

APPENDIX H

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

1. Goals

The following is the Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 and Federal Acquisition Regulations (FAR), Part 19.

- (a) The total FY 2004 estimated dollar value of all planned subcontracting (to all types of business concerns) under this contract is \$14.99 million.
- (b) The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars) are applicable to the contract cited above:
 - (i) Small business concerns: 60.0% of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns, 40.0% will go to subcontractors who are large business concerns.
 - (ii) Small disadvantaged business concerns: 6.0% of total planned subcontracting dollars under this contract will go to subcontractors who are small disadvantaged business concerns.
 - (iii) Women-owned small business concerns: 7.0% of total planned subcontracting dollars under this contract will go to subcontracts that are women-owned small business concerns.
 - (iv) HUBZone small business concerns: 2.5% of total planned subcontracting dollars under this contract will go to subcontracts with small business concerns that are in HUBZones. The achievement of this goal is predicated on the U.S. Small Business Administration identifying HUBZone Small Business Firms that are certified and located on the Pro-Net.
 - (v) Veteran-owned small business concerns: 3.5% of total planned subcontracting dollars under this contract will go to subcontracts with veteran-owned small business concerns.
 - (vi) Service-disabled veteran-owned small business concerns: 0.5% of total planned subcontracting dollars under this contract will go to subcontracts with service-disabled veteran-owned small business concerns.
- (c) The following dollar values correspond to the percentage goals shown in (b) above:
 - (i) Total dollars planned to be subcontracted to small business concerns: \$8.994 million; to large business concerns \$5.996 million.
 - (ii) Total dollars planned to be subcontracted to small disadvantaged business concerns: \$.8994 million.
 - (iii) Total dollars planned to be subcontracted to women-owned small business concerns: \$1.0493 million.

- (iv) Total dollars planned to be subcontracted to small business concerns located in HUBZones: \$.37485 million.
 - (v) Total dollars planned to be subcontracted to veteran-owned small business concerns: \$.52465 million.
 - (vi) Total dollars planned to be subcontracted to service-disabled veteran-owned small business concerns: \$.07495 million.
- (d) The following principal products and/or services will be procured under this contract, and the distribution of these procurements among small, small disadvantaged, women-owned small business, HUBZone and veteran-owned small business, service-disabled veteran-owned small business and large business concerns is planned as follows:

PRODUCT AND/OR SERVICE	SMALL BUSINESS	SMALL DISADVANTAGED BUSINESS	WOMEN-OWNED SMALL BUSINESS	HUBZONE SMALL BUSINESS	VETERAN-OWNED SMALL BUSINESS	SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS	LARGE BUSINESS
Construction	50%	40%	10%	0%	0%	0%	0%
Janitorial Supplies	0%	90%	0%	5%	5%	0%	0%
No. 1 Diesel and No. 4 Fuel Oils	0%	100%	100%*	100%*	0%	0%	0%
Standard Apple™ Computer Supplies	50%	45%	0%	5%	0%	0%	0%
Lab Chemicals	0%	95%	0%	5%	0%	0%	0%
Safety Supplies	40%	35%	15%	5%	5%	0%	0%
Wire and Cable	0%	75%	0%	25%	0%	0%	0%
Selected Paper Supplies	0%	0%	0%	0%	0%	100%	0%

*NOTE: Incumbent supplier is disadvantaged, women-owned HUBZone small business.

- (e) Acquisition of construction estimated to cost \$100,000 or less, including new construction and repair and alternation of structures, shall be a small business set-aside. For individual procurements in excess of \$100,000, small business set-aside will be considered on a case-by-case basis.
- (f) The method used in developing the subcontract goals set forth in this plan was to use the historical records of awards made to small business in fiscal year 2003, and to make projections based on the historical data, and best available information on anticipated expenditure patterns for the upcoming fiscal year.
- (g) The following small, small disadvantaged, women-owned, HUBZone, veteran-owned small business and service-disabled veteran-owned small business references are available to Buyers and Subcontract Administrators to aid in the identification of qualified sources:
 - (1) Caribbean-American & Hispanic Business Journal
 - (2) MBI National Report on Minority, Women-Owned and Disadvantaged Businesses
 - (3) New York/New Jersey Purchase Points (Newsletter of NY/NJ Minority Council)
 - (4) Port Authority of NY/NJ Directory of Minority and Women-Owned Businesses
 - (5) PPPL Vendor Database

- (6) Small Business Administration (SBA) New Jersey District Office 8(a) Company Portfolio
 - (7) SBA New York District Office 8(a) Company Portfolio
 - (8) SBA Pro-Net Database
- (h) The PPPL Procurement Division and Budget Office have determined the available Procurement dollars by ascertaining the fixed and semi-fixed cost estimates for FY 2004. These costs include: labor; management fee and land lease; utilities, telephone and miscellaneous; and travel, as well as procurement. The total Laboratory budget for FY 2004 is estimated at \$81.1M, including unexpended carryover from the previous fiscal year. Removal of the previously cited cost categories leaves a net amount of \$17.188M available for procurements. The \$17.188M must be reduced by an additional \$0.198M in anticipated inter-laboratory work orders and \$2.0M in Laboratory purchase card procurements (normally actions of \$2,500.00 or less placed by Laboratory employees using Laboratory Credit Cards), leaving \$14.99M as the FY 2004 procurement base amount.

2. Program Administrator

The following individual will administer the subcontracting program:

Name: Rodney Templon
Director of Procurement
Address: Princeton University
Plasma Physics Laboratory
James Forrestal Campus
Procurement Department
P.O. Box CN17
Princeton, New Jersey 08543
(609) 243-2443

This individual's duties include: general overall responsibility for execution of the Laboratory's Small Business Program; the development, preparation and execution of individual subcontracting plans; and monitoring contract performance relative to contractual requirements for subcontracting contained in this plan, including but not limited to:

- (a) developing and promoting laboratory-wide policy initiatives that demonstrate the laboratory's support for awarding subcontracts to small business, small disadvantaged business, women-owned small business concerns, HUBZone small business concerns, veteran-owned business concerns; and assure that small business, small disadvantaged business, women-owned small business concerns, HUBZone small business concerns and veteran owned small business concerns are included on the services they are capable of providing;
- (b) developing and maintaining bidders' lists of small, small disadvantaged and women-owned small business, HUBZone and veteran-owned small business concerns for all possible sources;
- (c) ensuring periodic rotation of potential subcontractors in bidder's lists;
- (d) ensuring that procurement "packages" are designed to permit the maximum possible participation of small business, small disadvantaged business, women-owned small business, HUBZone small business concerns and veteran-owned small business concerns within State Purchasing laws and regulations;
- (e) making arrangements for the utilization of various sources for the identification of small business, small disadvantaged business, women-owned small business, HUBZone small business concerns and veteran-owned small business concerns such as the SBA Pro-Net, the National Center for

American Indian Enterprise Development, the DOE Office of Small and Disadvantaged Business Utilization (ODSBU), the Mercer County Small Business Administration, the NY/NJ Minority Purchasing Council and the National Minority Supplier Development Council of Pennsylvania, New Jersey and Delaware.

- (f) overseeing the establishment and maintenance of contract and subcontract award records;
- (g) to the extent permitted by labor and travel budget constraints, attending or arranging for the attendance of Laboratory representatives at small business opportunity workshops, minority and women's business enterprise seminars, trade fairs, procurement conferences, etc.;
- (h) ensuring that small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business concerns are made aware of subcontracting opportunities and how to provide responsive bids to the laboratory;
- (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 laboratory's performance and making any adjustments necessary to achieve the subcontract plan goals; preparing and submitting timely, required subcontract reports;
- (k) coordinating the laboratory's activities during the conduct of compliance reviews by Federal agencies;
- (l) reviewing solicitations to remove statements, clauses, etc., that may tend to restrict or prohibit small business, small disadvantaged business, women-owned small business, HUBZone small business concerns, veteran-owned business and service-disabled veteran-owned small business concerns participation, where possible;
- (m) ensuring that proposal review boards document their reasons for not selecting low bids, proposals or quotations submitted by small business, small disadvantaged business, women-owned small business, HUBZone small business concerns, veteran-owned small business and service-disabled veteran-owned small business concerns;
- (n) ensuring the establishment and maintenance of records of solicitations and subcontract award activity; and
- (o) ensuring that historically Black colleges and universities and minority institutions shall be afforded maximum practicable opportunity (if applicable).

3. Equitable Opportunity

The laboratory agrees to ensure small business, small disadvantaged business, women-owned small business, HUBZone, veteran-owned small business and service-disabled veteran-owned small business concerns will have an equitable opportunity to compete for subcontracts. The various efforts include, but are not limited to, the following:

- (a) Outreach efforts to obtain sources:
 - (i) Contacting small, small disadvantaged (minority), women-owned small business, HUBZone, veteran-owned small business and service-disabled veteran-owned small business trade associations, including:
 - NJ/PA/DE Minority Purchasing Council
 - Federation of Women Contractors
 - Mercer Trenton African American Chamber of Commerce (MTACC)
 - National Center for American Indian Enterprise Development

- National Minority Supplier Development Council, Inc.
 - New England Minority Purchasing Council
 - New Jersey Global Business Initiative
 - New York/New Jersey Minority Purchasing Council
 - New York State Federation of Hispanic Chambers of Commerce
 - New Jersey Association of Women Business Owners (NJAWBO)
- (ii) Contacts with small business development organizations, including the Philadelphia and Delaware Valley Business Association, the National Hispanic Business Group and the American Council on Education, Office of Minorities in Higher Education.
- (iii) To the extent permitted by the Procurement Division's continuing labor and travel budget constraints, attending small, small disadvantaged (minority), women-owned small business, HUBZone small business and veteran-owned small business procurement, conferences and trade fairs, including:
- NMSDC National Business Conference, Chicago, Illinois, October 2003
 - Chicago Business Opportunity Fair, Chicago, Illinois, April 2004
 - DOE 4th Annual Small Business Conference, Sacramento, California, May, 2004
 - Mercer County Small Business Week, Trenton, New Jersey, September 2004
 - NMSDC of Pennsylvania, New Jersey and Delaware, Atlantic City, New Jersey, September 2004
- (iv) Use of the SBA Pro-Net Website.
- (b) The following internal efforts will be made to guide and encourage Buyers and Subcontract Administrators:
- (i) presenting workshops, seminars and training programs;
 - (ii) establishing, maintaining, and using small business, small disadvantaged business, 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;
 - (iii) monitoring activities to evaluate compliance with this subcontracting plan; and
 - (iv) resources permitting, partnering with a local small business association to present a workshop on business opportunities at PPPL and the wider DOE contractor complex.

4. Flow-Down Clause

The Laboratory agrees to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities. All subcontractors (except small business concerns) that receive subcontracts in excess of \$500,000 (\$1 million for construction) must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan" (FAR 19.704 (a)).

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, small disadvantaged, women-owned small business, HUBZone small business subcontractors, veteran-owned small business subcontractors, service-disabled veteran-owned small business subcontractors 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.

5. Reporting and Cooperation

The Laboratory gives assurance of (1) cooperation in any studies or surveys as 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 Standard Form (SF) 294 “Subcontracting Report for Individual Contracts,” and SF-295 “Summary Subcontract Report,” in accordance with the instructions on the forms; and (4) ensuring that large business subcontractors with subcontracting plans agree to submit Standard Forms 294 and 295.

<u>Reporting Period</u>	<u>Report Due</u>	<u>Due Date</u>
Oct. 1 – Mar. 31	SF-294	04/30
Apr. 1 – Sept 30	SF-294	10/31
Oct. 1 – Sept. 30	SF-295	10/31

6. Record Keeping

The Laboratory agrees that it will maintain at least the following types of records to document compliance with this subcontracting plan:

- (a) Small, small disadvantaged, women-owned, HUBZone, veteran-owned and service-disabled veteran-owned small business concern source lists, guides and other data identifying qualified vendors.
- (b) Organizations contacted as small, small disadvantaged, women-owned, HUBZone, veteran-owned and service-disabled veteran-owned small 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; (4) whether HUBZone small business concerns were solicited, and if not, why not; (5) whether veteran-owned small business concerns were solicited, and if not, why not; (6) whether service-disabled veteran-owned businesses were solicited, and if not, why not; and (7) reasons for the failure of solicited small, small disadvantaged, women-owned, HUBZone, veteran-owned and service-disabled veteran-owned small business concerns to receive the subcontract award.
- (d) Records to support other outreach efforts, such as contacts with disadvantaged and small business trade associations, etc., and attendance at small, small disadvantaged, women-owned and veteran-owned small business procurement conferences and trade fairs.
- (e) Records to support internal activities to guide and encourage Buyers and Subcontract Administrators; conduct of work shops, seminars, training programs, etc.; and 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.

7. Historical Performance Data

	FY 2003 CONTRACT GOALS	FY 2003 CONTRACT ACHIEVEMENTS
Total Subcontract Dollars	\$ 9.1M	\$ 7.9M
Small Business Dollars	\$ 5.005M	\$ 5.93M
Small Business Percent	55.0%	75.0%
Small Disadvantaged Dollars	\$ 0.546M	\$ 0.64M
Small Disadvantaged Percent	6.5%	8.1%
Women Owned Dollars	\$ 0.591M	\$ 0.95M
Women Owned Percent	6.5%	12.0%
HUBZone Dollars	\$ 0.227M	\$ 0.24M
HUBZone Percent.	2.5%	3.0%
Veteran-Owned Dollars	\$ 0.273M	\$ 0.31M
Veteran-Owned Percent	3.0%	4.0%
Svc. Disab. Vet.-Owned Dollars	\$ 0.045M	\$ 0.071M
Svc. Disab. Vet.-Owned Percent	0.5%	0.9%

8. Summary of Projected FY 2004 Small Business Goals

	FY 2004 CONTRACT GOALS
Total Subcontracting Dollars	\$ 14.994M
Small Business Dollars	\$ 8.994M
Small Business Percent	60.0%
Small Disadvantaged Dollars	\$ 0.8994M
Small Disadvantaged Percent	6.0%
Small Women Owned Dollars	\$ 1.0493M
Small Women Owned Percent	7.0%
HUBZone Dollars	\$ 0.37485M
HUBZone Percent	2.5%
Veteran-Owned Dollars	\$ 0.52465M
Veteran-Owned Percent	3.5%
Service-Disabled Dollars	\$ 0.07495M
Service-Disabled Percent	0.5%