

### **SMALL BUSINESS LOWER-TIER SUBCONTRACTING PLAN**

The attached Small Business Lower-tier Subcontracting Plan form has been adapted from the clause entitled “*Small Business Lower-tier Subcontracting Plan*” from Appendix D-1. It may be completed and submitted as your proposed Small Business Lower-tier Subcontracting Plan.

Failure to include essential information in a Small Business Lower-tier Subcontracting Plan may be cause for either a delay in acceptance or the rejection of an offer when a subcontracting plan is required.

The following is guidance offered to help expedite completion of the subcontracting plan process as well as the required semiannual reporting process:

- Using the attached Small Business Lower-tier Subcontracting Plan form will greatly assist with the plan's approval process.
- If you do not use the attached form, your subcontracting plan must be in compliance with FAR 19.704 (Subcontracting Plan Requirements).
- Progress against subcontracting plan goals is reported semi-annually for the periods ending March 31 and September 30 via the Electronic Subcontracting Reporting System (eSRS) at [www.esrs.gov](http://www.esrs.gov). Reports are due 30 days after the close of each reporting period.
- The goals approved in the subcontracting plan, or any revision, are to be the same goals inputted into the eSRS.
- The person to approve your eSRS report is Rexann Dunn at:

**APPENDIX F**  
**SMALL BUSINESS**  
**LOWER-TIER SUBCONTRACTING PLAN**

**SUBCONTRACTOR:**

**ADDRESS:**

**SUBCONTRACT PERIOD OF PERFORMANCE:**

**SOLICITATION OR SUBCONTRACT NUMBER:**

**SUBCONTRACT VALUE:**

(include Option period(s), if applicable)

**ITEM/SERVICE:**

**TYPE OF PLAN** [See definitions in paragraph (b) of the Small Business Subcontracting Plan clause in Appendix D-1] Please check one.

**Individual Subcontract Plan:**

Individual Subcontracting Plan, as used in this subpart, means a subcontracting plan that covers the entire subcontract period (including option periods), applies to a specific subcontract, and has goals that are based on the offeror's planned lower-tier subcontracting in support of the specific subcontract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the subcontract.

**Master Plan:**

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

**Commercial Products Plan:**

Commercial Plan, as used in this subpart, means a lower-tier subcontracting plan (including goals) 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 Subcontractor must provide a copy of the approved plan. **NOTE: A Commercial Plan is the preferred type of lower-tier subcontracting plan for Subcontractors furnishing commercial items.**

The following, together with any attachments, is hereby submitted as a Small Business Lower-tier Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 and the Federal Acquisition Regulations (FAR), Part 19.7.

1. The following percentage goals (expressed in terms of a percentage of total planned lower-tier subcontracting dollars) are applicable to the subcontract cited above or to the subcontract awarded under the solicitation cited.

a. The total estimated dollar value and percentage of all planned lower-tier subcontracting (to all types of business concerns) under this subcontract is:

\$   %

(i) **Large Business (LB) Concerns:** The total planned dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are large business (all business concerns classified as "other than small"):

\$  and  %

Describe the service/products that will be provided; or, describe rationale for "\$0.00" and/or "0.0%" submittals:

(ii) **Small Business (SB) Concerns:** The total planned dollar value and percentage under this subcontract that will go to lower-tier Subcontractors who are a small business [include small business; veteran-owned small business; service-disabled veteran-owned small business; HUBZone small business; small disadvantaged business; woman-owned small business concerns; and Alaska Native Corporations or Indian Tribes]:

\$  and  %

Describe the service/products that will be provided; or, describe rationale for "\$0.00" and/or "0.0%" submittals:

(iii) **Small Disadvantaged Business (SDB) Concerns:** The total planned lower-tier subcontracting dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are a small disadvantaged business (including Alaska Native Corporations or Indian Tribes):

\$  and  %

Describe the service/products that will be provided; or, describe rationale for "\$0.00" and/or "0.0%" submittals:

(iv) **Women-Owned Small Business (WOSB) Concerns:** The total planned lower-tier subcontracting dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are women-owned small business:

\$  and  %

Describe the service/products that will be provided; or, describe rationale for "\$0.00" and/or "0.0%" submittals:

(v) **Veteran-Owned Small Business (VOSB) Concerns:** The total planned lower-tier subcontracting dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are a veteran-owned small business:

\$  and  %

Describe the service/products that will be provided; or, describe rationale for "\$0.00" and/or "0.0%" submittals:

(vi) **Service-disabled Veteran-Owned Small Business (SDVOSB) Concerns:** The total planned lower-tier subcontracting dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are a service-disabled veteran-owned small business:

\$  and  %

Describe the service/products that will be provided; or, describe rationale for "\$0.00" and/or "0.0%" submittals:

(vii) **HUBZone Small Business (HUBSB) Concerns:** The total planned lower-tier subcontracting dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are a HUBZone small business:

\$  and  %

Describe the service/products that will be provided; or, describe rationale for "\$0.00" and/or "0.0%" submittals:

2. **The following method was used to develop lower-tier subcontract goals (i.e., statement explaining how the supplies and/or service areas to be subcontracted were established, how the areas to be subcontracted to small business concerns were determined, how small business concerns' capabilities were determined, etc.).**

3. ~~The following method was used to identify potential sources for solicitation purposes.~~

4a. Indirect costs  have been  have not been used to establish subcontracting goals.

4b. If indirect costs were used to establish goals, the following method was used to determine the proportionate share of indirect costs to be incurred with small business, small disadvantaged business, women-owned small business, veteran-owned small business, service-disabled veteran-owned small business, and HUBZone small business concerns.

5a. The following individual will administer the lower-tier subcontracting program:

Name:

E-Mail:

Title:

Address:

Telephone:

5b. This individual's specific duties as they relate to the company's lower-tier small business subcontracting program are as follows.

6. General overall responsibility for this company's small business program, the development, preparation and execution of individual's lower-tier subcontracting plans for monitoring performance relative to contractual lower-tier subcontracting requirements contained in this plan, including but not limited to:
  - a. Developing and maintaining source lists of small and small disadvantaged business concerns from all possible sources.
  - b. Ensuring that procurement packages are structured to permit small and small disadvantaged business concerns to participate to the maximum extent possible, within applicable laws and regulations.
  - c. Assuring inclusion of small and small disadvantaged 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 business concerns participation, where possible.
  - e. Ensuring that the bid proposal review board documents its reasons for not selecting low bids submitted by small business concerns.
  - f. Ensure the establishment and maintenance of records of solicitations and lower-tier 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 Public Law 95-507.
  - i. Monitoring attainment of proposed goals.
  - j. Preparing and submitting periodic lower-tier subcontracting reports when required.
  - k. Additions to (or deletions from) the duties specified above are as follows:

The following sections (#7 through #9) are guidance that will assist with your lower-tier subcontract plan implementation and requirements.

7. The following efforts will be taken to assure that small business, small disadvantaged business, women-owned small business, veteran-owned small business, service-disabled small business, and HUBZone small business concerns will have an equitable opportunity to compete for lower-tier subcontracts:

a. Outreach efforts will be made as follows:

- (i) Contacts with small business trade associations (identify specific small business trade associations).
- (ii) Contacts with business development organizations (identify specific business development organizations).
- (iii) Attendance at small business procurement conferences and trade fairs (to the extent known, identify specific procurement conferences and trade fairs and dates).
- (iv) Potential sources will be requested from the System for Award Management (SAM).
- (v) Other:

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.
- (iii) Other:

c. Small business concern source lists, guides and other data identifying small business concerns will be maintained and utilized by buyers in soliciting lower-tier subcontracts.

8. The offeror (subcontractor) agrees that the clause from Appendix B derived from FAR 52.219-8, "Utilization of Small Business Concerns" will be included in all lower-tier subcontracts that offer further lower-tier subcontracting opportunities. All lower-tier Subcontractors (except small business concerns) who receive lower-tier subcontracts in excess of \$650,000 (\$1,500,000 for construction) will be required to adopt and comply with a subcontracting plan similar to this one. 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 lower-tier subcontractors, and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and as time and availability of funds permit, periodic visits to lower-tier subcontractor's facilities to review applicable records and subcontracting program progress.
9. The offeror (subcontractor) agrees to:
- a. Cooperate in any studies or surveys as may be required by NREL, the Department of Energy, or the Small Business Administration;
  - b. Submit periodic reports so that NREL can determine the extent of compliance with the small business subcontracting plan and with the clause entitled "Utilization of Small Business Concerns" contained in Appendix B of the subcontract;
  - c. Electronically submit through the Electronic Subcontracting Reporting System (eSRS) the *Individual Subcontract Report (ISR)* and/or the *Summary Subcontract Report (SSR)*;
  - d. Ensure that its lower-tier subcontracts agree to electronically submit their ISRs and SSRs using eSRS.
10. The offeror (Subcontractor) agrees that the types of records described below will be maintained concerning procedures adopted to comply with the requirements and goals in the small business subcontracting plan;
- a. Small business, small disadvantaged business, women-owned small business, veteran owned small business, service-disabled veteran-owned small business and HUBZone small business concern source lists, guides, and other means of identifying small businesses.
  - b. Organizations contacted to identify sources of small business, small disadvantaged business, and women-owned small business, veteran-owned small business, service-disabled veteran-owned small business and HUBZone small business concerns.
  - c. For each lower-tier subcontract solicitations over \$150,000, records indicating:
    - (i) Whether small business concerns were solicited, and if not, why not;
    - (ii) Whether small disadvantaged business concerns were solicited, and if not, why not;
    - (iii) Whether women-owned small business concerns were solicited, and if not, why not;
    - (iv) Whether veteran-owned small business concerns were solicited, and if not, why not;
    - (v) Whether service-disabled veteran-owned small business concerns were solicited,

g. Records to be maintained in addition to the above are as follows:

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11. The Subcontractor shall submit the Individual Subcontract Reports (ISR) -

- a. Shall be submitted semi-annually during subcontract performance for the periods ending March 31 and September 30.
- b. A report is also required for each subcontract within 30 days of subcontract completion.
- c. Reports are due 30 days after the close of each reporting period, unless otherwise directed by the NREL Subcontract Administrator.
- d. Reports are required when due, regardless of whether there has been any subcontracting activity since the inception of the subcontract or the previous reporting period.
- e. The authority to acknowledge receipt or reject the ISR resides --
  - (i) In the case of the first-tier Subcontractor, with the NREL Subcontract Administrator, and
  - (ii) In the case of the sub-tier Subcontractor with a subcontracting plan, with the entity that awarded the subcontract

12. This Small Business Lower-tier Subcontracting Plan is submitted by:

Subcontractor	<input style="width: 80%;" type="text"/>
DUNS Number	<input style="width: 80%;" type="text"/>
Signature	<hr style="border: none; border-top: 1px solid black;"/>
Name	<input style="width: 80%;" type="text"/>
E-Mail	<input style="width: 80%;" type="text"/>
Title	<input style="width: 80%;" type="text"/>
Date	<input style="width: 80%;" type="text"/>
Telephone	<input style="width: 80%;" type="text"/>

Please email a signed and dated plan to your NREL Subcontract Administrator for further processing. Should you have any questions, please contact your NREL Subcontract Administrator.

13. Acceptance by NREL of Small Business Lower-tier Subcontracting Plan:

National Renewable Energy Laboratory	
Signature	<hr style="border: none; border-top: 1px solid black;"/>
Name	<input style="width: 80%;" type="text"/>
E-Mail	<input style="width: 80%;" type="text"/>
Title	<input style="width: 80%;" type="text"/>



Date	
Telephone	