

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 2018

DATE: 12/4/2017

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: \$326,000,000. The goals in 2A-H below are based on our overall spend minus allowable exclusions which includes Foreign Subcontracts, DOE contractor orders, affiliates (UC campuses, other campuses, LANL, LLNL), and utilities (DOE-approved non-mandatory exclusion). The amount after exclusions is \$253,353,290 to be available to small business as follows:
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: 42% 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: \$106,408,382.
 - (b) Total dollars planned to be subcontracted to veteran-owned small business concerns: \$ 7,600,599. 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: \$7,600,599. This amount is included in the amount shown under (a), above.
 - (d) Total dollars planned to be subcontracted to HUBZone small business concerns: \$ 7,600,599. This amount is included in the amount shown under (a), above.
 - (e) Total dollars planned to be subcontracted to small disadvantaged business concerns: \$ 12,667,664. This amount is included in the amount shown under (a), above.
 - (f) Total dollars planned to be subcontracted to women-owned small business concerns: \$ 12,667,664. 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 including service-disabled veteran-owned, HUBZone, small disadvantaged, and women-owned small business concerns:

CATEGORY	SB	VOB	SDVOSB	HUB	SDB	WOSB
Architect-Engineer Services	X	X	X		X	X
Biological Agents	X	X				
Books & Periodicals	X					
Building/Construction Machinery	X	X	X	X	X	X
Building/Construction Supply	X	X	X	X	X	X
Chemicals	X	X	X	X		
Computer/Technology Services	X	X	X	X	X	X
Construction/Repair Services	X		X	X	X	X
Consultant Services	X	X		X	X	X
Controlled Substance	X	X				
Design/Graphic Supply	X	X	X		X	X
Distribution/Conditioning	X	X	X	X	X	X
Domestic Appliance	X	X	X		X	X
Electrical Supply	X	X	X	X	X	X
Electronic Component	X	X	X	X	X	X
Electronic Consumer Goods	X	X	X	X	X	X
Environmental Services	X	X	X		X	X
Equipment Repair/Maintenance	X	X	X	X	X	X
Fabrication	X	X	X	X	X	X
Furniture/Furnishings	X	X	X	X	X	X
Gases, Bulk	X	X	X	X		
Gases, Hazardous	X	X	X			X
Healthcare Services	X					
HEPA Filter	X	X	X		X	
Industrial Supply	X	X	X	X	X	X
Isotopes	X	X	X			
IT Hardware	X	X	X	X	X	X
Janitorial Services	X	X	X	X	X	X
Laboratory Equipment	X	X	X	X	X	X
Lab Cabinet/Hood	X	X	X	X	X	

CATEGORY	SB	VOB	SDVOSB	HUB	SDB	WOSB
Landscaping Services	X	X	X	X	X	X
Laser Equipment						X
Lease, Equipment	X	X	X			X
Medical Equipment/Supply	X	X	X	X	X	X
Office Equipment	X	X	X		X	X
Paper Material/Products	X	X	X	X	X	X
Pharmaceutical Supply	X	X			X	X
Plant/Animal Supplies	X	X	X		X	X
Precious Metal	X	X			X	
Relocation Services	X	X	X	X	X	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	X	X	X	X
Stores	X	X	X		X	X
Telecommunication Services	X	X	X		X	X
Temporary Personnel	X	X	X	X	X	X
Tools/Machinery	X	X	X	X	X	X
Transportation Service	X	X	X	X	X	X
Travel & Lodging	X					
Work Apparel Product	X	X	X	X	X	X

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

The Lab's FY18 subcontracting goals are based on subcontracting goals provided by the DOE, adjusted for exclusions. The Lab will strive to further improve performance towards these goals. The Lab is developing a number of initiatives in FY18 as explained throughout this document to set it on the path towards increased performance.

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

Berkeley Lab will plan both on outreach and in-reach activities to maximize opportunities to small business.

Outreach efforts to obtain sources and attract small businesses:

- Engage with small business trade associations and related organizations, and attend small business conferences and trade fairs. We will select from the lists below:

Associations and Organizations

- DoD Western Regional Council for SB Education and Advocacy Member
- Procurement Technical Assistance Centers-PTACs (Berkeley Lab is a Client Member of Monterey PTAC)
- Women's Business Enterprise Council-West (WBEC-West) Member
- Disabled Veterans Business Alliance (DVBA) (Sacramento Chapter Participant)
- National Contract Management Assn (NCMA) (Sacramento Chapter Participant)
- Oakland Chamber of Commerce Member
- Berkeley Chamber of Commerce Member
- East Bay Economic Development Assn (EDA) Member
- Chinese American Construction Professionals (CACCP) Member
- Asian Business Assn of Orange County (ABAOC) Member

Conferences and Trade Fairs

- Veterans in Business Network Convention (Nov 2017)
 - National Veterans SB Engagement (Dec 2017)
 - National Reservation Economic Summit (March 2018)
 - Disabled Veteran Business Alliance Conference (AKA: Keeping the Promise)(May 2018)
 - DOE Annual Small Business Conference (May, 2018)
 - WBENC (Parent Organization of WBEC-West) Conference (June 2018)
 - WBEC-West Conference
- Leverage resources such as
 - System for Award Management (SAM)
 - SBA Dynamic Small Business Search
 - VIP Database (VA)
 - GSA, ICPT, UC Agreements with small businesses, DOE MP Program Participants, Other Than Small Business (OTSB) Supplier Diversity Resources, Gov SB Team Listings and Related Resources
 - Attract Small Businesses to the Laboratory
 - Create Mentor-Protégé Pilot Program Targeting SDVOSB and WOSB Firms

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

- Maintain the LBNL Small Business Directory and website to allow easy access to Small Business information for procurement specialists and Lab end-users. Elements of the website include statement by the acting CPO in support of SB, the directory, SB events calendar, procurement forecast, procurement policies and technical assistance documents
- As needed, review/update relevant SPs and provide training
- Create SB bidders lists for individual requirements and document source selection rationale/outcome
- Assist in market research for acquisitions greater than \$25K
- Small business goals are an element of employee performance expectations
- Set goal of finding 10 new SDVOSB and WOSB construction vendors for addition to SB database
- To maximum extent practical, continue eCommerce strategy of using small business suppliers
Currently 46 out of 47 catalogs are through small business suppliers.

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: Roger Minami
Title: Small Business Program Manager
Address: 1 Cyclotron Road, MS 971-PROC, Berkeley, CA 94720
Telephone: 510-486-4883

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

- SB market research of requisitions over \$25K in advance to maximize contracting opportunities for small business concerns. Market research to include advocacy for SB teaming/mentor-protégé opportunities, set-asides and sole-source recommendations when appropriate
 - Monitoring of activities to assure compliance with subcontracting plan, including verification of supplier credentials in SAM
 - Utilize sources for the identification of small business concerns – see sources in section 6 above. This includes market introduction of potential sources to technical end users to assist them in their efforts to plan out requirements and increase SB participation at the Lab.
 - Attend a selection of small business conferences, trade shows and networking events – see listing from which selection will be made above
 - Review new supplier capabilities and match/introduce them to procurement specialists and others where applicable
 - Train procurement staff on small business program requirements, process and how to maximize small business opportunities
 - Ensure that the procurement specialists document its reasons for not selecting low bids or bids within fair market value submitted by small business concerns
 - Monitor team and collective socio-economic goal performance and adjust accordingly necessary to achieve the subcontract plan goals
 - Prepare and submit required reports
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) Advocate for SB set-asides, teaming/mentor-protege opportunities and sole-source SB awards when appropriate
 - (b) Monitor team socio-economic performance goals (Good Faith Effort)
 - (c) Develop mentor-protégé pilot program targeting SDVOSB and WOSBs
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 for maximum SB participation. 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. We will discuss relevant goal attainment issues of SB subcontract plan holders when needed.
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 4/30/18 and 10/31/18), 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) SB source lists associated with previous requirements for future market research needs. Source list to include organizations contacted during the market research and whether/not they came about from an outreach event attended.
- (b) Internal scorecard based on subcontract spend and overall program performance. The performance will include a summary/record of outreach, training and monitoring.
- (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) 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: Edna Annis
Name: Edna Annis
Title: Acting Chief Procurement Officer
Date: 12/4/2017
Phone Number: 510-486-5824

Approval:

Signature: Michelle Sheldon
Name: Michelle Sheldon
Title: DOE Contracting Officer
Date: 12/4/2017
Phone Number: 510-486-4298