# SMALL BUSINESS LOWER-TIER SUBCONTRACTING PLAN REPORTING INSTRUCTIONS

## INTRODUCTION

The U.S. Department of Energy (DOE) is the governmental entity that owns the National Laboratory of the Rockies (NLR) and for whom the Alliance for Energy Innovation, LLC manages and operates the facility under prime contract DE-AC36-08-GO28308. This plan is required for subcontractors of Alliance for Energy Innovation, LLC (hereafter referred to as 'NLR') when the subcontract exceeds the 'Subcontracting Plan Threshold' o*f $900,000 ($2,000,000 for construction), identified in FAR 19.702 and Appendix D of this subcontract.*

Upon acceptance by NLR, this Small Business Lower-Tier Subcontracting Plan will be incorporated by reference as Appendix F into the ensuing subcontract, purchase order, or other written agreement (hereafter all collectively referred to as 'subcontract'). Subcontractors to the NLR's subcontractor are referred to as ***lower-tier subcontractors***.

## SMALL BUSINESS LOWER-TIER SUBCONTRACTING PLAN PREPARATION

This Small Business Lower-Tier Subcontracting Plan form has been adapted from the dause entitled *"Small Business Lower-Tier Subcontracting Plan"* from Appendix D of this subcontract.

Subcontractor's failure to include essential information in a Small Business Lower-Tier Subcontracting Plan when required may be cause for delay in acceptance or rejection of an offer. Using this Small Business Lower-Tier Subcontracting Plan form will greatly assist with the plan's approval process. If the form provided below is not used, the submitted subcontracting plan must comply with FAR 19.704 (Subcontracting Plan Requirements).

## INSTRUCTIONS FOR OBTAINING a UNIQUE ENTITY ID (UEI) TO SUBMIT SUBCONTRACTING REPORTS THROUGH THE SYSTEM FOR AWARD MANAGEMENT (SAM.GOV)

NLR's subcontractors with approved Small Business Lower-Tier Subcontracting Plan must obtain a SAM.gov UEI to complete process reporting throughout the life of the subcontract.

It is recommended that the subcontractor obtains their in SAM.gov UEI early to ensure reporting due dates are met. Should there be challenges in submitting the reports in the system, please contact the NLR Socioeconomic Program and Development Manager (SPDM) designated below. The Subcontractor must use **their company's** SAM.gov UEI to identify themselves within SAM.gov. More information relating to progress reporting is provided below.

1. **Progress Reports Required in SAM.gov**

   Progress towards the goals outlined in the Small Business Lower-Tier Subcontracting Plan are monitored via reporting as follows:

   **(a) Individual Subcontract Reports (ISR)**

   ISRs provide the subcontractor's progress towards meeting the goals set forth in their Individual Subcontracting Plan. These are reviewed and approved by the NLR SPDM in SAM.gov.

ISRs are required to be submitted in SAM.gov by the subcontractor semi-annually for the periods that run October 1st through March 31st and April 1st through September 30th of each year of the subcontract period of performance.

Reports are due no later than April 30th (for the October 1st through March 31st reporting period) and October 30th (for the April 1st through September 30th reporting period) of every year through the life of the subcontract, exactly 30 calendar days after the close of each reporting period, unless otherwise directed by the Subcontract Administrator or SPDM.

The ISR requires the following information:

(1) The goals approved in the final Appendix F Small Business Lower-Tier Subcontracting Plan (or any subsequent revisions) entered in SAM.gov by the subcontractor.
(2) An explanation in the "Remarks" or "Designated" section regarding any lack of progress during the reporting period against stated goals.

Performance against goals will be monitored and tracked by the NLR SPDM and may be used as part of the subcontractor performance evaluation process.

**(b) Summary Subcontract Reports (SSR)**

SSRs are required annually. SSRs are reviewed electronically by the DOE and the federal agency sponsoring the Commercial Plan.

**2. Instructions for Submitting in SAM.gov**

Neither ISRs nor SSRs should be sent to the cognizant NLR Subcontract Administrator. All progress reports must be submitted in SAM.gov, unless otherwise directed by the Subcontract Administrator or SPDM. The following provides the instructions for submission by report type.

**(a) ISR**

Though submitted in SAM.gov, the ISRs are reviewed electronically by NLR's SPDM The following information must be included when submitting your ISR:

| | |
|---|---|
| Prime Contract Number | DE-AC36-08-GO28308 |
| NLR UEI Number | DVGLNXBURMP3 |
| NLR Subcontract Number | |
| NLR Point of Contact | Socioeconomic Program & Development Manager – Randy.Fransua@nlr.gov |

If required, any lower-tier subcontractors that submit an ISR must include the following information:

| | |
|---|---|
| Prime Contract Number | DE-AC36-08-GO28308 |
| NLR UEI Number | DVGLNXBURMP3 |
| NLR Subcontract Number | |
| Subcontractor's UEI Number | |
| Lower-Tier Subcontract Number | |

**(b) SSR**

The SSRs are submitted in SAM.gov and reviewed by the DOE and the sponsoring federal agency. The following email addresses should be included on SSRs as they apply to an NLR subcontract: Randy.Fransua@nlr.gov and Yolanda.Dixon@ee.doe.gov.

**(c) Help**

For help in submitting subcontracting reports, go to SAM.gov. For additional information you may also contact the NLR SPDM at Randy.Fransua@nlr.gov.

# APPENDIX F

## SMALL BUSINESS LOWER-TIER SUBCONTRACTING PLAN

<table>
<tr><td>SUBCONTRACTOR:</td><td colspan="2"></td></tr>
<tr><td>ADDRESS:</td><td colspan="2"></td></tr>
<tr><td>SUBCONTRACT PERIOD OF PERFORMANCE:</td><td colspan="2"></td></tr>
<tr><td>SOLICITATION OR SUBCONTRACT NUMBER<br>(Subcontract Number is required on approved plan):</td><td colspan="2"></td></tr>
<tr><td rowspan="6">SUBCONTRACT VALUE:<br>(include Option periods(s), if applicable)</td><td>Year 1 or Base:</td><td></td></tr>
<tr><td>Year 2 or Option 1:</td><td></td></tr>
<tr><td>Year 3 or Option 2:</td><td></td></tr>
<tr><td>Year 4 or Option 3:</td><td></td></tr>
<tr><td>Year 5 or Option 4:</td><td></td></tr>
<tr><td>Total Subcontract Value:</td><td>$ 0.00</td></tr>
<tr><td colspan="3">ITEM/SERVICE:</td></tr>
</table>

<table>
<tr><td colspan="3">TYPE OF PLAN (See definitions in Paragraph (b) of the Small Business Lower-Tier Subcontracting Plan clause (derived from FAR 52.219-9) in Appendix D) Check one of the following:</td></tr>
<tr><td>☐</td><td>Individual Subcontract Plan (ISP):</td><td>An Individual Subcontracting Plan (ISP) is a subcontracting plan that covers the full length of the subcontract (including any optional extensions), is specific to just one subcontract, sets goals based on the expected use of lower-tier subcontractors for that subcontract, and allows shared indirect costs (used for multiple purposes) to be fairly divided and applied (allocated on a prorated basis) to the specific subcontract.<br><br>Note: For subcontracts that last several years or have optional extensions, the ISP must include separate goals and statements for:<br>• the base scope and timeframe of the subcontract, and<br>• each optional extension period.</td></tr>
<tr><td>☐</td><td>Master Plan:</td><td>A Master Plan is a type of lower-tier subcontracting plan that includes everything required in an ISP except the goals. It can be used in individual lower-tier plans, as long as it has been approved.</td></tr>
<tr><td>☐</td><td>Commercial Plan:</td><td>A Commercial Plan is 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 or a specific part of it (like a division, plant, or product line).<br><br>The subcontractor must provide a copy of the approved plan to the Subcontract Administrator in response to the solicitation and upon request prior to award, as necessary.<br><br>NOTE: A Commercial Plan is the preferred type of lower-tier subcontracting plan for subcontractors furnishing commercial items.</td></tr>
</table>

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 19.704(a)(1), (2), and (3).

## 1. LOWER-TIER SUBCONTRACTING PLAN

The following goals are applicable to the subcontract cited above or to the subcontract awarded under the solicitation cited.

### (a) Total Lower-Tier Subcontracting

In Table 1 below, enter the estimated dollar value and percentage of lower-tier subcontracting under this subcontract.

| **TABLE 1: TOTAL LOWER-TIER SUBCONTRACTING PLANNED (*ALL BUSINESS TYPES*)** | | |
|---|---|---|
| Subcontract Period | Dollars Planned for All Lower-Tier Subcontracting | % of Total Subcontract Award |
| Year 1 or Base Period | | 0.00% |
| Year 2 or Option 1 | | 0.00% |
| Year 3 or Option 2 | | 0.00% |
| Year 4 or Option 3 | | 0.00% |
| Year 5 or Option 4 | | 0.00% |
| Total | **$ 0.00** | **0.00%** |

### (b) Other-Than-Small Business (OTSB) Lower-Tier Subcontracting Plans

In Table 2 below, enter the estimated dollar value planned for OTSB lower-tier subcontractors and the percentage of lower-tier subcontracting planned for OTSB as well as providing a brief description of the services or products to be purchased from OTSB and a rationale. OTSB businesses are predominantly (but are not limited to):

- large businesses,
- non-profit and not-for-profit businesses,
- educational institutions,
- foreign firm (of any type),
- governmental entities, etc. (all business concerns classified as "other than small").

| **TABLE 2: OTSB SUBCONTRACTING PLANNED** | | | |
|---|---|---|---|
| Subcontract Period | Dollars Planned for OTSB Lower-Tier Subcontractors | % of Total | Description of service/products and rationale |
| Year 1 or Base Period | | 0.00% | |
| Year 2 or Option 1 | | 0.00% | |
| Year 3 or Option 2 | | 0.00% | |
| Year 4 or Option 3 | | 0.00% | |
| Year 5 or Option 4 | | 0.00% | |
| Total | **$ 0.00** | **0.00%** | |

**for questions pertaining to OTSB designation, please reach out to the Socioeconomic Program & Development Manager via e-mail at [Randy.Fransua@nlr.gov](mailto:Randy.Fransua@nlr.gov) for assistance.*

**(c) Small Business (SB) Lower-Tier Subcontracting Plans**

In Table 3 below, enter the planned dollar value and percentage under this subcontract that will cumulatively go to lower-tier subcontractors who are a small business, including:

(1) Small disadvantaged businesses (including Alaska Native Corporations or Indian Tribes),
(2) Woman-owned small businesses
(3) Veteran-owned small businesses
(4) Service-disabled veteran-owned small businesses
(5) HUBZone small businesses

| TABLE 3: SB SUBCONTRACTING PLANNED | | | |
|---|---|---|---|
| Subcontract Period | Dollars Planned for SB Subcontractors | % of Total | Description of service/products and rationale (incl. $0/0%) |
| Year 1 or Base Period | | 0.00% | |
| Year 2 or Option 1 | | 0.00% | |
| Year 3 or Option 2 | | 0.00% | |
| Year 4 or Option 3 | | 0.00% | |
| Year 5 or Option 4 | | 0.00% | |
| Total | **$ 0.00** | **0.00%** | |

**(1) Small Disadvantaged Business (SDB) Lower-Tier Subcontracting Plans:**

In Table 4 below, enter the planned 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).

| TABLE 4: SDB SUBCONTRACTING PLANNED | | | |
|---|---|---|---|
| Subcontract Period | Dollars Planned for SDB Subcontractors | % of Total | Description of service/products and rationale (incl. $0/0%) |
| Year 1 or Base Period | | 0.00% | |
| Year 2 or Option 1 | | 0.00% | |
| Year 3 or Option 2 | | 0.00% | |
| Year 4 or Option 3 | | 0.00% | |
| Year 5 or Option 4 | | 0.00% | |
| Total | **$ 0.00** | **0.00%** | |

**(2) Women-Owned Small Business (WOSB) Lower-Tier Subcontracting Plans**:

In Table 5 below, enter the planned dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are women-owned small business.

| TABLE 5: WOSB SUBCONTRACTING PLANNED | | | |
|---|---|---|---|
| Subcontract Period | Dollars Planned for WOSB Subcontractors | % of Total | Description of service/products and rationale (incl. $0/0%) |
| Year 1 or Base Period | | 0.00% | |
| Year 2 or Option 1 | | 0.00% | |
| Year 3 or Option 2 | | 0.00% | |
| Year 4 or Option 3 | | 0.00% | |
| Year 5 or Option 4 | | 0.00% | |
| Total | **$ 0.00** | **0.00%** | |

**(3) Veteran-Owned Small Business (VOSB) Lower-Tier Subcontracting Plans:**

In Table 6 below, enter the planned dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are a veteran-owned small business.

| TABLE 6: VOSB SUBCONTRACTING PLANNED | | | |
|---|---|---|---|
| Subcontract Period | Dollars Planned for VOSB Subcontractors | % of Total | Description of service/products and rationale (incl. $0/0%) |
| Year 1 or Base Period | | 0.00% | |
| Year 2 or Option 1 | | 0.00% | |
| Year 3 or Option 2 | | 0.00% | |
| Year 4 or Option 3 | | 0.00% | |
| Year 5 or Option 4 | | 0.00% | |
| Total | **$ 0.00** | **0.00%** | |

**(4) Service-Disabled Veteran-Owned Small Business (SDVOSB) Lower-Tier Subcontracting Plans:**

In Table 7 below, enter the planned dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are a service-disabled veteran-owned small business.

| TABLE 7: SDVOSB SUBCONTRACTING PLANNED | | | |
|---|---|---|---|
| Subcontract Period | Dollars Planned for SDVOSB Subcontractors | % of Total | Description of service/products and rationale (incl. $0/0%) |
| Year 1/ Base Period | | 0.00% | |
| Year 2 or Option 1 | | 0.00% | |
| Year 3 or Option 2 | | 0.00% | |
| Year 4 or Option 3 | | 0.00% | |
| Year 5 or Option 4 | | 0.00% | |
| Total | **$ 0.00** | **0.00%** | |

**(5) HUBZone Small Business (HUBSB) Lower-Tier Subcontracting Plans:**

In Table 8 below, enter the planned dollar value and percentage under this subcontract that will go to lower-tier subcontractors who are a HUBZone small business.

| TABLE 8: HUBZone SUBCONTRACTING PLANNED | | | |
|---|---|---|---|
| Subcontract Period | Dollars Planned for HUBZone Subcontractors | % of Total | Description of service/products and rationale (incl. $0/0%) |
| Year 1 / Base Period | | 0.00% | |
| Year 2 or Option 1 | | 0.00% | |
| Year 3 or Option 2 | | 0.00% | |
| Year 4 or Option 3 | | 0.00% | |
| Year 5 or Option 4 | | 0.00% | |
| Total | **$ 0.00** | **0.00%** | |

## 2. PLANNING METHOD

Explain the method used to develop lower-tier subcontract goals (i.e., provide a 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.)(See FAR Part 19.704 (a)(4)):

______________________________________________________________________

## 3. MARKET RESEARCH & LOWER-TIER SUBCONTRACTOR SELECTION

Explain the method used to identify potential sources for lower-tier subcontractors (See FAR Part 19.704(a)(5)):

______________________________________________________________________

## 4. INDIRECT COSTS

(a) Check the appropriate box for this Small Business Lower-Tier Subcontracting Plan

Indirect costs ☐ have /☐ have not been used to establish the above identified subcontracting goals.

(b) ***If indirect costs were used to establish goals***, explain the method 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. (See FAR Part 19.704(a)(6)):

______________________________________________________________________

## 5. SUBCONTRACTOR SMALL BUSINESS REPRESENTATIVE/POINT OF CONTACT

The following individual will administer the subcontractor's lower-tier subcontracting program (See FAR Part 19.704(a)(7)):

| | | | |
|---|---|---|---|
| **Name:** | | | |
| **E-Mail:** | | **Phone:** | |
| **Title:** | | | |
| **Address:** | | | |

Explain this individual's specific duties as they relate to the company's lower-tier small business subcontracting program:

______________________________________________________________________

## 6. OUTREACH EFFORTS

The following efforts will be taken to ensure that SB, SDB, WOSB, VOSB, SDVOSB, and HUBZone small business concerns will have an equitable opportunity to compete for lower-tier subcontracts (See FAR Part 19.704(a)(8)):

(a) Explain how contacts will be made and what your organization's involvement will be with small business trade associations and please identify those specific small business trade associations or procurement events.

______________________________________________________________________

(1) Will Subcontractor participate with business development organizations?

☐ Yes ☐ No

If **Yes**, Identify the specific business development organizations.

______________________________________________________________________

(2) Will the subcontractor attend small business procurement conferences and trade fairs?

☐ Yes ☐ No

If **Yes**, identify specific procurement conferences and trade fairs and dates.

______________________________________________________________________

(3) Will potential sources be requested from the System for Award Management (SAM)?

☐ Yes ☐ No

(4) Other outreach efforts:

______________________________________________________________________

(b) Explain what internal efforts will be made to guide and encourage buyers.

(1) Will workshops, seminars and training programs will be conducted?

☐ Yes ☐ No

(2) What other efforts will be made?

______________________________________________________________________

## 7. FLOWING DOWN REQUIREMENTS

The subcontractor agrees that FAR clause 52.219-8, "Utilization of Small Business Concerns", will be included in all lower-tier subcontracts that offer further subcontracting opportunities. All lower-tier Subcontractors (except small business concerns) who receive lower-tier subcontracts in excess of $900,000 ($2,000,000 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 52.219-9 Small Business Subcontracting Plan 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. *See FAR Part 19.704(a)(9).*

## 8. COLLABORATION & REPORTING

The subcontractor agrees to:

(a) Cooperate in any studies or surveys as may be required by NLR, the DOE, or the Small Business Administration;

(b) Submit periodic reports so that NLR 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) Include subcontracting data for each order when reporting subcontracting achievements for indefinite-delivery, indefinite-quantity contracts with individual subcontracting plans where the contract is intended for use by multiple agencies;

(d) Electronically submit through SAM.gov the Individual Subcontract Report (ISR) and/or the Summary Subcontract Report (SSR), following the instructions below and agrees to:

  (1) Ensure that its lower-tier subcontractors with subcontracting plans agree to submit their ISRs and SSRs in SAM.gov.

  (2) Submit the ISRs semi-annually during contract performance for the periods ending March 31 and September 30. These reports are due 30 days after the closing of each reporting period, unless otherwise directed by the Subcontract Administrator. A final report is also required within 30 days of contract completion.

  (3) Submit reports when due, regardless of whether there has been any subcontracting activity since the inception of the contract or the previous reporting period. When NLR rejects an ISR, the subcontractor is required to submit a revised ISR within 30 days of receiving the ISR rejection notice.

  (4) Submit the annually required SSR (if required) by October 30 for the twelve-month period ending September 30. When an SSR is rejected, the contractor is required to submit a revised SSR within 30 days of receiving the SSR rejection notice.

(5) Provide its NLR subcontract number, its unique entity identifier, and the e-mail address of the offeror's official responsible for acknowledging receipt of or rejecting the ISRs to all first-tier subcontractors with subcontracting plans so they can enter this information into SAM.gov when submitting their ISRs; and

(6) Require that each lower-tier subcontractor with a subcontracting plan provide the contract number with the herein Subcontractor, its own unique entity identifier, and the e-mail address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans.

Note 1: The authority to acknowledge receipt or reject the ISR resides –

(i) In the case of the first-tier Subcontractor, with the NLR Socioeconomic Program & Development Manager, and

(ii) In the case of the sub-tier Subcontractor with a subcontracting plan, with the entity that awarded the subcontract

Note 2: See FAR Part 19.704(a)(10)

## 9. MONITORING & ONGOING EVALUATION

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. Activities will be monitored to evaluate compliance with this subcontracting plan.

The 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 solicitation over the simplified acquisition threshold records indicating:

(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 veteran-owned small business concerns were solicited, and if not, why not;
(5) Whether service-disabled veteran-owned small business concerns were solicited, and if not, why not;
(6) Whether HUBZone small business concerns were solicited, and if not, why not;
(7) Reasons for failure of solicited small business concerns to receive the lower-tier subcontract award.

(d) For each lower-tier subcontract solicitation, records to support lower-tier subcontracts award data including the name and address of all lower-tier subcontractors.

(e) Records to support outreach efforts in contacting, but not limited to:

(1) Trade Associations
(2) Business Development Organizations
(3) Conferences and Trade Fairs
(4) Veterans Service Organizations
(5) Other Minority Organizations/Institutions

(f) Records to support internal activities to guide and encourage buyers and subcontract administrators (such as workshops, seminars, training programs, etc.). Monitoring activities to evaluate compliance with requirements.

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

______________________________________________________________________

Note: See FAR Part 19.704(a)(11)

**10. OFFEROR/SUBCONTRACTOR REQUIREMENTS**

(a) Offeror/Subcontractor shall make a good faith effort to utilize small business subcontractors identified or relied upon during proposal preparation, either by naming them as subcontractors or using their cost/pricing or technical expertise with written intent to award them a subcontract upon subcontract award. Note: See FAR Part 19.704(a)(12).

(b) Subcontractor shall provide a written explanation within 30 days of contract completion if they fail to acquire services or materials from the small business concerns as planned. Note: See FAR Part 19.704(a)(13).

(c) Offeror/Subcontractor must not prevent subcontractors from discussing payment or utilization matters with the Subcontract Administrator. Note: See FAR Part 19.704(a)(14)

(d) Offeror/Subcontractor agrees to pay small business subcontractors on time in accordance with the subcontract terms and conditions and shall notify the Subcontract Administrator of any reduced or untimely payments. Note: See FAR Part 19.704(a)(15).

(e) 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:

(1) Developing and maintaining source lists of small and small disadvantaged business concerns from all possible sources.
(2) 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.
(3) Assuring inclusion of small and small disadvantaged business concerns in all solicitations for products or services, which they are capable of providing.
(4) Reviewing solicitations to remove statements, clauses, etc., which may tend to restrict or prohibit small business concerns participation, where possible.

(5) Ensuring that the bid proposal review board documents its reasons for not selecting low bids submitted by small business concerns.
(6) Ensure the establishment and maintenance of records of solicitations and lower-tier subcontract award activity.
(7) Attending or arranging for attendance of company representatives at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
(8) Conducting or arranging for conduct of motivational training for purchasing personnel pursuant to the intent of Public Law 95-507.
(9) Monitoring attainment of proposed goals.
(10) Preparing and submitting periodic lower-tier subcontracting reports (ISRs, SSRs) when required.
(11) Additions to (or deletions from) the duties specified above are as follows:

______________________________________________________________________________

**11. AUTHORIZATION**

(a) This Small Business Lower-Tier Subcontracting Plan is submitted by (please email a signed and dated plan to your NLR Subcontract Administrator for further processing. Should you have any questions, please contact your NLR Subcontract Administrator.):

| | | | |
|---|---|---|---|
| **Subcontractor:** | | | |
| **UEI Number:** | | | |
| **Signature:** | | **Date**: | |
| **Name:** | | | |
| **E-Mail:** | | **Phone**: | |
| **Title:** | | | |

(b) Acceptance by NLR of Small Business Lower-Tier Subcontracting Plan:

| **National Laboratory of the Rockies** | | | |
|---|---|---|---|
| **Signature:** | | **Date**: | |
| **Name:** | | | |
| **E-Mail:** | | **Phone**: | |
| **Title:** | | | |