

Joseph A. Ingraffia
Procurement Manager

Office of the Chief Financial Officer
Procurement Department
Argonne National Laboratory
9700 South Cass Avenue, Bldg. 201
Argonne, IL 60439

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jingraffia@anl.gov

October 9, 2015

Dr. Joanna Livengood, Manager
Argonne Site Office
U.S. Department of Energy-ASO
9800 South Cass Avenue
Argonne, IL 60439-4895

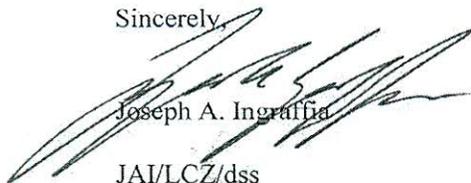
Dear Dr. Livengood:

Subject: FY 2016 Small Business Subcontracting Plan

Enclosed for your review and approval is the Laboratory's proposed FY 2016 Small Business Subcontracting Plan. If you concur with the proposal plan, please sign below, sign and date on page twelve (12), and return to the undersigned.

Should you have any questions or require additional information, please contact Lee C. Zachos at extension 2-8842.

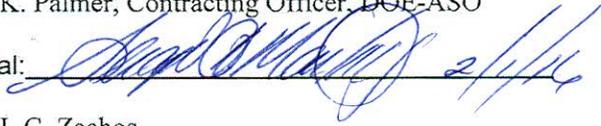
Sincerely,



Joseph A. Ingraffia
JAI/LCZ/dss

Enclosure

ct. S. Martinez, Contracting Officer, DOE-ASO
K. Palmer, Contracting Officer, DOE-ASO

Approval: 

bct: L.C. Zachos
J. A. Ingraffia, OCF/201
P. K. Kearns, OPS/201
A. Lee, OTD/201
J. Purnell, OCF/201
W. M. Walsh, OCF/201
V. Worthington, OCF/201
SPP, TDC/201
File
CF

FY 2016 SMALL BUSINESS SUBCONTRACTING PLAN

CONTRACTOR: UCHICAGO ARGONNE, LLC
(OPERATOR OF ARGONNE NATIONAL LABORATORY)

ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, ILLINOIS 60439-4873

CONTRACT NUMBER: DE-AC02-06CH11357

ITEM/SERVICE: OPERATION OF MULTI-PURPOSE NATIONAL LABORATORY

TOTAL AMOUNT OF CONTRACT:
(INCLUDING OPTIONS)

PERIOD OF CONTRACT PERFORMANCE: 10/01/15 - 9/30/16
(DAY, MONTH, AND YEAR)

1. **TYPE OF PLAN** *(please check one)*

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 Alaska Native Corporations (ANCs) and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned, HUBZone, veteran-owned and service-disabled veteran-owned small business concerns, as subcontractors.

- a. Total estimated dollar value of all planned subcontracting, i.e., with all types of concerns eligible for small business subcontracting under this contract is \$235,000,000.00.
- b. Total estimated dollar value and percent of planned subcontracting with small business concerns, includes small business (including ANCs and Indian Tribes), small disadvantaged, women-owned, HUBZone, veteran-owned and service-disabled veteran-owned small business concerns: (% of "a") \$117,500,000.00 and 50%.
- c. Total estimated dollar value and percent of planned subcontracting with small disadvantaged business (including ANCs and Indian Tribes): (% of "a") \$ 11,750,000.00 and 5%.
- d. Total estimated dollar value and percent of planned subcontracting with women-owned small business: (% of "a") \$ 11,750,000.00 and 5%.
- e. Total estimated dollar value and percent of planned subcontracting with System for Award Management (SAM) certified HUBZone small business: (% of "a") \$ 7,050,000.00 and 3%.
- f. Total estimated dollar value and percent of planned subcontracting with veteran-owned small business: (% of "a") \$7,050,000.00 and 3%.
- g. Total estimated dollar value and percent of planned subcontracting with service-disabled veteran-owned small business: (% of "a") \$ 7,050,000.00 and 3%.
- h. Total estimated dollar value and percent of planned subcontracting with large business: (% of "a") \$117,500,000.00 and 50%.

Provide a description of all the products and/or services to be subcontracted under this contract, and indicate the types of business supplying them, [i.e., SMALL BUSINESS (SB) (including ANCs and Indian Tribes), SMALL DISADVANTAGED BUSINESS (SDB) (including ANCs and Indian Tribes), WOMEN-OWNED SMALL BUSINESS (WOSB), HUBZONE SMALL BUSINESS (HUBZ), VETERAN-OWNED SMALL BUSINESS (VOSB), SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS (SDV), and LARGE BUSINESS (LARGE)].

(Check all that apply)

<i>Subcontracted Product/Service</i>	<i>SB</i>	<i>SDB</i>	<i>WOSB</i>	<i>HUBZ</i>	<i>VOSB</i>	<i>SDV</i>	<i>Large</i>
ADP Supplies	X	X	X	X			X
Civil, Surveying, Landscape Architecture & Environmental	X	X	X				X
Automotive Equipment	X		X				
Chemicals	X	X	X				
Clothing	X	X	X				
Compression Fittings	X	X	X				
Construction Contracting	X	X	X		X	X	X
Equipment	X	X	X				X
Furniture and Fixtures	X	X	X				X
Fabrications	X	X	X				X
Fire & Safety	X	X	X				
Fire Protection Engineering	X						
Fuel Oil	X	X	X				
Hardware and Small Tools	X	X	X	X			
Information Technology	X	X	X	X	X	X	X
Janitorial Supplies	X	X	X	X			
Laboratory Equipment & Supplies	X	X	X				X
Laundry	X	X	X				
Lubricants	X	X	X				
Lumber & Building Materials	X						
Machine Tools	X	X	X				
Predictive Maintenance Systems	X	X	X				
Material Handling Equipment	X	X	X				X
Material Handling Supplies	X	X	X				X
Office Supplies	X	X	X	X			
Paints & Supplies	X	X	X				
Photographic Supplies	X	X	X	X			
Pipes & Fittings	X	X	X				
Plumbing & Heating Supplies	X	X	X				
Prototype Fabrication (Hardware)	X	X	X				
Research & Development Support	X	X	X				X
Support Services	X	X	X				X

In accordance with FAR 19.502-2, awards greater than \$3,000 and less than the simplified acquisition threshold (\$150,000) to large business will include documentation which supports the decision to award to other than a small business. Preference will be given to small business awards for purchases between \$3,000 and \$150,000 awarded through small purchase/simplified acquisition procedures where there is a reasonable expectation that bids, competitive as to price, quality, and delivery, will be obtained from two or more responsive small business concerns.

Argonne will for the acquisition of construction estimated to cost \$3.5 million or less (where there is a reasonable expectation that bids, competitive as to price, quality, and delivery, will be obtained from two or more responsive small business concerns), solicit and award to small, small disadvantaged, small women-owned, and small disadvantaged 8(a) businesses to the fullest extent practicable.

To further facilitate Argonne's Small Business Program, Argonne will, without further documentation to the file, and based upon its unilateral decision, utilize the option of

making awards without competition: (1) up to the simplified acquisition threshold (\$150,000) to small business concerns (including ANCs and Indian Tribes) in accordance with the Department of Energy Small Business Program Overview; Chapter 2, Section D (Discretionary Set-Asides) dated 12/10; (2) in accordance with FAR 19.805-1(2) for purchases valued at: (a) \$6.5 million or less for manufacturing North American Industry Classification System (NAIC) codes and \$4 million or less for all other acquisitions to registered Small Business Administration 8(a) Pilot Program firms; or (b) in accordance with FAR 19.1306(2) \$6.5 million or less for HUBZone small business within North American Industry Classification System (NAIC) codes for manufacturing or \$4 million or less for HUBZone small business within any other NAIC codes; and (3) in accordance with FAR 19.1406(2) sole source awards to service-disabled veteran-owned small business concerns for \$6 million or less for a requirement within the NAICS codes for manufacturing; or \$3.5 million for a requirement within any other NAICS codes.

To the extent practicable, Argonne shall accelerate payments to small business contractors (including ANCs and Indian Tribes) with the goal of making payments within 15 days, when a proper invoice and all proper documentation, including acceptance, is received by the Argonne accounts payable office.

Argonne will utilize HUBZone set-asides and HUBZone sole source methodologies in the award of subcontracts provided the acquisition meets requirements of FAR 19.1305 and FAR 19.1306(a) and in accordance with this plan and existing procurement practices.

Argonne's Mentor-Protégé Program is managed and administered by Argonne's Procurement Department through its Small Business Program. According to the Mentor-Protégé Agreement, Argonne may award noncompetitive subcontracts of any dollar value to its Protégés recognized under the DOE Mentor-Protégé Program subject to the best commercial practices and procedures required by DEAR 970.4402-2(d). Further, Argonne may award noncompetitive subcontracts to a Protégé of another DOE Mentor contractor if those awards are made at fair market prices.

See paragraph 7.C. for documentation of awards to large business with a value of \$150,000 or more.

- h. The following method was used in developing subcontract goals:
 - 1) Small business goals were based on prior year's experience, perceived changes in the type of acquisitions to be completed, known increases and decreases in various program areas as reported by the various Laboratory divisions, projected construction projects, the Department of Energy Small Business Program Overview; Chapter 2, Section D (Discretionary Set-Asides) dated 12/10; that confirms authorized purchases valued up to the simplified acquisition threshold (\$150,000) on a sole source basis to small business (including ANCs and Indian Tribes), the impact of Automated Material Order System (AMOS) in filling the

needs of the Laboratory, consideration of certified HUBZone small business concerns, and the projected volume of acquisitions.

- 2) Small disadvantaged business (SDB) subcontracting activity was measured in terms of past annual dollar expenditures, percent of annual dollar purchases from SDB concerns, total number of SDB vendors doing business or desiring to do business with ANL, impact of AMOS contracts, use of FSS contracts, and a self-perception of the potential success of our SDB program.
 - 3) In a similar manner the women-owned small business goal was determined based on last year's experience.
 - 4) HUBZone goals are contingent upon availability of viable certified concerns located primarily in the Chicago metropolitan area, but considering others in the United States as well.
 - 5) Veteran-owned small business and service-disabled veteran-owned small business opportunities are predicated on a reasonable expectation that bids, competitive as to price, quality, and delivery will be obtained from two or more responsive veteran-owned and/or service-disabled veteran-owned small business concerns.
- i. Indirect costs have been _____ / have not been X included in the dollar and percentage subcontracting goals stated above. (*Please check one.*)

3. PROGRAM ADMINISTRATOR

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

NAME: JOSEPH A. INGRAFFIA
TITLE: *MANAGER, ARGONNE PROCUREMENT*
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-3640

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

NAME: LEE C. ZACHOS
TITLE: *SMALL BUSINESS LIAISON OFFICER*
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-8842

Duties: Has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing subcontractor 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 Argonne's support for awarding contracts and subcontracts to small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business and assure that such small business concerns are included on the services they are capable of providing;
- b. Ensuring periodic rotation of potential subcontractors;
- c. Ensuring that procurement "packages" are designed to permit the maximum possible participation of small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business within Laboratory policies and procedures;
- d. Facilitating the utilization of various sources for the identification of small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business such as the System for Award Management (SAM) (<https://www.sam.gov/>), the DOE's Acquisition Forecast, the Small Business Administration Dynamic Small Business Search, VetBiz Registry database, the U.S. Department of Commerce Minority Business Development Agency, SME Toolkit which includes members of the U.S. Advisory Council including the: Asian American Business Development Center, Council of the Better Business Bureau, Native American Chamber of Commerce, New York African American Chamber of Commerce, the US Hispanic Chamber of Commerce, Women's Business Enterprise National Council, and the facilities of local small business, minority and women associations, and contact with federal agencies' small business program managers;
- e. Overseeing the establishment and maintenance of contract and subcontract award records;
- f. Attending or arranging for the attendance of Laboratory personnel at Small Business Opportunity Workshops, Minority and Women Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc.;
- g. Ensuring small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business are made aware of subcontracting opportunities as well as how to prepare responsive bids to the Laboratory;
- h. Conducting and arranging of training for Procurement personnel regarding the intent and impact of Public Law 95-507 on procurement procedures;

- i. Monitoring the Laboratory's performance and making any adjustments necessary to achieve the subcontract plan goals;
- j. Preparing and submitting required subcontract reports on a timely basis;
- k. Coordinating the Laboratory's activities during the conduct of compliance reviews by federal agencies;
- l. Reviewing solicitation formats to remove statements, clauses, etc., which may tend to restrict or prohibit small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business or service-disabled veteran-owned small business participation where possible;
- m. Ensuring that the reasons for not selecting low bids submitted by small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business are documented;
- n. Ensuring the establishment and maintenance of records of solicitations and subcontract award activity;
- o. Ensuring that historically Black colleges and universities and minority institutions shall be afforded maximum practicable opportunity (if applicable);
- p. Assisting program managers as early as possible in the development cycle of major system acquisitions and system programs pertaining to the Small Business program; and
- q. Advising potential suppliers as to how they can obtain information about business opportunities at ANL and briefing the Procurement Manager and the Chief Financial Officer at least twice yearly concerning the status of small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business utilization in relation to goals and objectives established.
- r. Overseeing the Lab's Mentor-Protégé Program and ensuring that we have a secured agreement with at least one small business (protégé) in accordance with the requirement identified in our Prime Contract with Department of Energy.

4. **EQUITABLE OPPORTUNITY**

The contractor agrees to ensure that small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business,

HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business will have an equitable opportunity to compete for subcontracts. These efforts include, but are not limited to, the following activities:

- a. Outreach efforts to obtain sources
 - 1) Contacting small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business trade associations, such as:
 - Local Small Business Development Centers
 - Local Procurement Technical Assistance Centers
 - Chicago Minority Business Development Center
 - National Association of Women Business Owners
 - Illinois Women and Minority Business Assistance
 - The Blue Book of Building and Construction
 - 2) Contacting business development organizations such as:
 - U.S. Department of Veterans Affairs (VetBiz.gov)
 - U.S. Department of Commerce Minority Business Development Agency
 - Asian American Business Development Center
 - Latinos in Information, Sciences and Technology
 - National Black Chamber of Commerce
 - Native American Chamber of Commerce
 - The National Center for American Indian Enterprise Development
 - U.S. Hispanic Chamber of Commerce
 - Illinois Hispanic Chamber of Commerce
 - Women's Business Enterprise National Council
 - National Minority Supplier Development Council
 - 3) Attending small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business procurement conferences and trade fairs, as budget permits such as:
 - Chicago Business Opportunity Fair
 - Midwest Small Business Expo
 - U.S. Department of Energy Small Business Conference, Expo & Matchmaking Events
 - Annual Joint Industry/SBA Procurement Conferences
 - Minority Enterprise Development Week (MED WEEK)
 - Chicago's ELITE service disabled veteran owned business network
 - 4) Utilizing internet and other media avenues to encourage new sources when funds are available to do so.

- b. Internal efforts to guide and encourage Procurement personnel.
- 1) Presenting workshops and training programs;
 - 2) Establishing, maintaining and using small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business source lists, guides, and other data for soliciting subcontracts, such as:
 - SBA Small Business Dynamic Search Engine
 - National Directory of Minority-Owned Business Firms
 - Business Research Services 8(a) Sources
 - MWBE.com - National Resource and Referral Site for Minority and Women
 - City of Chicago Certification and Compliance System MWDBE Directory
 - State of Illinois Bureau of Central Management Vendors Directory Search
 - Federal Suppliers Guide
 - 3) Monitoring activities to evaluate compliance with the subcontracting plan(s).
- c. Small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business source lists, guides and other data identifying these types of business concerns will be maintained and utilized by buyers/subcontract specialists in sourcing suppliers.

5. FLOW-DOWN CLAUSE

The contractor agrees to include the provisions under FAR 52.219-8 entitled, "Utilization of Small Business Concerns," in all subcontracts in excess of the small purchase limitations that offer further subcontracting opportunities. All subcontractors, except small business concerns, that receive subcontracts (except those for commercial items) in excess of \$700,000 (\$1,500,000 for construction) of any public facility that offer further subcontracting opportunities must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "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 of potential small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business 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 subcontractor's facilities to review applicable records and subcontracting program progress.

6. **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 which show compliance with the subcontracting plan; (3) submission of semi-annual reports to provide acquisition forecast data for subcontracting opportunities; (4) submission into the Electronic Subcontracting Reporting System (eSRS) of the Individual Subcontracting Report (ISR) and Summary Subcontracting Report (SSR), in accordance with the requirements of the eSRS; and (5) ensuring that large business subcontractors with subcontracting plans agree to submit the Individual Subcontracting Report and Summary Subcontracting Report, in accordance with the requirements of the eSRS.

Reporting Period	Report Due	Due Date
Oct 1 - Mar 31	ISR	04/30
Apr 1 - Sept 30	ISR	10/31
Oct 1 - Sept 30	SSR	10/31

7. **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. Argonne uses the System for Award Management (SAM) as its source for small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business concerns and maintains a list of the guides and other data identifying such vendors;
- b. Organizations contacted in an attempt to locate small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business sources;
- c. On a contract-by-contract basis, records on all subcontract solicitations over \$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 small disadvantaged business concerns (including ANCs and Indian Tribes) were solicited, and if not, why not; (3) whether woman-owned small business concerns were solicited, and if not, why not; (4) whether HUBZone small business concerns were solicited, and if not, why not; (5) whether veteran-owned small business and/or service-disabled veteran-owned small business concerns were solicited, and if not, why not; and (6) the reason for the failure of solicited small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), woman-owned small business, HUBZone small

business, veteran-owned small business or service-disabled veteran-owned small business concerns to receive the subcontract award;

- d. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
- e. Records to support internal guidance and encouragement, provided to buyers through (1) workshops, seminars, and training programs; 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 subcontracting plan was submitted by:

SIGNATURE: _____
TYPED NAME: Joseph A. Ingraffia
TITLE: Manager, Argonne Procurement
DATE PREPARED: 10/9/2016
PHONE No.: 630-252-3640

This subcontracting plan was accepted by:

APPROVAL: _____
AGENCY: _____
TYPED NAME: SERGIO E MARTINEZ
TITLE: CONTRACTING OFFICER, ASO
U.S. DEPARTMENT OF ENERGY
DATE APPROVED: 2/11/16
PHONE No.: 630.252.2075