

2. AMENDMENT/MODIFICATION NO. 1102	3. EFFECTIVE DATE See Block 16C	4. REQUISITION/PURCHASE REQ. NO. 16EE001322	5. PROJECT NO. (If applicable)
6. ISSUED BY CODE 03601		7. ADMINISTERED BY (If other than Item 6) CODE	
Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393			

8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code)	(x)	9A. AMENDMENT OF SOLICITATION NO.
ALLIANCE FOR SUSTAINABLE ENERGY, LLC Attn: RONALD TOWNSEND PO BOX 4011 MAILSTOP RSF-050 GOLDEN CO 80402		9B. DATED (SEE ITEM 11)
	x	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC36-08GO28308
		10B. DATED (SEE ITEM 13) 07/29/2008
CODE 805948051 FACILITY CODE		

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended. is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGEMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)

13. THIS ITEM ONLY APPLIES TO MODIFICATION OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

CHECK ONE	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
X	D. OTHER (Specify type of modification and authority) Clause I.149 970.5243-1 Changes (Dec. 2000)

E. IMPORTANT: Contractor is not. is required to sign this document and return 1 copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)
Administrative modification 1102 provides the following significant revisions to Contract Number DE-AC36-08GO28308:

I. Section I, Clause I.27 52.219-8, Utilization of Small Business Concerns (Jul 2013) is deleted from Section I, Contract Clauses, Table of Contents and from Section I, Contract Clauses and is replaced with Utilization of Small Business Concerns (Oct 2014).

II. Section J, Attachment B, Key Personnel, is deleted and replaced with an updated listing of Key Personnel.

III. Section J, Attachment C, Small Business Subcontracting Plan: The FY 2015 Small Continued ...

Except as provided herein, all terms and conditions of the document referenced in Item 9 A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print)	16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)		
	Jean M. Siekerka		
15B. CONTRACTOR/OFFEROR	15C. DATE SIGNED	16B. UNITED STATES OF AMERICA	16C. DATE SIGNED
_____ (Signature of person authorized to sign)		Signature on File	03/02/2016
		_____ (Signature of Contracting Officer)	

CONTINUATION SHEETREFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-AC36-08GO28308/1102PAGE OF
2 20NAME OF OFFEROR OR CONTRACTOR
ALLIANCE FOR SUSTAINABLE ENERGY, LLC

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>Business Subcontracting Plan is deleted and replaced with the FY2016 Small Business Subcontracting Plan.</p> <p>IV. All other terms and conditions of the contract remain the same.</p> <p>This Contract is to operate and manage the National Renewable Energy Laboratory. FOB: Destination Period of Performance: 07/29/2008 to 09/30/2018</p>				

This Modification incorporates the following significant changes to contract DE-AC36-08GO28308:

- I. Section I, Clause I.27 FAR 52.219-8 – Utilization of Small Business Concerns (Jul 2013) is hereby deleted from Part II, Section I, Contract Clauses, Table of Contents and from Part II, Section I, Contract Clauses and is replaced with:

I.27 52.219-8 - Utilization of Small Business Concerns (Oct 2014)

(a) *Definitions.* As used in this contract--

"HUBZone small business concern" means a small business concern that appears on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration.

"Service-disabled veteran-owned small business concern"—

(1) Means a small business concern—

- (i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and
- (ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) "Service-disabled veteran" means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

"Small business concern" means a small business as defined pursuant to Section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto.

"Small disadvantaged business concern, consistent with 13 CFR 124.1002," means a small business concern under the size standard applicable to the acquisition, that--

(1) Is at least 51 percent unconditionally and directly owned (as defined at 13 CFR 124.105) by--

- (i) One or more socially disadvantaged (as defined at 13 CFR 124.103) and economically disadvantaged (as defined at 13 CFR 124.104) individuals who are citizens of the United States; and
- (ii) Each individual claiming economic disadvantage has a net worth not exceeding \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

- (2) The management and daily business operations of which are controlled (as defined at 13.CFR 124.106) by individuals, who meet the criteria in paragraphs (1)(i) and (ii) of this definition.

“Veteran-owned small business concern” means a small business concern—

- (1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
- (2) The management and daily business operations of which are controlled by one or more veterans.

"Women-owned small business concern" means a small business concern--

- (1) That is at least 51 percent owned by one or more women, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
 - (2) Whose management and daily business operations are controlled by one or more women.
- (b) It is the policy of the United States that small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns shall have the maximum practicable opportunity to participate in performing contracts let by any Federal agency, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems. It is further the policy of the United States that its prime contractors establish procedures to ensure the timely payment of amounts due pursuant to the terms of their subcontracts with small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns.
- (c) The Contractor hereby agrees to carry out this policy in the awarding of subcontracts to the fullest extent consistent with efficient contract performance. The Contractor further agrees to cooperate in any studies or surveys as may be conducted by the United States Small Business Administration or the awarding agency of the United States as may be necessary to determine the extent of the Contractor's compliance with this clause.
- (d)
- (1) Contractors acting in good faith may rely on written representations by their subcontractors regarding their status as a small business concern, a veteran-owned small business concern, a service-disabled veteran-owned small business concern, a small disadvantaged business concern, or a women-owned small business concern.

(2) The Contractor shall confirm that a subcontractor representing itself as a HUBZone small business concern is certified by SBA as a HUBZone small business concern by accessing the System for Award Management database or by contacting the SBA. Options for contacting the SBA include—

- (i) HUBZone small business database search application Web page at http://dsbs.sba.gov/dsbs/search/dsp_searchhubzone.cfm ; or <http://www.sba.gov/hubzone> ;
- (ii) In writing to the Director/HUB, U.S. Small Business Administration, 409 3rd Street, SW., Washington DC 20416; or
- (iii) The SBA HUBZone Help Desk at hubzone@sba.gov .

II. Section J, Attachment B, Key Personnel, is hereby deleted and replaced as follows

Attachment B Key Personnel

Pursuant to the clause entitled “Key Personnel,” the following positions are considered to be essential to work being performed.

Name	Parent Organization	Title	Responsibilities	Accountabilities
Martin Keller, Ph.D.	UT Battelle	Laboratory Director & CEO President of Alliance for Sustainable Energy, LLC	Overall Contract Performance. Sets Laboratory vision, strategy, & standards and expectations for ES&H.	Alliance Board of Directors
Bobi A. Garrett	Battelle	Deputy Laboratory Director/Chief Operating Officer	Integrates and oversees laboratory strategy and execution and all operations for the National Renewable Energy Laboratory (NREL) regardless of where they are performed across the laboratory.	Laboratory Director
Martin Keller, Ph.D.	UT Battelle	Acting - Deputy Laboratory Director/ Science & Technology Officer	Provides leadership to accomplish world class research and act with the decision authority of the Director on matters involving research and innovation regardless of where they are performed across the laboratory.	Laboratory Director

**Summary of Modification to Attachment B, Key Personnel
 Modification 1102**

Action	Description
Deleted	Reference to David J. Post and all related entries
Deleted	Reference to Dana C. Christensen and all related entries
Changed	<p>Bob A. Garrett Title. <u>From:</u> Deputy Laboratory Director; Strategic Programs & Partnerships; <u>To:</u> Deputy Laboratory Director/Chief Operating Officer</p>
Changed	<p>Bob A. Garrett Responsibilities. <u>From:</u> Provide expertise and tools for analysis of technology policy and market issues for new energy technologies. Coordinates development of annual and 5 year strategic plans and advises on LDRD investments and provide project support function to maintain control of project/program cost, schedule and budget. Direct investment in technology maturation and commercialization. <u>To:</u> Integrates and oversees laboratory strategy and execution and all operations for the National Renewable Energy Laboratory (NREL) regardless of where they are performed across the laboratory.</p>
Added	Name Reference: Martin Keller, Ph.D.
Added	Parent Organization: UT Battelle
Added	Title: Acting – Deputy Laboratory Director/Science & Technology Officer
Added	Responsibilities: Provides leadership to accomplish world class research and act with the decision authority of the Director on matters involving research and innovation regardless of where they are performed across the laboratory.

III. Section J, Attachment C, Small Business Subcontracting Plan: The FY2015 Small Business Subcontracting Plan is hereby deleted and replaced with the following FY2016 Small Business Subcontracting Plan:

SECTION J – LIST OF DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS

ATTACHMENT C

SMALL BUSINESS SUBCONTRACTING PLAN

FY 2016

CONTRACTOR: ALLIANCE FOR SUSTAINABLE ENERGY, LLC (ALLIANCE)
NATIONAL RENEWABLE ENERGY LABORATORY (NREL)

ADDRESS: 15013 Denver West Parkway
GOLDEN, COLORADO 80401

SOLICITATION
OR CONTRACT
NUMBER: DE-AC36-08GO28308

ITEM/SERVICE: Management and operation of the National Renewable Energy Laboratory (NREL) to lead renewable energy research and development and to be the nation's primary federal laboratory for renewable energy research.

The following, together with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 and the Federal Acquisition Regulations (FAR), Part 19.

I. FY 2016 GOALS

A. The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars) apply to the contract period Year Seven: For each year of performance, revised goals will be negotiated and included in the contract by modification.

1. The total estimated dollar value of all planned subcontracting (to all types of business concerns) under this contract is \$115,000,000 and 100%.

(i) Large Business Concerns: The total estimated dollar value and percent of planned subcontracting with large business (all businesses concerns classified as "other than small"). (% of 1. above):

\$54,050,000 and 47%

(ii) Small Business Concerns: The total estimated dollar value and percent of planned subcontracting with small business concerns include Small, Small Disadvantaged, Women-Owned Small, HUBZone, Veteran-Owned, and Service-Disabled Veteran-Owned Businesses (SB/SDB/WOB/HZ/VOB/SDVOB) concerns. (% of 1. above):

\$60,950,000 and 53%

This amount is included in the amount shown under A.1., above, as a subset.

- (iii) **Small Disadvantaged Business Concerns:** The total estimated dollar value and percent of planned subcontracting with small disadvantaged businesses (SDB) (% of 1. above):

\$5,750,000 and 5%*.

*Items (iii) through (vii) meet DOE guidelines issued in Policy Flash 2008-19. This amount is included in the amount shown under A.1., above, as a subset.

- (iv) **Women-Owned Small Business Concerns:** The total estimated dollar value and percent of planned subcontracting with small women-owned businesses (WOB) (% of 1. above):

\$5,750,000 and 5%

This amount is included in the amount shown under A.1., above, as a subset.

- (v) **HUBZone Small Business Concerns:** The total estimated dollar value and percent of planned subcontracting with HUBZone small businesses (HZ) (% of 1. above):

\$3,450,000 and 3%

This amount is included in the amount shown under A.1., above, as a subset.

- (vi) **Veteran Owned Small Business Concerns:** The total estimated dollar value and percent of planned subcontracting with veteran-owned small business (VOB) (% of 1. above):

\$3,450,000 and 3%

This amount is included in the amount shown under A.1., above, as a subset.

- (vii) **Service-Disabled Veteran-Owned Business Concerns:** The total estimated dollar value and percent of planned subcontracting with service-disabled veteran-owned businesses (SDVOB) (% of 1. Above):

\$3,450,000 and 3%

This amount is included in the amount shown under A.1., above, as a subset.

- B. A description of all the types of products and/or services that will be acquired under this contract is necessary to determine how the subcontracted dollars are to be spent.

1. The principal products and/or services to be obtained in support of this Plan are those that are generally associated with a diverse research and development environment. Small business concerns will generally supply a major portion of the goods and services, including Research and Development (R&D), listed in Table A. As additional opportunities are identified, the list will be expanded.

TABLE A

SUBCONTRACTED EFFORT	SB	SDB	WOB	HZ	VOB	SDVOB
Research, Development, Demonstration, Deployment	X	X	X	X	X	X
Research Support	X	X	X	X	X	X
Renewable Energy and Energy Efficiency Technologies	X	X	X	X	X	X
Technical Support & Services	X	X	X	X	X	X
Construction	X	X	X	X	X	X
Architect & Engineering	X	X	X	X	X	X
Electrical Services & Supplies	X	X	X	X	X	X
Custodial Services & Supplies	X	X	X	X	X	X
Laboratory Supplies	X	X	X	X	X	X
Chemicals	X	X	X	X	X	X
Reproduction Supplies	X	X	X	X	X	X
Office Equipment & Supplies	X	X	X	X	X	X
Computer Supplies	X	X	X	X	X	X
Lease Facilities	X	X	X	X	X	X
Administrative Support	X	X	X	X	X	X
Information Technology Support	X	X	X	X	X	X
Consulting Services	X	X	X	X	X	X
Communications Support	X	X	X	X	X	X
Moving & Relocation Services	X	X	X	X	X	X
Environmental Services	X	X	X	X	X	X
Other lab-related products & services	X	X	X	X	X	X

II. METHODS USED TO DEVELOP SUBCONTRACTING GOALS

Background Information

Alliance established the above subcontracting goals based on the small business' performance history, the proposed budget, the availability of small businesses in our region, and our commitment to execute the proposed subcontracting strategy embodied by this Plan.

The new Prime Contract implemented in FY 2009 brought new opportunities to Alliance/NREL's Small Business Program. In order to apply an enhanced emphasis on small business, the Small Business Program office was moved from Contracts and Business Services to the Commercialization and Deployment directorate. This began a greater focus on;

- increasing the small business subcontracting goal of 46.4%, and
- implementing a Mentor-Protégé Program and placing a total of seven (7) Mentor-Protégé Agreements within sixty (60) months or, in other words, by the end of fiscal year 2013.

Through FY 2013 reports show that NREL significantly exceeded the aggressive small business goal of 55% and that its successful Mentor-Protégé Program achieved its five-year goal of placing seven

(7) Mentor-Protégé Agreements. In FY 2014 NREL small business reporting practices changed to include both subcontract and purchase order awards. Due to this change Alliance proposed that the NREL small business goal for FY14 be modified to 53% while all other small business subcategories remain the same.

FY 2016 Small Business Goal Objectives

When Alliance's new Prime Contract was implemented in FY 2009, it would have been difficult for anyone to correctly predict the impact of the economic challenges our nation would face. Additionally, during fiscal years 2009, 2010, 2011 and 2012, a high volume of large construction projects occurred, which significantly affected the lab's small business subcontracting goal objectives. In 2009, Alliance negotiated to change the existing small business goal of 60% to a more reasonable goal of 55%--a goal that has remained the same for FY 2010, FY 2011, FY 2012 and FY 2013.

Starting October 1, 2013, the total dollars awarded and reported included both subcontract and purchase order awards. Prior to October 1, 2013, the total dollars awarded and reported did not include purchase order awards. Due to this change, Alliance proposed that the NREL small business goal for FY 2014 be modified to 53% and proposes that it remain 53% for FY 2015 and FY 2016. To support Alliance's commitment to small business, we further propose that all other small business subcategories (including the 5% goal for Small Disadvantaged and Women-owned businesses, and the 3% goal for HUBZone, Veteran, and Service-Disabled Veteran-Owned businesses) remain the same. In comparison with the Department of Energy (DOE) and other federal agency standard small business goals of 46.4%, NREL's 53% small business goal is still considered an aggressive objective.

Indirect costs: Indirect costs have not been included when establishing Alliance subcontracting goals. Instead, goals are based on the total anticipated subcontract and purchase order award dollars.

In determining the proportionate share of indirect costs allocated to each small business category (SB, SDB, WOB, HZ, VOB, and SDVOB), NREL's reporting system can isolate each small business concern by dollar amount.

Mentor-Protégé Program

To demonstrate Alliance's commitment for meeting the FY 2009 objectives, a Mentor-Protégé Program was successfully implemented and, to date, has activated ten (10) Mentor Protégé Agreements:

Protégé	Agreement Execution Date	Technical Champions and Mentoring Areas
Agreement No. MP 09-01 New West Technologies <i>Native American-owned</i>	March 2009	Group: Transportation Champions: Ann Brennan/Margo Melendez/Wendy Dafoe

<i>SDB/SBA (8a) certified</i>		Mentoring areas: Proposal writing, procurement best practices and financial (<i>Program completed</i>)
Agreement No. MP 09-02 St. Andrews Construction <i>Hispanic-owned SDB/SBA (8a) certified</i>	September 2009	Group: Site Operations Champions: Donna Rigau and group/Safety/Quality Assurance Mentoring areas: Best construction practices, involvement in NREL's revised safety plan, quality assurance issues, introduction to NREL large construction companies (J.E. Dunn and Haselden) to learn more about larger construction projects (design build, etc.) and processes (<i>Graduated Program</i>)
Agreement No. MP 10-03 Group 14 Engineering <i>Woman-owned</i>	August 2010	Group: Integrated Applications Champions: Nancy Carlisle/Vickie Healey/Jesse Dean Mentoring areas: enhancing NREL audit and energy analysis projects (<i>Graduated Program</i>)
Agreement No. MP 11-04 Confluence Communications <i>Woman-owned</i>	August 2011	Group: Electricity, Resources, and Building Systems Integration Champions: David Mooney/Cheryn Engebrecht/Stacey Rothgeb Mentoring areas: Enhancing skills in technical event planning involving Building America projects.
Agreement No. MP 11-05 E-Work.com, Inc. <i>Veteran-owned</i>	April 2012	Group: Commercialization and Technology Transfer Office Champions: William Farris / Richard Adams Mentoring areas: Business development and marketing assistance particularly as it relates to leveraging new training techniques with C&TT and other NREL programs. Assistance in qualifying for the SBIR Program and/or the SB Technology Transfer Engineering Program to develop and possibly commercialize E-Learning technologies and processes.
Agreement No. MP 11-06 Fireside Production <i>Women-owned</i>	September 2011	Group: Commercialization & Technology Transfer Champions: Bill Farris/Richard Adams Mentoring areas: Development of expertise and capabilities in areas of procurement and other best business practices, communication and event business planning techniques, financial management and networking.
Agreement No. MP 13-07 Ambient Energy, Inc. SDB, Women-owned	March 2013	Group: Electricity, Resources and Building Systems Integration Center Champions: Larry Brackney/Andrew Parker Mentoring areas: Development of expertise and capabilities in financial management and accounting practices, assistance in proposal development,

		developing knowledge and expertise in OpenStudio software,
Agreement No. MP 14-08 Sky Blue Builders, LLC SDB, 8(a)	July 2014	Group: Site Operations Champions: Donna Rigau, Bret Cummock/Safety and Quality Assurance Mentoring areas: LEED practices, design build practices, quality assurance plan development, contracting and project management, environmental requirements,
Agreement No. MP 15-09 Tricomm Systems, Inc. VOSB	February 2015	Group: Site Operations Champions: Sal Sferrazza, Mark Martinez, Pam Motyl Mentoring areas: Quality Assurance Plan development, Safety Plan development, contracting and project management, small business certification process, proposal preparation and submission
Agreement No. 15-10 BrainJuice Mobile, LLC SDB,WOB	July 2015	Group: Energy Systems Integration Facility Champions: Steve Bonde, Phil Clark Mentoring areas: data management and system integration, proposal preparation and submission, quality assurance plan development, EH&S plan development

Efforts continue to find a minimum of one (1) qualified small business protégé in FY16 that not only has expertise in product and service types of subcontracting, but also for any technology-based small businesses that complement NREL's mission in specialized areas related to science and technology, renewable energy, and energy efficiency.

III. METHODS USED TO IDENTIFY POTENTIAL SOURCES FOR SOLICITATION

The Alliance is proactive and committed to maintaining a Program that offers a fair and equitable opportunity to small (SB), small disadvantaged (SDB), women-owned (WOB), HUBZone (HZ), veteran-owned (VOB), and service-disabled veteran-owned (SDVOB) business concerns to compete for potential sources of supplies, services, research and development, and science and technology-based areas using resources including but not limited to the following:

- Electronic access to the Central Contractor Registration (www.sam.gov) website, which the General Services Administration (GSA) maintains to seek critical information regarding identification, classification, certifications, and NAICS code information.
- Electronic access to NREL Small Business (www.nrel.gov) database. Small businesses that are interested in doing business with Alliance/NREL have an opportunity to register pertinent information about their company. In return, NREL staff utilizes the database as a resource for finding appropriate vendors to fulfill their subcontracting needs.

- Facilitated contacts with educational institutions including but not limited to the University of Colorado, Colorado School of Mines, Colorado State University and other local and national university partners to expand potential small business sources.
- Access to the Battelle Family of Labs, Acquisition of Community Practices (ACOP) group (procurement directors and small business program managers) and other government and federal agencies within the Department of Energy in order to obtain small business data.
- Tools such as salesforce.com, which can be used to develop a commercialization and technology transfer list, which will identify small technology-based businesses that are experienced in renewable energy and energy efficiency technologies and that could be potential small business sources.
- Collaborative participation between Contracts & Business Services and the Small Business Partnerships office in order to obtain various search techniques that can identify the appropriate small business mix to satisfy work effort objectives.
- Assistance in educating small business concerns on how to do business with Alliance/NREL, including but not limited to:
 - Assistance in navigating the NREL website
 - Assistance with the NREL small business database
 - Assistance with contact information in specialized areas
 - Assistance with the scheduling process regarding one-on-one visits to NREL
- Participating in local, regional, and national trade fairs, conferences, and special events organized to assist small business concerns that request information on how to obtain business opportunities with NREL.
- Participate in local, state, regional, and national trade associations, business development organizations, small business councils, chambers of commerce, etc. to demonstrate commitment to the minority and small business community. NREL's participation with and support of various organizations include but are not limited to
 - Mountain Plains Minority Supplier Development Council (MPMSDC), with granted access to the council's database
 - National Minority Supplier Development Council (NMSDC)
 - Opportunity Council (OC) f/k/a Rocky Mountain Small and Disadvantaged Business Opportunity Council (SADBOC), with granted access to the council's directory
 - Colorado Women's Chamber of Commerce (CWCC), with granted access to chamber resources
 - Women's Business Enterprise Council – West (WBEC), with granted access to WBEC resources
 - Minority Education and Enterprise Development Council (MEED)
 - Local Chambers of Commerce, as applicable

The success of the Small Business Partnerships office is centered on teaming with key organizations within the lab that adopt NREL's Diversity Plan to the fullest extent. Fostering solid relationships with Contracts & Business Services, Public Affairs, Human Resources, and Commercialization and Technology Transfer creates a dynamic work force supporting minority and small business entities.

Additionally, proactive relationships with the Office of Small Disadvantage Business Utilization (OSDBU), Small Business Administration (SBA), and other DOE laboratories and government agencies provide insight into the best practices of small business subcontracting activities. In addition, these relationships foster NREL's ability to enhance subcontracting goals that meet NREL's mission and operation. The Small Business Subcontracting Plan for NREL will be reviewed and approved annually by the DOE GO Contracting Officer.

IV. SMALL BUSINESS PROGRAM ADMINISTRATION

While the prime responsibility for administration of the Small Business Subcontracting Plan rests with the Innovation Partnering & Outreach directorate, the Contracts and Business Services Office Director will help provide subcontracting opportunities for minority and small business concerns. Richard Adams, the Small Business Partnerships Manager, is responsible for the day-to-day implementation of the Plan.

Name: Richard Adams
Title: Small Business Partnerships Manager
Address: 15013 Denver West Parkway, Golden, Colorado 80401
Telephone #: 303-275-3051
E-Mail: richard.adams@nrel.gov

Name: William Farris
Title: Associate Lab Director, Innovation Partnering & Outreach
Address: 15013 Denver West Parkway, Golden, Colorado 80401
Telephone #: 303-275-3069
E-Mail: william.farris@nrel.gov

Small Business Partnerships Manager (SBPM) Duties

The SBPM has the general overall responsibility for Alliance's Small Business Program and Small Business Subcontracting Plan. The Innovation Partnering & Outreach directorate office provides leadership for the Small Business Program, and champion outreach activities for small businesses opportunities, with a focus on lab needs including supplies, services, research and development, and other science-based technologies. The SBPM will oversee and manage the following activities:

- Administering the Alliance Small Business Subcontracting Plan, including monitoring performance relative to the requirements outlined in the Plan, and negotiating aggressive but practical small business goals and mentor-protégé activities.

- Reviewing and overseeing the approval process of all Individual, Master, and Commercial Subcontracting Plans with a subcontract dollar value of more than \$700,000 (FAR increase from \$650,000 to \$700,000 effective October 1, 2015) (\$1,500,000 for construction), excluding small business concerns. Additionally, through the period of performance of the subcontract, monitoring performances relative to proposed goals outlined in Plan.
- Searching, developing, and maintaining mailing lists for SB, SDB, WOB, HZ, VOB and SDVOB concerns from various databases and other viable resources.
- Ensuring procurement/solicitation packages, which are structured to permit participation of SB, SDB, WOB, HZ, VOB, and SDVOB concerns to the maximum extent possible.
- Ensuring inclusions of SB, SDB, WOB, HZ, VOB, and SDVOB concerns with capabilities that coincide with solicitations requiring their products and services.
- Attending Contracts and Business Services preplanning meetings to help identify small business subcontracting opportunities.
- Participating in Contracts and Business Services semi-annual assessment reviews to help ensure compliance with stakeholder requirements including applicable laws, regulations, terms and conditions of subcontracts / purchase orders, ethics and good business practices.
- Receipt of monthly awarded action report from Contracts and Business Services.
- Ensuring that proper documentation is provided if selection is not awarded to SB, SDB, WOB, HZ, VOB, and SDVOB—a situation that would require C&BS Subcontract Administrators to document the procurement file with a completed “If not, why not” form, when applicable.
- Holding periodic training sessions through either email or scheduled meeting to educate staff on Alliance/NREL’s commitment to the small business community.
- Coordinating contractors’ activities prior to and during conduct of a Federal agency compliance reviews.
- Attending and/or arranging for NREL staff to attend small business opportunity workshops, minority business enterprise seminars, trade fairs, and other outreach activities.
- Supporting Alliance/NREL’s commitment to small business by fostering working relationships within the local community through involvement with various small and minority organizations, small business councils, and chambers of commerce. This may include serving as a board director, volunteer when needed, or doing committee work, presentations, and participating in panels.
- Maintaining sociable, yet professional, relationships within the minority and small business communities supporting respective activities such as:

- OSDBU personnel at DOE Headquarters
 - Local and regional SBA Directors, Administrators, and Counterparts
 - Presidents and Directors of local small business councils, chambers of commerce, and other organizations
 - Small Business and Diversity Program Managers working for local, regional, and national large businesses concerns, DOE laboratories, and other government and federal agencies.
 - Board of Director colleagues
 - Presidents and CEOs within the minority and small business communities
- Preparing and submitting the following monthly, quarterly, semi-annual, and annual reports as applicable:
 - Monthly small business status reports to DOE GO Contracting Officer and appropriate Alliance/NREL Management Team
 - Semi-annual and annual Mentor-Protégé progress reports to OSDBU
 - Semi-annual and annual subcontracting goal reports into the Electronic Subcontracting Report System (eSRS)
 - Other types of reports upon request

V. EQUITABLE OPPORTUNITIES AND OUTREACH EFFORTS

NREL's Small Business Partnerships and Contracts and Business Services offices work in unison to ensure that small, disadvantaged, women-owned, HUBZone, veteran, and service disabled-veteran owned businesses have an equitable opportunity to compete for subcontracts that may include but are not limited to the following activities:

Outreach Efforts to Obtain Sources:

Mentor-Protégé Program: Implemented in FY 2009, Alliance/NREL's mentoring program is part of a DOE initiative to encourage and assist small businesses in efforts to enhance their performance capabilities in becoming successful subcontractors for Alliance/NREL, DOE, and other federal agencies. The lab's mentoring opportunities are not only limited to seeking small businesses that have skills in product and service areas but to also search for small technology-based companies that have expertise in science and technology with a particular focus on transferring renewable energy and energy efficiency technology to the marketplace. Furthermore, the program is intended to foster long-term relationships that will increase the extent, variety, and complexity of opportunities for small business and to ensure they continue to have a meaningful role in the future.

Alliance/NREL encourage small businesses to inquire about the qualifications they would require to become a Protégé. If applicable, the Small Business Partnerships office will assist in finding appropriate champions who agree to mentor the small business.

Inreach/Outreach Team Approach: Small Business Partnerships routinely work with the Contracts and Business Services office and other programs and organizations within the lab to help foster a variety of small business opportunities at the lab. Throughout the year, NREL staff is asked to attend outreach activities such as trade shows, luncheons, networking, seminars, and, on occasion, panel participation.

Technical programs are encouraged to have an annual objective to subcontract with at least one small, disadvantaged, women-owned, HUBZone, veteran-owned, or service-disabled veteran-owned business to support Alliance/NREL's mission and its commitment to small business concerns.

Commitment to Minority and Small Businesses: NREL continues to have a significant presence within the small business community. The Small Business Partnerships Manager is available for committee work, panel presentations, holding leadership positions; e.g., serving on boards of directors for various chambers of commerce, small business councils, and organizations.

Outreach Participation: Participate in local, regional, and national small and minority business procurement conferences, trade fairs, and other functions for matchmaking opportunities and to locate additional small business sources.

Outreach Source Information: Seek source information from various resources including but not limited to the following:

- NREL Small Business database
- Databases including but not limited to:
 - SAM – System for Award Management
 - FedBiz Opps
 - SBA - Dynamic Small Business Search (DSBS)
 - Small Business Data Centers
- Prior to Contracts and Business Services submitting Request for Proposal(s) (RFP), seek source information from any of the above mailing lists, or other various mailing lists, as well as other reference material to identify small, small disadvantaged, women-owned, HUBZone, veteran, and service-disabled veteran-owned business entities.
- Monitor monthly small business reports to determine if small, small disadvantaged, women-owned, HUBZone, veteran, and service-disabled veteran-owned businesses are meeting negotiated goals outlined in NREL's Small Business Subcontracting Plan.
- Utilize source lists from various chambers of commerce, small business councils, and organizations such as the Rocky Mountain Minority Supplier Development Council, Rocky Mountain Business Opportunity Council, and Colorado Women's Chamber of Commerce.
- Utilize source lists from the Battelle Family of Labs.
- Seek source information from large businesses and other government entities.

VI. INTERNAL EFFORTS TO GUIDE AND ENCOURAGE SUBCONTRACT/PURCHASING PERSONNEL AND NREL STAFF

Throughout this Plan, Alliance has demonstrated commitment to small business, illustrating its internal efforts to achieve subcontracting goals. The following recaps Alliance best business practices to better guide staff subcontracts with small businesses:

- Establish, maintain, and utilize SB, SDB, WOB, HZ, VOB, and SDVOB source lists, guides, and other data for soliciting subcontracts.
- Assist Contracts and Business Services at pre-planning solicitation meetings to determine small business opportunities.
- Hold periodic training and meetings with subcontract staff and other organizational groups regarding Alliance Plan and commitment to small business.
- Monitor activities to review and evaluate compliance with this Plan.
- Make sure that Alliance/NREL requirements are clear and precise before sending out solicitations.
- When practical, arrange pre-proposal conferences to make sure SB, SDB, WOB, HZ, VOB, and SDVOB concerns understand all requirements that are outlined in the RFP.
- Make challenging and reasonable recommendations to NREL staff concerning strategies for maintaining and/or exceeding the approved small business goals.
- Implement and maintain a vendor/supplier database that allows firms to enter their business into the NREL Small Business Vendor Database via the internet. This database allows companies to list their capabilities and the goods/services they provide. This database is available not only to subcontract administrators, but all NREL staff, and is easily searched by vendor name, type of business, type of goods/services, state, NAICs code, and keywords.

VII. SUBCONTRACTING PLAN FLOWDOWN

Alliance/NREL require that with all subcontracts, except for those awarded to small business concerns, in excess of \$700,000 (FAR increase from \$650,000 to \$700,000 effective October 1, 2015) (\$1,500,000 for construction) and commercial item/services awards, subcontractors must adopt and comply with requirements stated in FAR 52-219-9 – Small Business Subcontracting Plan. (NREL Flowdown Clause I-22(9) – Utilization of Small Business Concerns). Alliance/NREL understand that this requirement cannot be altered.

VIII. REPORTS AND SURVEYS

Alliance/NREL will stay in compliance and assures the following:

- As required, will cooperate in any studies or surveys that may be required by DOE or the U.S. Small Business Administration (SBA).

- Provide the data on first-tier small business subcontract transactions under the contracts, as described in the MOSRC Guide via the Microsoft Excel spreadsheet co-located at <https://max.gov> in the MOSRC Collaboration Center. The spreadsheet will be submitted to HQProcurement Systems @hq.doe.gov.
- Upon request, will submit periodic reports showing compliance with the Subcontracting Plan.
- Will electronically submit (eSRS) a semi-annual individual Subcontract Report (ISR) (formerly SF294), during the subcontract performance for the periods ended March 31 and September 30, based on the government’s fiscal year (October 1 through September 30).

Will electronically submit an annual Summary Subcontract Report (SSR)(formerly SF295) for the twelve months ended September 30, at the close of each government fiscal year.

The ISR and SSR electronic submissions shall be made through the Electronic Subcontracting Reporting System (eSRS) at www.esrs.gov. Alliance/NREL will insure accurate and complete reports.

- Will ensure that large business subcontractors with subcontracting plans agree to submit ISRs (formerly SF 294s) and SSRs (formerly SF295s) or any other version as determined necessary by NREL to comply with DOE internal procedures and practices.

REPORTING PERIOD	REPORT DUE	DUE DATE
October 1 – March 31	ISR	April 30
April 1 - September 30	ISR	October 30
October 1 – March 31	SSR*	April 30
October 1 – September 30	SSR	October 30

*This SSR reporting period is required for Department of Defense (DoD) and National Aeronautics and Space Administration (NASA) only

Addresses for submitting ISR and SSR: These will be submitted electronically to:

- the DOE GO Contracting Officer.

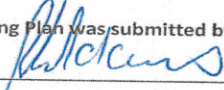
IX. RECORDS AND PROCEDURES

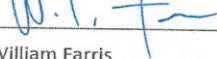
Alliance will maintain the necessary records and procedures to demonstrate compliance with the requirements and goals outlined in this subcontracting plan. These records will include, but are not limited to the following:


- Source documentation for SB, SDB, WOB, HZ, VOB, and SDVOB concerns received from:
 - SBA DSBS/sam.govNREL’s internal small business database
 - Department of Veteran Affairs (VETBIZ.gov)
 - Office of Small Disadvantaged Business Utilization database (OSDBU.gov).

- Source documentation for SB, SDB, WOB, HZ, VOB, and SDVOB concerns received from organizations, e.g.,
 - Rocky Mountain Minority Supplier Development Council (RMMSDC)
 - Rocky Mountain Business Opportunity Council (BOC)
 - Colorado Women's Chamber of Commerce (CWCC)
 - Local Chamber of Commerce
 - Local Small Business Administration (SBA)
 - Women's Business Enterprise Council – West (WBEC West)
- Source documentation received on each subcontract solicitation resulting in an award of more than \$150,000, and indicating whether SB, SDB, WOB, HZ, VOB, and SDVOB concerns were solicited, and if not, why not; and if applicable, reasons why an award was not made to a small business concern.
- Source documentation gathered from various small and minority business procurement conferences, trade fairs, or other events.
- Source documentation regarding internal training for procurement buyers along with support and technical staff to encourage, educate, and promote small business opportunities at NREL.

This Small Business Subcontracting Plan was submitted by:

SIGNED: 
TYPED/PRINTED NAME: Richard Adams
TITLE: Small Business Partnerships Manager
DATE: 11/10/15
TELEPHONE NO.: 303-275-3051

SIGNED: 
TYPED/PRINTED NAME: William Farris
TITLE: Associate Lab Director, Innovation Partnering & Outreach
DATE: 11/12/15
TELEPHONE NO.: 303-275-3069

PLAN ACCEPTED BY: 
DOE GO Contracting Officer
Date: 12/24/2015

IV. All other terms and conditions of the contract remain the same.