

**SMALL BUSINESS
SUBCONTRACTING PLAN
FY 1999**

Date: October 1, 1998

CONTRACTOR: MIDWEST RESEARCH INSTITUTE

ADDRESS: 1617 COLE BLVD., GOLDEN, CO, 80401

SOLICITATION OR CONTRACT NUMBER: DEAC36-98-GO-10337

ITEM/SERVICE: Management and operation of the National Renewable Energy Laboratory to perform the lead role in renewable energy research and development and to be the Nation's primary Federal laboratory for renewable energy research.

The following, together with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 and the Federal Acquisition Regulations (FAR), Part 19.

1. (a) The total estimated dollar value of all planned subcontracting (to all types of business concerns) under this contract is \$(redacted). Total estimated contract dollar value (less excluded and directed procurements) available for application is \$(redacted). The Laboratory commits to the percentage goals for procurements placed with socioeconomic organizations for the contract cited above. Dollar values expressed are approximate projections based on the estimated dollar value of procurements available for application.
- (b) The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars less excluded and directed procurements) are applicable to the contract cited above or to the contract awarded under the solicitation cited.
 - (i) Small Business Concerns: (redacted) % of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns.

Small Business Set-Aside Goal: (redacted) % of total planned subcontracting dollars under this contract will be set aside for subcontractors who are small business concerns.
 - (ii) Small Disadvantaged Business Concerns: (redacted) % of total planned subcontracting dollars under this contract will go to subcontractors who are small disadvantaged business concerns.
 - (iii) Women-Owned Small Business Concerns: (redacted) % of total planned subcontracting dollars under this contract will go to subcontractors who are women-owned small business concerns.

(c) The following estimated dollar values correspond to the percentage goals shown in (b) above.

(i) Total estimated dollars planned to be subcontracted to small business concerns:
\$(redacted).

Total estimated dollars planned to be set-aside for small business concerns:
\$(redacted).

(ii) Total estimated dollars planned to be subcontracted to small disadvantaged business concerns: \$(redacted).

(iii) Total estimated dollars planned to be subcontracted to women-owned small business concerns: \$(redacted).

(d) The following principal products and/or services will be subcontracted under this contract to small, small disadvantaged and women-owned small business concerns as follows:

- 15 Building construction - General Contractors
- 16 Heavy Construction, other than Buildings - Contractors
- 17 Construction - Special Trade Contractors, welding
- 20 Food and kindred products
- 23 Apparel and other finished products made from fabrics, badges
- 24 Lumber and wood products, except furniture
- 25 Furniture and fixtures
- 26 Paper and allied products
- 27 Printing, publishing, and allied industries, labels
- 28 Chemicals and allied products
- 30 Rubber and miscellaneous plastics products
- 31 Gloves, Calfskin & Cotton
- 32 Stone, clay, glass, & concrete products
- 35 Industrial & commercial machinery & computer equipment
- 34 Fabricated metal products, hardware
- 35 Engraving Equipment & Supplies, Electronic equipment except computers
- 36 Conduit and Coudlets, resistors, photomultiplier tubes, terminal connectors
- 38 Measuring, analyzing, and controlling instruments; photographic, medical and optical goods; watches and clocks, test equipment, optical lenses
- 39 Miscellaneous manufacturing industries
- 48 Communications
- 50 Wholesale trade-durable goods, fasteners (screws, nuts & bolts), batteries and chargers
- 51 Wholesale trade-nondurable goods, office supplies
- 52 Building materials, hardware, garden supply, and mobile home dealers
- 72 Laundry Supplies & Services
- 73 Business services, temporary personnel, janitorial services, software, photography
- 76 Miscellaneous repair services
- 81 Legal services
- 86 Membership organizations
- 87 Engineering, accounting, research, management, and related services. Research and development
- 89 Miscellaneous services

(e) Acquisition of construction estimated to cost \$3 million or less, including new construction, and repair and alteration of structures, shall be a small business set-aside. For acquisition in excess of \$3 million, small business set-aside will be considered on a case-by-case basis.

- (f) The following method was used in developing subcontract goals:

The product and service areas to be subcontracted were established based on historical data for the types of acquisitions normally required to meet the mission, goals and objectives under the prime contract. The small, small disadvantaged, and women-owned small business concerns areas of subcontracting opportunities were determined through DOE class set-asides, National Renewable Energy Laboratory established class set-asides, historical data for acquisitions that are available from the local market place, and a review of the current known acquisition requirements for FY 99.

- (g) Indirect and overhead costs (check one below):

have been have not been

included in the goals specified in 1.(c) and 1.(d).

- (h) If "have been" is checked, explain the method used in determining the proportionate share of indirect and overhead costs to be allocated as lower-tier subcontracts to small business concerns and small disadvantaged business concerns.

Midwest Research Institute reviewed the planned major and minor construction projects for new building, and for alterations and repairs and maintenance activities to determine the potential amount of overhead costs that would be acquired through acquisitions. In addition, the various other types of services acquired (e.g., janitorial services, mowing, snow removal) with overhead costs were reviewed to determine the potential acquisitions from overhead costs.

2. The following individual will administer the lower-tier subcontracting program:

Name: Daniel J. Cornell

Address & Telephone: 1617 Cole Blvd., Golden, CO 80401, (303) 384-7549

Title: Contracts and Business Services Director

The Contracts and Business Services Director will be assisted by the Small Business Liaison, Group Managers, and the Team Leaders in administration of the subcontracting program as defined in the Laboratory's procedures for Socioeconomic Programs.

The Small Business Liaison's specific duties, as they relate to the firm's subcontracting program are as follows:

General overall responsibility for this company'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, including but not

limited to:

- (a) Developing and maintaining bidders lists of small, small disadvantaged and women-owned small business concerns from all possible sources.
- (b) Ensuring that procurement packages are structured to permit small, small disadvantaged, and women-owned small business concerns to participate to the maximum extent possible, within applicable laws and regulations.
- (c) Assuring inclusion of small, small disadvantaged, and women-owned small business concerns in all solicitations for products or services which they are capable of providing.
- (d) Reviewing solicitations to remove statements, clauses, etc., which may tend to restrict or prohibit small, small disadvantaged, and women-owned small business concerns participation, where possible.
- (e) Ensuring that the bid proposal review board documents its reasons for not selecting low bids submitted by small, small disadvantaged, and women-owned small business concerns.
- (f) Ensure the establishment and maintenance of records of solicitations and subcontract award activity.
- (g) Attending or arranging for attendance of company representatives at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
- (h) Conducting or arranging for conduct of motivational training for purchasing personnel pursuant to the intent of P. L. 95-507.
- (i) Monitoring attainment of proposed goals.
- (j) Preparing and submitting periodic subcontracting reports when required.
- (k) Additions to (or deletions from*) the duties specified above are as follows:

None

*Please provide rationale for deletion on a separate sheet.

3. The following efforts will be taken to assure that small and small disadvantaged business concerns will have an equitable opportunity to compete for subcontracts:

- (a) Outreach efforts will be made as follows:
 - (i) Contacts with small, small disadvantaged, and women-owned small business trade associations (identify specific disadvantaged and small business trade

associations).

Minority Enterprises, Inc.
Hispanic Chamber of Commerce
Black Chamber of Commerce
Asian Chamber of Commerce
Women's Chamber of Commerce
National Minority Supplier Development Council

- (ii) Contacts with business development organizations (identify specific business development organizations).

Minority Enterprises, Inc.
Hispanic Chamber of Commerce
Black Chamber of Commerce
Asian Chamber of Commerce
Colorado Indian Chamber of Commerce
Colorado Women's Chamber of Commerce
Arvada Chamber of Commerce
Adams County Chamber of Commerce
Aurora Chamber of Commerce
Boulder Chamber of Commerce
Brighton Chamber of Commerce
Broomfield Chamber of Commerce
Castle Rock Chamber of Commerce
Centennial Chamber of Commerce
Denver Chamber of Commerce
Evergreen Chamber of Commerce
Golden Chamber of Commerce
Greater Englewood Chamber of Commerce
Lafayette Chamber of Commerce
Lakewood Chamber of Commerce
Louisville Chamber of Commerce
Wheat Ridge Chamber of Commerce

- (iii) Attendance at small, small disadvantaged, and women-owned small business procurement conferences and trade fairs (to the extent known, identify specific procurement conferences and trade fairs and dates).

Contracts and Business Services Office personnel attend the monthly meetings of Minority Enterprises, Inc., and attend any procurement conferences or trade fairs that occur during the year in the Denver metropolitan area and will advertise in the trade fair publications so that the Laboratory can be identified to the largest number of small, small disadvantaged, and women-owned small business firms. In addition, representation from the Contracts and Business Services Office is sent

to the DOE small business conferences and to the Small Business Administration (SBA) Trade Fairs, and the National Minority Supplier Council Conference.

- (iv) Potential sources will continue to be requested from SBA's online Pro-Net system.
- (b) The following internal efforts will be made to guide and encourage buyers:
 - (i) Workshops, seminars and training programs will be conducted.
 - (ii) Activities will be monitored to evaluate compliance with this subcontracting plan.
- (c) Small, small disadvantaged, and women-owned small business concern source lists, guides and other data identifying small, small disadvantaged, and women-owned small business concerns will be maintained and utilized by buyers in soliciting subcontracts.
- (d) Additions to (or deletions from*) the above-listed efforts are as follows:

None

*Please provide rationale for deletion on separate sheet.

- 4. Midwest Research Institute agrees that the clause entitled "Utilization of Small, Small Disadvantaged, and Women-Owned Small Business Concerns" will be included in all subcontracts which offer further subcontracting opportunities, and all subcontractors (except small business concerns) who receive subcontracts in excess of \$500,000 will be required to adopt and comply with a subcontracting plan similar to the plan required by the FAR Clause 52.219-9, Small, Small Disadvantaged, and Women-Owned Small Business Subcontracting Plan. 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 and prior experience of potential small, small disadvantaged, and women-owned small subcontractors. 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 subcontractor's facilities to review applicable records and subcontracting program progress.
- 5. Midwest Research Institute agrees to:
 - (i) cooperate in any studies or surveys as may be required by the contracting agency or the Small Business Administration,
 - (ii) submit periodic reports in order to determine the extent of compliance by the Contractor with the subcontracting plan and with the clause entitled "Utilization of Small, Small Disadvantaged, and Women-Owned Small Business Concerns" contained in the contract,

- (iii) submit Standard Form (SF) 294, Subcontracting Report for Individual Contracts and SF 295, Summary Subcontract Report, in accordance with DEAR 919.708(b) and the instructions on the reverse side of the form; and
 - (iv) ensure that its subcontractors agree to submit Standard Form 294.
6. Midwest Research Institute agrees that it will maintain at least the following types of records to document compliance with this subcontracting plan:
- (a) Small, small disadvantaged, and women-owned small business concern source lists, guides and other data identifying SB/SDB/WSBE vendors.
 - (b) Organizations contacted for small and small disadvantaged business sources.
 - (c) On a contract-by-contract basis, records on all subcontract solicitations over \$100,000 indicating on each solicitation (1) whether small business concerns were solicited, and if not, why not; (2) whether small disadvantaged business concerns were solicited, and if not, why not; (3) whether women-owned small business concerns were solicited, and if not, why not; and (4) reasons for failure of solicited small, small disadvantaged, and women-owned small business concerns to receive the subcontract award.
 - (d) Records to support other outreach efforts: Contacts with Disadvantaged, Small, and Women-Owned Small Business Trade Associations. Attendance at small, women-owned small and small disadvantaged business procurement conferences and trade fairs.
 - (e) Records to support internal activities to guide and encourage buyers: Workshops, seminars and training programs. Monitoring activities to evaluate compliance.
 - (f) On a contract-by-contract basis, records to support subcontract award data to include name and address of subcontractors.
 - (g) Records to be maintained in addition to the above are as follows:

None

Signed: _____

Typed Name: Daniel J. Cornell

Title: Office Director

Date:

Plan Accepted By: _____

Name and Title: _____

Date: _____

"EFFECTIVE DATE FOR SUBCONTRACTING PLAN: Bidder or offeror to indicate budget period to which this plan applies:

10/01/98 to 09/30/99
(Month, Day, Year) (Month, Day, Year)

ATTACHMENT 1

- A. The estimated total dollars available in the Laboratory's FY 1999 budget (based on current NREL budget projections) are as follows:

Operating Funds	\$144,000,000
Equipment Funds	4,000,000
General Plant Projects	1,000,000
Construction Funds	4,000,000
Research for Non-DOE Sponsors	7,000,000
TOTAL.....	\$160,000,000

- B. The estimated total dollars (less excluded and directed procurements) available for procurement are as follows:

Operating Funds	\$68,000,000
Equipment Funds	4,000,000
General Plant Projects	1,000,000
Construction Funds	4,000,000
TOTAL.....	\$77,000,000