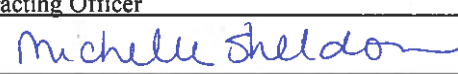
owned, HUBZone small, small disadvantaged, and women-owned small business concerns.

- (e) Records of internal guidance and encouragement provided to procurement specialists through workshops, seminars, and training programs; and monitoring of performance to evaluate compliance with program requirements.
- (f) On a contract-by-contract basis, records to support award data including the name, address and business size of each subcontractor.

This subcontracting plan was submitted by:

Signature: 
Typed Name: Becky Cornett
Title: Procurement and Property Manager
Date Prepared: 11/21/2016
Phone No.: 510-495-8186

Approval:

Agency: Department of Energy
Typed Name: Michelle Sheldon
Title: Contracting Officer
Date Prepared: 
Phone No.: 510-486-4298