ATTACHMENT J.8

APPENDIX H

SMALL BUSINESS, VETERAN-OWNED SMALL BUSINESS, SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS, HUBZONE SMALL BUSINESS, SMALL DISADVANTAGED BUSINESS, AND WOMEN-OWNED SMALL BUSINESS MODEL SUBCONTRACTING PLAN

Applicable to the Operation of
AMES Laboratory

Contract No. DE-AC02-07CH11358

THE Ames Laboratory
Creating Materials & Energy Solutions
U.S. DEPARTMENT OF ENERGY

2014 Subcontracting Plan

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, SUBCONTRACTING PLAN MODEL OUTLINE *

Identification Data

Contractor: Ames Laboratory / Iowa State University

Address: 224 TASF

Ames, IA 50011-3020

Solicitation or Contract Number: DE AC02-07 CH 11358

Item/Service: Research Laboratory

Total Amount of Contract (Including Options) $ 37,000,000

Period of Contract Performance (DAY, MO. & YR.) 10/01/13 - 09/30/14

*Federal Acquisition Regulation (FAR), paragraph 19.708(b) prescribes the use of the clause at FAR 52.219-9 entitled "Small Business Subcontracting Plan." The following is a suggested model for use when formulating such subcontracting plan. While this model plan has been designed to be consistent with FAR 52.219-9, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this model may be cause for either a delay in acceptance or the rejection of a bid or offer where the clause is applicable. Further, the use of this model is not intended to waiver other requirements that may be applicable under FAR 52.219-9. "SUBCONTRACT" means any agreement (other than one involving an employer-employee relationship) entered into by a Government prime contractor or subcontractor calling for supplies or services required for performance of the contract, contract modification, or subcontract.

1. Type of Plan (check one)

X Individual Contract Plan - Individual Contract Plan, as used in this subpart, means a subcontracting plan that covers the entire contract period (including option periods),

applies to a specific contract, and has goals that are based on the offeror's planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.

_____ Master Plan - Master Plan, as used in this subpart, means a subcontracting plan that contains all of the required elements of the individual plans, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.

_____ Commercial Products Plan - Commercial Plan, as used in this subpart, means a subcontracting plan that covers the offeror's fiscal-year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division, plant, or product line). The contractor must provide a copy of the approved plan. **NOTE: A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial items.**

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 $ 20,500,000 .

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"):
$ 10,250,000 and 50 %

C. Total estimated dollar value and percent of planned subcontracting with service-disabled veteran-owned small businesses: (% of "A"):
$ 307,500 and 3 %

D. Total estimated dollar value and percent of planned subcontracting with veteran-owned small businesses: (% of "A"):
$ 307,500 and 3 %

E. Total estimated dollar value and percent of planned subcontracting with HUBZone small businesses: (% of "A"):
$ 30710,500 and 3 %

F. Total estimated dollar value and percent of planned subcontracting with small disadvantaged business (including ANCs and Indian Tribes): (% of "A"):
$ 512,500 and 5 %

G. Total estimated dollar value and percent of planned subcontracting with women-owned small business: (% of "A"):
$ 512,500 and 5 %

H. Total estimated dollar valve and percent of planned subcontracting with **LARGE BUSINESS:** (% of "A"):
$ 10,250,000 and 50 %

I. Provide a description of the principals types of supplies and services to be subcontracted under this contract, and indication of the types planned for subcontracting to (i.e., 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), women-owned small business (WOSB), ANCs, Indian Tribes and large business (LB).

(check all that apply)

Subcontracted Product/Service	SB	VOB	SDVOB	HUB	SDB	WOSB	LB
Photography							X
Laundry							X
Glassware	X			X	X		
Paper	X	X	X	X	X		
Lab Supplies	X		X	X	X	X	X
Gloves	X			X	X	X	X
Office Supplies	X	X	X	X	X		
Hardware	X				X		X
Uniforms							X
Cylinder Gases							X
Electrical	X						X
Computer & Supplies	X	X	X	X	X	X	X
Equipment Maintenance	X						X
Consulting Services	X					X	X
Scientific Instrumentation	X			X	X	X	X
Chemicals	X		X	X	X	X	X

(Attach additional sheets if necessary.)

J. A description of the method used to develop the subcontracting goals for 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), women-owned small business (WOSB), and large business concerns (i.e., explain the method and state the quantitative basis (in dollars) used to establish the percentage goals, in addition, how the areas to be subcontracted to small businesses (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), and large business (LB) concerns were determined -- include any source lists used in the determination process).

Sources used by Ames Laboratory: Past performance history with already successful small minority businesses, email solicitations from small businesses and from DOE Small Business Offices, local conferences sponsored by CIRAS (Center for Industrial Research and Service) and ISU (Iowa State University), our own computer listing, and various internet searches and sites.

Ames Laboratory obtains quotes/bids from two or more small businesses for products and services as listed in Section 2. The reliability of individual suppliers regarding quality of products supplied and realistic delivery dates are tested with small purchase orders. When a company has proven satisfactory, a continuous business relationship is established. This process helps to ensure adequate business is conducted with small businesses and subcategories as listed in Section 2. In the absence of competition, sole source procurements to small businesses are possible when the total value of the procurement is under $25,000 and the vendor has a proven record for furnishing reliable products at competitive prices, within a timely manner.

K. Indirect costs have been _____ have not been ____X____ included in the dollar and percentage subcontracting goals stated above. (check one)

L. If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontract to small businesses and subcategories as listed in Section 2.

3. Program Administrator

Name, title, position within the corporate structure, and duties and responsibilities of the employee who will administer the contractor's subcontracting program.

Name: Andrea Spiker

Title: Purchasing Manager

Address: 211 TASF, ISU

Ames, IA 50011

Telephone: 515-294-6738

Duties: Has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing subcontracting plans and monitoring performance relative to the requirements of this particular plan. These duties include, but are not limited to the following activities:

A. Developing and promoting company-wide policy initiatives that demonstrate the company's support for awarding contracts and subcontracts to 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 included on the services they are capable of providing;

B. Developing and maintaining bidder's lists of 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 from all possible sources;

C. Ensuring periodic rotation of potential subcontractors on bidder's lists;

D. 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;

E. 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) 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;

F. Overseeing the establishment and maintenance of contract and subcontract award records;

G. Attending or arranging for the attendance of Ames Laboratory staff at Small Business Opportunity Workshops, Minority and Women Business Enterprise Seminars, Trade Fairs, Procurements Conferences, etc.;

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 the establishment and maintenance of records of solicitations and subcontract award activity.

P. 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.

Email solicitations from small businesses, DOE Small Business Conference, local conferences sponsored by CIRAS and ISU, our own computer listing, and internet searches and sites.

(ii) Contacting small business development organizations (to the extent known, identify specific small business development organizations).
Targeted Small Business of Iowa Department of Economic Development, Center for Industrial Research and Service, Local conferences sponsored by CIRAS and ISU.

(iii) 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 (to the extent known, identify specific procurement conferences and trade fairs and dates).

Local conferences sponsored by CIRAS and ISU.

(iv) Potential sources will be requested from the System for Award Management (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 $650,000 ($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); and (4) ensuring that large business subcontractors with subcontracting plans agree to electronically input to the eSRS.

Reporting Period	Report Due	Due Date
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) 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.

10. Acquisition of Construction

Estimated to cost $3.5 million or less, including new construction, and repair and alteration of structures, shall be a small or small disadvantaged business 8(a) set-aside (including ANCs and Indian Tribes). For acquisition in excess of $3.5 million, small business or small disadvantaged business 8(a) (including ANCs and Indian Tribes) set-aside will be considered on a case-by-case basis.

[SIGNATURE PAGE TO FOLLOW]

THE Ames Laboratory
Creating Materials & Energy Solutions
U.S. DEPARTMENT OF ENERGY

This subcontracting plan was submitted by:

Signature:	Andrea Spiker
Typed Name:	Andrea Spiker
Title:	Purchasing Manager
Date Signed:	11/15/13
Phone No.:	515-294-6738

Approval:

Agency:	U.S. Department of Energy
Signature:	Jennifer Stricker
Typed Name:	Jennifer Stricker
Title:	Contracting Officer
Date Signed:	01/15/2014
Phone No.:	630-252-2408

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