

## **APPENDIX H**

### **SMALL BUSINESS SUBCONTRACTING PLAN**

**Applicable to the Operations of  
Brookhaven National Laboratory**

## **FY2016 SMALL BUSINESS SUBCONTRACTING PLAN**

Contractor: **BROOKHAVEN SCIENCE ASSOCIATES, LLC**

Address: **BROOKHAVEN NATIONAL LABORATORY**  
**P.O. Box 5000, Upton, New York 11973-5000**

Contract Number: **DE-SC0012704**

Total Amount of the Contract for the Performance Period: \$525,000,000.

Period of Contract Performance: October 1, 2015 through September 30, 2016

### **I. Type of Plan**

Individual Contract Plan – An Individual Contract Plan covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offer'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).

This Individual Subcontracting Plan is for FY2016. Brookhaven Science Associates, LLC (BSA) small business goals are set for each fiscal year of the Contract.

### **II. Goals**

- a. BSA has established separate dollar and percentage goals for small business (SB - including Alaska Native Corporations [ANC] and Indian Tribes), small disadvantaged business (SDB - including ANCs and Indian Tribes), women-owned small business (WOB), HUBZone small business (HUB), service-disabled veteran-owned small business (SDVOB) and veteran-owned small business (VOB) concerns (hereafter referred to the six small business categories) as subcontractors, as specified in FAR 19.704.

Subcontracting goals for the six small business categories (including ANCs and Indian Tribes) are defined below.

The following is an estimate of the principal types of supplies and services to be subcontracted under this Contract, and an indication of the supplies and services planned for subcontracting to the six categories of small business (including ANCs and Indian Tribes) and large business.

<b>Subcontracted Supplies/Services</b>	<b>SB</b>	<b>SDB</b>	<b>WOB</b>	<b>HUB</b>	<b>SDVOB</b>	<b>VOB</b>	<b>LB</b>
A & E	X	---	---	---	X	X	X
Construction	X	X	X	X	X	X	X
R & D	X	X	---	---	---	---	X
Services	X	X	X	X	X	X	X
Materials/Supplies	X	X	X	X	X	X	X
Electrical	X	X	X	X	X	X	X
IT (Computer)	X	X	X	X	X	X	X
Equipment (Major)	X	---	---	---	---	---	X

Note: The NAICS codes have not been included as the breadth of work subcontracted would require an extensive listing. The Small Business Liaison Officer (SBLO) will work directly with the procurement staff to ensure solicitations of small businesses (including ANCs and Indian Tribes) to the maximum extent possible.

- b. The goals for the six small business categories (including ANCs and Indian Tribes) are based on consultations with the DOE. Potential suppliers will be identified using BSA's current vendor base, and various directories including: System for Award Management (SAM), the DOE-OSDBU Small Business Contacts Database, Women's Chamber of Commerce, The Suffolk County Women's Business Enterprise Coalition (SCWBEC), The Procurement Technical Assistance Center's (PTAC) Database, the Small Business Administration-Small Business Development Center (SBA-SBDC) databases, and sharing the small business databases from the other DOE National Labs, etc. The areas to be subcontracted to each target small business group have been determined by historic references and current needs. Capabilities to provide goods and services are determined on an individual basis.
  1. The total estimated dollar value of all planned subcontracting, (to all types of business concerns) under this contract, is \$137,280,000.
  2. The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars) and associated dollars are applicable to the contract cited above and will be pursued on a best efforts basis consistent with good commercial practices and best value assessments:
    - (i) Small Business (SB) (including ANCs and Indian Tribes) 50% or \$68,640,000 of total planned subcontracting dollars under this contract will go to subcontractors who are small business.
    - (ii) Small Disadvantaged Business (SDB)/ 8(a) (including ANCs and Indian Tribes) 5% or \$6,864,000 of total planned subcontracting dollars under this contract will go to subcontractors who are small disadvantaged business/8(a) small businesses (including ANCs and Indian Tribes). This percentage is included in the percentage shown under 2(i) above as a subset.

- (iii) Woman-Owned Small Business (WOB) 6.5% or \$8,923,200 of total planned subcontracting dollars under this contract will go to subcontractors who are woman-owned small business. This percentage is included in the percentage shown under 2(i) above as a subset.
- (iv) Historically Underutilized Small Business (HUB) 3% or \$4,118,400 of total planned subcontracting dollars under this contract will go to subcontractors who are HUB small business. This percentage is included in the percentage shown under 2(i) above as a subset.
- (v) Service-Disabled Veteran-Owned Small Business (SDVOB) 3% or \$4,118,400 of total planned subcontracting dollars under this contract will go to subcontractors who are service-disabled veteran-owned small business. This percentage is included in the percentage shown under 2(i) above as a subset.
- (vi) Veteran-Owned Small Business (VOB) 3% or \$4,118,400 of total planned subcontracting dollars under this contract will go to subcontractors who are veteran-

BSA will ensure timely payment of amounts due pursuant to the terms of its subcontracts with the six small business concerns (including ANCs and Indian Tribes). BSA will use Small Business Set Asides to support the small business goals stated above.

c. Small Business Set-Asides Types:

1. Small Business Set-Aside (including ANCs and Indian Tribes):

Each acquisition of supplies or services with an anticipated dollar value exceeding the Micro-Purchase (\$3,000) but not over the Simplified Acquisition Threshold (\$150,000) (FAR 2.101) will be reserved exclusively for small business concerns (including ANCs and Indian Tribes) and shall be set aside for small business (including ANCs and Indian Tribes) unless there is not a reasonable expectation of obtaining offers from two or more responsible small business concerns that are competitive in terms of market prices, quality, and delivery.

2. Construction Set-Asides:

Acquisition of construction estimated to cost \$4 million or less, including new construction, and repair and alteration of structures, shall be a small business set-aside (including ANCs and Indian Tribes). For acquisition in excess of \$4 million, small business (including ANCs and Indian Tribes) will be considered on a case-by-case basis.

### III. Sole Source Procurements:

BSA may award contracts on a sole-source basis to these types of small Businesses (including ANCs and Indian Tribes):

- a. Small Business Administration (SBA) certified 8(a) small businesses (including ANCs and Indian Tribes); in accordance with FAR 19.805 (2) for purchases valued at: (A) \$6.5 million or less for 8(a) small business within North American Industry Classification System (NAICS) codes for manufacturing or \$4 million or less for small business within any other NAICS codes. There will be no limit on the anticipated value of contracts awarded on a sole-source basis to ANC; and
- b. SBA certified Historically Underutilized Small Businesses (HUB) Zone small businesses in accordance with FAR 19.1306 (2) for purchases valued at: (A) \$6.5 million or less for HUBZone small business within North American Industry Classification System (NAICS) codes for manufacturing or \$4 million or less for HUBZone small business within any other NAICS codes. There will be no limit on the anticipated value of contracts awarded on a sole-source basis to ANC; and
- c. Service-Disabled Veteran-Owned Small Business (SDVOB) small businesses in accordance with FAR 19.1406 (2) sole-source awards to service-disabled veteran-owned small business concerns for \$6 million or less for requirement within the NAICS codes for manufacturing; or \$3.5 million for a requirement within any other NAICS codes. There will be no limit on the anticipated value of contracts awarded on a sole-source basis to ANC.
- d. Set Asides to Small Business for procurements less than the Simplified Acquisition Threshold (SAT).

To further facilitate Brookhaven National Laboratory Small Business Program, BSA will, without further documentation to the file, and based on its unilateral decision, utilize the option of making awards without competition up to the simplified acquisition threshold (\$150,000) to small business concerns (including ANCs and Indian Tribes) in accordance with the Department of Energy Acquisition Guide, Chapter 19: Small Business Program - Overview; section D (Discretionary Set-Asides) dated December 2010;

- e. A Protégé under a DOE Prime Contractor Mentor-Protégé Program can be awarded a contract on a noncompetitive basis, without the need for a sole source justification for any value.
- f. Indirect costs have not been included in the dollar and percentage subcontracting goals stated above.

#### IV. Program Administrator

The Contractor's subcontracting program administrator is:

Name: Jill Clough-Johnston  
Title: Small Business Liaison Officer  
Address: Brookhaven National Laboratory  
Procurement & Property Management Division  
Building 902B Room 8A  
Upton, New York 11973

Telephone: (631) 344-3173

Email: [clough@bnl.gov](mailto:clough@bnl.gov)

Duties: General overall responsibility for Brookhaven Science Associates (BSA) 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 laboratory-wide policy initiatives that demonstrate BSA's support for awarding contracts and subcontracts to the six small business categories (including ANCs and Indian Tribes).
- b. Making arrangements for the utilization of various sources for the identification of the six small business categories (including ANCs and Indian Tribes) through some of the following resources: System for Award Management (SAM), the DOE-OSDBU Small Business Contacts Database, GSA Office of Small Business, Women's Chamber of Commerce Database, the Procurement Technical Assistance Center's Database, the SBA-SBDC databases, sharing the Small Business databases from the other DOE National Labs, the National Minority Business Directory, etc. This effort will be focused on identification of reliable, competitive suppliers in the areas where achieving small business goals has been a challenge.
- c. Attending or arranging for the attendance of the procurement personnel at small business opportunity workshops; seminars, trade fairs, procurement conferences, etc.
- d. Ensuring small businesses (including ANCs and Indian Tribes) are made aware of subcontracting opportunities and basic prerequisites for the preparation of a responsive bid.
- e. Conducting or arranging for training for procurement personnel regarding the intent and impact of Public Law 95-507 on purchasing procedures.
- f. Supporting the Property and Procurement Manager (PPM) Compliance and Policy Manager in randomly reviewing procurements to ensure the maximum possible participation of the six small business categories (including ANCs and Indian Tribes).

- g. Monitoring the over \$650,000 (\$1,500,000 for construction) large business subcontractors' performance and making suggestions for the utilization of small business, where applicable, so that any adjustments necessary to achieve the subcontracting plan goals can be made.
- h. Preparing, inputting and submitting timely subcontracting reporting through the eSRS.
- i. Coordinating BSA's activities during compliance reviews by Federal agencies.
- j. Assuring the integrity of supplier information by reviewing the Representations and Certifications, ensuring that supplier NAICS codes and socioeconomic classifications are included in the descriptions of new suppliers.

V. Equitable Opportunity

BSA will ensure that small businesses (including ANCs and Indian Tribes) 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) The SBLO works with the Hauppauge Industrial Association (HIA), the Suffolk County Women's Business Enterprise Coalition (SCWBEC) and many other trade associations.
  - (ii) The SBLO also works with the: Stony Brook University/Farmingdale College Small Business Development Centers (SBDC), the LaGuardia College – Procurement Technical Assistance Program (PTAP); and Small Business Administration (SBA).
  - (iii) Potential sources will be obtained from the SAM database and other electronic medium.
  - (iv) Utilization of the Internet to obtain new sources.
- b. Internal efforts to guide and encourage purchasing personnel:
  - (i) Presenting workshops, seminars, and/or training programs including training in the use of the SAM.
  - (ii) Establishing, maintaining, and using small business source lists, guides, and other data for soliciting subcontracts, and encouraging procurement staff to utilize this data.

- (iii) Monitoring activities to evaluate compliance with the subcontracting plan.
- c. Outreach efforts to promote small business development (including ANCs and Indian Tribes), will include:
- (i) Maintaining an annual list of outreach events and activities to attend and participate in.
  - (ii) Attending DOE small business conferences and other small business seminars and trade shows where it is expected that attendance will identify potential sources to aid in reaching the small business goals.
  - (iii) Working closely with both the on and off site SBDCs and the local SBA office.
  - (iv) Networking with other Management and Operation (M&O) contractor SBLO's.
  - (v) Working closely with Stakeholder Relations and other BSA directorates on outreach efforts.
  - (vi) Providing contact information for 8(a) (including ANCs and Indian Tribes) and HUB-Zone small businesses to assist them in achieving SBA certification.
  - (vii) Maintaining an internal Small Business Policy.
  - (viii) Participating in DOE Small Business Program Manager conference calls.

## VI. Flow-Down Clauses

BSA will continue to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns", in all subcontracts that offer further subcontracting opportunities. BSA will also require all subcontractors, except small business concerns and foreign suppliers, 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."

These plans will be reviewed against the provisions of Public Law 95-507 to assure that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals will be determined on a case-by-case basis depending on the supplies/services involved, the availability of the six potential small business categories (including ANCs and Indian Tribes) 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.

## VII. Reporting and Cooperation

BSA will (1) cooperate in any studies or surveys that may be required by the contracting agency or the Small Business Administration; (2) submit any periodic reports required under its Prime Contract, such as utilization reports, which show compliance with the subcontracting plan; (3) submit timely "Subcontracting Report for Individual Contracts," (ISR) and "Summary Subcontract Report," (SSR) in accordance with the instructions identified on the eSRS website ([www.esrs.gov](http://www.esrs.gov)); (4) and ensure that large business subcontractors with subcontracting plans provide electronic input to the eSRS as required.

<b><u>Reporting Period</u></b>	<b><u>Report Type</u></b>	<b><u>Due Date</u></b>
Oct 1 – Mar 31	ISR	04/30
Apr 1 – Sep 30	ISR	10/31
Oct 1 – Sep 30	SSR	10/31

## VIII. Document Retention

Records will be maintained 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. A list of sources, guides and other data used to identify suppliers and vendors.
- b. Documents to support internal guidance and encouragement, provided to buyers through:
  - (i) Workshops, seminars, training programs
  - (ii) Monitoring of activities to evaluate compliance
- c. The procurement files for all subcontract solicitations over \$150,000 will contain AMS-Form-002 which indicates for each solicitation whether small businesses (including ANCs and Indian Tribes) were solicited, and if any of the solicited the small business concerns received a subcontract award, as well as a justification for not soliciting small businesses or failure to award a subcontract to a solicited small business.
- d. Representations and Certifications Information
  - (i) 8(a) certification approval through copies of their SBA certification letter (including ANCs and Indian Tribes).
  - (ii) Confirmation of HUB-Zone certification will be verified by searching the Dynamic Small Business Data Base (DSBS).

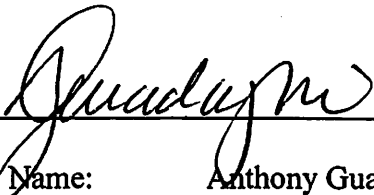
IX. Mentor-Protégé Program

BSA agrees to establish and implement an official DOE approved “Mentor-Protégé” in accordance with U.S. Department of Energy acquisition regulation (DEAR Part 19). The Small Business Liaison Officer is the individual designated to administer this program.


X. Description of Good Faith Effort

BSA 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 to the six small businesses concerns (including ANCs and Indian Tribes). The following steps will be taken:

- a. Issue and promulgate company-wide policy statements in support of small businesses (including ANCs and Indian Tribes). 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 businesses (including ANCs and Indian Tribes).
- c. Demonstrate continuing management interest and involvement in support of this effort through such actions as regular reviews of progress.
- d. Train and motivate the procurement personnel regarding the need for the support of small businesses (including ANCs and Indian Tribes).
- e. Assist small businesses (including ANCs and Indian Tribes) by helping with questions on solicitations, quantities, specifications, and delivery requirements.
- f. Counsel and discuss subcontracting opportunities with small businesses (including ANCs and Indian Tribes).
- g. Execute Service Agreements, Teaming Agreements, and Basic Ordering Agreements with small business from the six qualified small business categories (including ANCs and Indian Tribes), as required, in an attempt to ensure availability and usage of subcontractor personnel to support work efforts when required.
- h. Establish and maintain a categorized list of potential subcontractors, including name, address, telephone number, email address, product/service sold, initials of the Buyer and/or Contract Specialist lead given to, and identification of the social economic small business category (including ANCs and Indian Tribes).

Signature:  Date: 9/24/15  
Typed Name: Anthony Guadagni  
Title: Manager Procurement and Property Management

Approval:

Signature:  Date: 10/08/2015  
Typed Name: Aundrea Clifton  
Title: Contracting Officer for the  
U.S. Department of Energy