

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 Laboratory
Small Business Subcontracting Plan – FY 2019**

DATE: March 20, 2019

CONTRACTOR: The Regents of the University of California

ADDRESS: 1 Cyclotron Road, Berkeley, CA 94720

SOLICITATION OR CONTRACT NUMBER: DE-AC02-05CH11231

ITEM/SERVICE: Management & Operation 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: \$361,000,000. The goals below are based on this projected spend. The amounts estimated to be available to small business as shown below.
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: 45.0% of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns.
 - (b) Veteran-owned small business concerns: 3.0% 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: 3.0% 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) and (b) above.
 - (d) HUBZone small business concerns: 3.0% 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: 5.0% 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: 5.0% 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.

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- (a) Total dollars planned to be subcontracted to small business concerns: \$162,450,000.
 - (b) Total dollars planned to be subcontracted to veteran-owned small business concerns: \$10,830,000. This amount is included in the amount shown under 3(a) above.
 - (c) Total dollars planned to be subcontracted to service-disabled veteran-owned small business concerns: \$10,830,000. This amount is included in the amount shown under 3(a) and (b) above.
 - (d) Total dollars planned to be subcontracted to HUBZone small business concerns: \$10,830,000. This amount is included in the amount shown under 3(a) above.
 - (e) Total dollars planned to be subcontracted to small disadvantaged business concerns: \$18,050,000. This amount is included in the amount shown under 3(a) above.
 - (f) Total dollars planned to be subcontracted to women-owned small business concerns: \$18,050,000. This amount is included in the amount shown under 3(a) above.
4. Principal products and/or services to be subcontracted under this contract are listed below along with the anticipated distribution to small, veteran-owned, service-disabled veteran-owned, HUBZone, small disadvantaged, and women-owned small business concerns:

CATEGORY	SB	VOSB	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	X
Consultant Services	X	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	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				
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

CATEGORY	SB	VOSB	SDVOSB	HUB	SDB	WOSB
Lab Cabinet/Hood	X	X	X	X	X	
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 Laboratory's FY 2019 subcontracting dollar goals are based on subcontracting goals provided by DOE on March 18, 2019. The Laboratory will strive to further improve performance towards meeting or exceeding these goals. The Laboratory has developed a number of initiatives for FY 2019 as explained below to set it on the path towards meeting these goals and for increasing SDVOSB subcontract awards.

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

The Laboratory plans to utilize both outreach and in-reach activities to maximize opportunities to small businesses.

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 (Partnership)
- Women's Business Enterprise Council-West (WBEC-West) (Member)
- California Assn of Public Procurement Officials (CAPPO) (Member)
- National Contract Management Assn (NCMA) (Sacramento Chapter Participant)
- Oakland Chamber of Commerce (Member)
- Industry Council for Small Business Development (ICSBD)(Partnership)
- Chinese American Construction Professionals (CACP) (Member)
- Asian American Contractors Assn (Member)
- Bay Area Business Roundtable (Partnership)

Conferences and Trade Fairs

- DoD-WRC Training (2 each; when and where TBD/Usually April and August)
 - JPL Small Business Event (Usually Spring in Southern California)
 - Disabled Veteran Business Alliance Conference (AKA: Keeping the Promise)(May 2019)
 - DOE Annual Small Business Conference (April 2019)
 - WBENC (Parent Organization of WBEC-West) Conference (June 2019)
 - WBEC-West Conference (September 2019)
- 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, Small Business specialists throughout the DOE complex, listings of SB Team arrangements and related resources
 - Attract Small Businesses to the Laboratory
 - Identify Protégés via the DOE, Mentor-Protégé 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 Laboratory end-users. Elements of the website include statement by the CPO in support of SB, the directory, SB events calendar, procurement forecast, procurement policies and technical assistance documents
- As needed, review/update relevant Standard Practices and provide training
- Create SB bidders lists for individual requirements and document source selection rationale/outcome
- Assist in market research for acquisitions greater than \$25,000, with increased emphasis on SDVOSB set-asides and sole source opportunities whenever possible
- Include small business goals as an element of employee performance expectations
- To maximum extent practical, continue eCommerce strategy of using small business suppliers Currently 46 out of 47 eBuy catalogs are with small business suppliers.
- Market SDVOSB service providers, including mentor-protégé participants with Laboratory customers and Services and Construction Subcontracting Teams.

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 Officer
Address: 1 Cyclotron Road, MS 971-PROC, Berkeley, CA 94720
Telephone: 510-486-4883

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

- Conducting market research for requisitions over \$25,000 in advance to maximize subcontracting 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 activities to assure compliance with subcontracting plan, including verification of supplier credentials in SAM
 - Utilizing various sources for the identification of small business concerns (see 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 Laboratory.
 - Attending a variety of small business conferences, trade shows and networking events (see listing above)
 - Reviewing new supplier capabilities and match/introduce them to procurement specialists and others where applicable
 - Training procurement staff on small business program requirements, processes and how to maximize small business opportunities
 - Ensuring that the procurement specialists document reasons for not selecting low bids or bids within fair market value submitted by small business concerns
 - Monitoring team and collective socio-economic goal performance
 - Preparing and submit required reports
9. The following efforts will be taken by the SBO to assure that small business, veteran owned small business, service-disabled veteran owned small business, HUBZone small business, small disadvantaged business and women-owned business concerns will have an equitable opportunity to compete for Laboratory subcontracts:
- (a) Advocate for SB set-asides, teaming/mentor-protégé opportunities and sole-source SB awards when appropriate
 - (b) Monitor team socio-economic performance goals (Good Faith Effort)
 - (c) Expand the mentor-protégé pilot program targeting SDVOSB and WOSBs
10. Lawrence Berkeley National Laboratory agrees that FAR 52.219-8 (*Utilization of Small Business Concerns*) will be included in all subcontracts (except subcontracts for commercial items \$700,000 or less) and FAR 52.219-9 (*Small Business Subcontracting Plan*) in all subcontracts greater than \$700,000 (\$1,500,000 for construction), with the exception of subcontracts for 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 4/30/19 and 10/30/19), and the Summary Subcontract Report (SSR by 10/30/19), 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 when 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 subcontract-by-subcontract basis, records to support award data including the name, address and business size of each subcontractor.

This subcontracting plan was submitted by:

Signature: Digitally signed by Edna Annis
Date: 2019.03.20 13:15:21
07:00
Edna Annis

Name: Edna Annis

Title: Chief Procurement Officer

Date: 3/20/2019

Phone Number: 510-486-5824

Approval:

Signature: *Michelle N. Sheldon*

Name: Michelle Sheldon

Title: DOE Contracting Officer

Date: 3/28/2019

Phone Number: 510-486-4298
