

# University of Northern Iowa

*Industry 4.0*

## Small Business Subcontracting Plan (FAR 52.219-9)

### I. Identification Data

**Subcontract Plan Owner:**

**Company:** University of Northern Iowa  
**Address:** 213 East Bartlett Hall  
**State/City/Zip:** Cedar Falls, Iowa 50614  
**Unique Entity Identifier (UEI):** PLZ1BS2RC597  
**Description of Supplies and/or Service Contracted for:** R&&D: Equipment purchase and installation; 2nd Tier Subaward for R&D support; Consulting Services.  
**Solicitation/RFP #:** DLA Emergent III R&D BAA-0020  
**Prime Award #** SP4701-22-C-0029  
**Pass thru Award #:** PO 20220084  
**UNI Assigned Contract #** 6658-24511 (Technology) and 6658-21605 (Advance Iowa)

**Individual Plan Period of Performance:**

Contract Period	Start	End	Contract Period	Start	End
Base Period:	4/1/2022	8/31/2023	Option Year 3:		
Option Year 1:			Option Year 4:		
Option Year 2:			Option Year 5:		

**Estimated Contract Value by Period of Performance:**

Contract Period	Funding	Contract Period	Funding
Base Period:	\$3,370,493	Option Year 3:	
Option Year 1:		Option Year 4:	
Option Year 2:		Option Year 5:	

**Place of Performance:**

**Site #1:** Industrial Technology Center 13E  
**Site #2:** Business and Community Services 13

### II. Type of Plan (FAR 19.701)

- Commercial Plan  
 Individual Plan  
 Master Plan (incorporated into Individual Plan)

### III. Goals

**A. University of Northern Iowa provides the following separate dollar and percentage goals, which are a percentage of the total subcontracting dollars for each business category:**

BASE GOALS		
Planned Subcontracting to:	DOLLARS	PERCENT
1. Total Dollars to be Subcontracted	\$997,165	29.6%
2. Large Businesses (Other than Small)	\$707,987	71.0%
3. All Small Businesses (including ANCs & Indian tribes)	\$321,586	32.3%
4. Veteran-Owned Small Businesses (VOSB)	\$0	0.0%
5. Service-Disabled Veteran-Owned Small Businesses (SDVOSB)	\$9,648	3.0%
6. HUBZone Small Business (HUBZone)	\$9,648	3.0%
7. Small Disadvantaged Businesses (SDB) (including ANCs & Indian tribes)	\$16,079	5.0%
8. Women-Owned Small Businesses (WOSB)	\$16,079	5.0%

...If Applicable

<b>2nd OPTION GOALS</b>		
<b>Planned Subcontracting to:</b>	<b>DOLLARS</b>	<b>PERCENT</b>
1. Total Dollars to be Subcontracted	\$0	0.0%
2. Large Businesses (Other than Small)	\$0	0.0%
3. All Small Businesses (including ANCs & Indian tribes)	\$0	
4. Veteran-Owned Small Businesses (VOSB)	\$0	
5. Service-Disabled Veteran-Owned Small Businesses (SDVOSB)	\$0	
6. HUBZone Small Business (HUBZone)	\$0	
7. Small Disadvantaged Businesses (SDB) (including ANCs & Indian tribes)	\$0	
8. Women-Owned Small Businesses (WOSB)	\$0	

...If Applicable

<b>3rd OPTION GOALS</b>		
<b>Planned Subcontracting to:</b>	<b>DOLLARS</b>	<b>PERCENT</b>
1. Total Dollars to be Subcontracted	\$0	0.0%
2. Large Businesses (Other than Small)	\$0	0.0%
3. All Small Businesses (including ANCs & Indian tribes)	\$0	
4. Veteran-Owned Small Businesses (VOSB)	\$0	
5. Service-Disabled Veteran-Owned Small Businesses (SDVOSB)	\$0	
6. HUBZone Small Business (HUBZone)	\$0	
7. Small Disadvantaged Businesses (SDB) (including ANCs & Indian tribes)	\$0	
8. Women-Owned Small Businesses (WOSB)	\$0	

...If Applicable

<b>4th OPTION GOALS</b>		
<b>Planned Subcontracting to:</b>	<b>DOLLARS</b>	<b>PERCENT</b>
1. Total Dollars to be Subcontracted	\$0	0.0%
2. Large Businesses (Other than Small)	\$0	0.0%
3. All Small Businesses (including ANCs & Indian tribes)	\$0	
4. Veteran-Owned Small Businesses (VOSB)	\$0	
5. Service-Disabled Veteran-Owned Small Businesses (SDVOSB)	\$0	
6. HUBZone Small Business (HUBZone)	\$0	
7. Small Disadvantaged Businesses (SDB) (including ANCs & Indian tribes)	\$0	
8. Women-Owned Small Businesses (WOSB)	\$0	

**B. The principal types of supplies/services that University of Northern Iowa anticipates to be subcontracted and the identification of the type of business concern planned are as follows:**

<b>Business Category or Size</b>	<i>Check All That Apply</i>					
	<b>Large</b>	<b>Small</b>	<b>SDVOSB</b>	<b>HUBZone</b>	<b>SDB</b>	<b>WOSB</b>
Equipment (capital)	x					
Construction (non-capital)		x			x	x
Subaward		x				
Consultants		x		x		
Computer Services					x	x

**C. The University of Northern Iowa used the following method to develop the subcontracting goals:**

As a state run institution of the State of Iowa, The University of Northern Iowa (UNI) is mandated to use the Iowa Targeted Small Business Program per Iowa Code 73, Subchapter III (with specific reference to the mandate in Iowa Code 73.16). According to UNI's Purchasing Guidelines & Procedures manual, as updated on May 1, 2017, Chapter 13 "Small Business Program", Subsection 13.1 "Iowa Targeted Small Business Program", UNI participates in the Iowa Targeted Small Business (TSB) procurement program, as administered by the Iowa Economic Development Authority. The goal is to promote the growth, development, and diversification of Iowa businesses owned by minorities and women. UNI implements this program by seeking to award a portion of the University's annual purchases of goods and services, including construction services, to certified TSB's. Whenever possible, Procurement Services utilize TSB's for bid solicitations and awards.

*Note:* For the purposes of this individual plan the targets supplied by the prime contractor (Defense Logistics Agency) to UNI's project contractor (NCDMM) are used to set the subcontracting goals.

**D. The University of Northern Iowa identifies potential subcontractors using the following source lists and organizations**

UNI relies on its participation in the Iowa Economic Development Authority's Iowa Targeted Small Business Program to access and solicit bids from Targeted Small Businesses (TSB). The Iowa Economic Development Authority administered TSB program is a list of Iowa small business that have sought and achieved TSB certification by the Iowa Department of Economic Development Authority.

In addition, as an agency of the State of Iowa, UNI relies on the Iowa Department of Transportation to access a list of small business and Disadvantage Businesses for the purpose of soliciting and securing contract bids from small and disadvantaged business beyond the Iowa Targeted Small Business Program.

*Note:* UNI will also use the Small Business Administration's (SBA's) Dynamic Small Business Search (DSBS) when appropriate.

**E. Indirect Costs**

Have been included in the dollar & percentage of the subcontracting goals of this plan

Have not been included in the dollar & percentage of the subcontracting goals of this plan

If applicable, the method used to determine the proportionate share of indirect costs to be incurred with small business concerns was:

**IV. Program Administrators**

Name	<u>Tolif Hunt</u>
Title/Position	<u>Director Research &amp; Sponsored Programs</u>
Address	<u>213 East Bartlett</u>
City/State/Zip	<u>Cedar Falls, Iowa 50614</u>
Phone number	<u>319-273-3025</u>
Email:	<u><a href="mailto:tolif.hunt@uni.edu">tolif.hunt@uni.edu</a></u>

Name	Jon Westhoff
Title/Position	Procurement Manager
Address	Gilchrist 103
City/State/Zip	Cedar Falls, Iowa 50614
Phone number	319-273-6246
Email:	<a href="mailto:joh.westhoff@uni.edu">joh.westhoff@uni.edu</a>

Name	Christina Geweke
Title/Position	Director, Office of Business Operations
Address	Gilchrist 103
City/State/Zip	Cedar Falls, Iowa 50614
Phone number	319-273-7505
Email:	<a href="mailto:christina.geweke@uni.edu">christina.geweke@uni.edu</a>

Name	Jerry Thiel
Title/Position	Project Director
Address	Industrial Technology Center 13E
City/State/Zip	Cedar Falls, Iowa 50614
Phone number	319-273-7082
Email:	<a href="mailto:gerard.thiel@uni.edu">gerard.thiel@uni.edu</a>

Name	Paul Kinghorn
Title/Position	Project Co-Director
Address	Business & Community Services 13
City/State/Zip	Cedar Falls, Iowa 50614
Phone number	319-273-4327
Email:	<a href="mailto:paul.kinghorn@uni.edu">paul.kinghorn@uni.edu</a>

**Administration Duties**

The administrators are responsible for the development, preparation and execution of this subcontracting plan, and for monitoring performance relative to contractual subcontracting requirements contained in this plan, including, but not limited to the duties described below. Note that per Addendum 01 some of the duties noted below are, in part, performed by external partners upon which UNI relies to implement this subcontracting plan.

**Duty Description ("the company" refers to UNI)**

- 1 Developing and promoting company-wide policy initiatives that demonstrate the company’s support for awarding contracts and subcontracts to SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns; and for assuring that these concerns are included on the source lists for solicitations for products and services they are capable of providing
- 2 Developing and maintaining bidder source lists of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns from all possible sources **External**
- 3 Ensuring periodic rotation of potential subcontractors on bidder’s lists **External**
- 4 Assuring that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB businesses are included on the bidders’ list for every subcontract solicitation for products and services that they are capable of providing
- 5 Ensuring that Requests for Proposals (RFPs) are designed to permit the maximum practicable participation of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns

- 6 Reviewing subcontract solicitations to remove statements, clauses, etc., which might tend to restrict or prohibit small, 8(a), SDB, WOSB, HUBZone, VOSB and SDVOSB small business participation
- 7 Accessing various sources for the identification of SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns to include the System for Award Management (SAM.gov) local small business and minority associations, local chambers of commerce and Federal agencies' Small Business Offices
- 8 Establishing and maintaining contract and subcontract award records
- 9 Participating in Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc.
- 10 Ensuring that SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concerns are made aware of subcontracting opportunities and assisting concerns in preparing responsive bids to the company
- 11 Conducting or arranging for the conduct of training for purchasing personnel regarding the intent and impact of Section 8(d) of the Small Business Act, as amended
- 12 Monitoring the company's subcontracting program performance and making any adjustments necessary to achieve the subcontract plan goals
- 13 Preparing and submitting timely, required subcontract reports
- 14 Coordinating the company's activities during the conduct of compliance reviews by Federal agencies
- 15 Other duties

## **V. Assurances of Clause Inclusion and Flow Down**

The University of Northern Iowa agrees to include the FAR Clause 52.219-8, "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities, and will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$700,000 (\$1,500,000 for construction) to adopt a plan that complies with the requirements of the clause at 52.219-9, Small Business Subcontracting Plan

## **VI. Reporting and Cooperation**

The University of Northern Iowa agrees to:

- (a) Cooperate in any studies or surveys as may be required;
- (b) Submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan;
- (c) Submit the Individual Subcontract Report (ISR), and the Summary Subcontract Report (SSR) using the Electronic Subcontracting Reporting System (eSRS) (<http://www.esrs.gov>), following the instructions in the eSRS;
- (d) Ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using the eSRS;
- (e) Provide its prime contract number and its DUNS/EUI number and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their reports; and
- (f) Require that each subcontractor with a subcontracting plan provide the prime contract number and its own DUNS/EUI number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to its subcontractors with subcontracting plans.

Reports will be submitted within 30 days after the close of each period as indicated in the following chart:

Calendar Period	Type of Report Due	Due	Submit reports to eSRS and email to:
4/1/22 - 3/31/23	Individual Plan Report	4/30/22	NCDMM
	Individual Plan Report	10/30/22	NCDMM
4/1/23 - 8/31/23	Individual Plan Report	4/30/22	NCDMM
	Individual Plan Report	10/30/23	NCDMM (Final Project Report)

## VII. Recordkeeping

The University of Northern Iowa, in coordination with the Iowa Department of Transportation and the Iowa Economic Development Authority will maintain records concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of efforts to locate SB (including ANCs and Indian tribes), VOSB, SDVOSB, HUBZone, SDB (including ANCs and Indian tribes), and WOSB concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

- 1 Source lists (e.g., SAM.gov), guides, and other data that identify SB (including ANCs and Indian tribes), VOSB, SDVOSB, HUBZone, SDB (including ANCs and Indian tribes), and WOSB concerns.
- 2 Organizations contacted in an attempt to locate sources that are SB (including ANCs and Indian tribes), VOSB, SDVOSB, HUBZone, SDB (including ANCs and Indian tribes), and WOSB concerns
- 3 Records on each subcontract solicitation resulting in an award of more than \$250,000, indicating:
  - (a) Whether small business concerns were solicited and, if not, why not;
  - (b) Whether veteran-owned small business concerns were solicited and, if not, why not;
  - (c) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;
  - (d) Whether HUBZone small business concerns were solicited and, if not, why not;
  - (e) Whether small disadvantaged business concerns were solicited and, if not, why not;
  - (f) Whether women-owned small business concerns were solicited and, if not, why not; and
  - (g) If applicable, the reason award was not made to a small business concern.
- 4 Records of any outreach efforts to contact
  - (a) Trade associations;
  - (b) Business development organizations;
  - (c) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, and women-owned
  - (d) Veterans service organizations.
- 5 Records of internal guidance and encouragement provided to buyers through
  - (a) Workshops, seminars, training, etc.; and
  - (b) Monitoring performance to evaluate compliance with the program's requirements.
- 6 On a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor
- 7 Other records to support your compliance with the subcontracting plan:

## VIII. Statutory Requirements

- 1 Any contractor receiving a contract for more than the simplified acquisition threshold must agree in the contract that SB (including ANCs and Indian tribes), VOSB, SDVOSB, HUBZone, SDB (including ANCs and Indian tribes), and WOSB concerns will have the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.

- 2 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 SB (including ANCs and Indian tribes), VOSB, SDVOSB, HUBZone, SDB (including ANCs and Indian tribes), and WOSB concerns.
- 3 See 19.702(a)(1) for requirements that are imposed in negotiated acquisitions, and (a)(2) for requirements that are imposed in sealed bidding acquisitions.
- 4 As stated in 15 U.S.C. 637(d)(8), any contractor or subcontractor failing to comply in good faith with the requirements of the subcontracting plan is in **material breach of its contract**. Further, 15 U.S.C. 637(d)(4)(F) directs that a contractor's **failure to make a good faith effort** to comply with the requirements of the subcontracting plan shall result in the imposition of liquidated damages (see 19.702(c) and 19.705-7).

## IX. Description of Good Faith Effort

The University of Northern Iowa will take the following steps to demonstrate compliance with a good faith effort in achieving small business subcontracting goals:

**As enumerated in Iowa Administrative Code 681.7.7:**

### **7.7(4) Supply, service, and equipment contracts .**

a. Regent institutions are authorized to negotiate or obtain competitive bids from targeted small businesses on supply, service, and equipment purchase orders or contracts under conditions specified. Regent institutions may use any or all of the following procedures to encourage targeted small business participation to the maximum extent possible.

(1) Identify purchases that offer potential targeted small business participation.

(2) Identify targeted small businesses who can participate in the purchasing contract.

(3) Send proposals and invitations to bid to targeted small businesses who can participate in the purchasing contract.

b. Regent institutions shall encourage targeted small business(es) to submit bids or quotations on supply, service, and equipment solicitations.

c. Regent institutions may:

(1) Identify significant state purchasing commodities that are void of targeted small business participation.

(2) Identify targeted small businesses that have the potential to develop in these areas.

(3) Refer targeted small businesses who have potential or have expressed interest in these purchasing areas to the Iowa department of economic development.

d. Reserved.

**7.7(5) Certified targeted small businesses .** Only those targeted small businesses that have been certified by the department of economic development shall be eligible as part of the targeted small business program to participate in the regents' program. Application to participate in the regents' program may be made by completing a vendor/contractor application form available from the Iowa Department of Economic Development, Small Business Section, 200 East Grand Avenue, Des Moines, Iowa 50309, or from regent institutions.

**7.7(6) Assistance to targeted small business.** Regent institutions shall cooperate with the director of the department of economic development in the director's efforts to carry out the responsibility to develop and make available, in all areas of the state, programs to offer and deliver concentrated, in-depth advice and services to assist targeted small businesses, as set forth in 1989 Iowa Acts, chapter 315. The advice and services shall extend to all areas of business management in its practical application including, but not limited to, accounting, engineering, drafting, grant writing, obtaining financing, locating bond markets, market analysis, and projections of profit and loss.

**7.7(7) Performance standards.** Targeted small businesses shall meet the required performance standards, procurement specifications, and the purchasing procedures of regent institutions.

- a. Determination of performance capability may include consideration of some or all of the following: production capacity, financial capacity, technical competence, timely delivery and service capabilities.
- b. Reserved.

**7.7(8) Inability to perform.**

- a. When the institution determines that a targeted small business is unable to perform under a contract, the executive director of the board of regents, the regent equal opportunity compliance officer, and the director of the department of economic development shall be informed.
- b. Nothing in this rule shall prohibit the institution from pursuing remedies set forth in contractual agreements entered into between the institution and the targeted small business where the institution reasonably determines that the targeted small business is unable to perform.

**7.7(9) Reporting.** The institutions shall notify the executive director of anticipated purchasing requirements and shall provide additional information as required by statute no later than August 10 and quarterly thereafter. The board shall receive and review anticipated purchasing requirements by the institutions on a quarterly basis. The executive director shall notify the department of economic development and the department of management of anticipated purchases and recommended goals no later than August 15 of each fiscal year and quarterly thereafter.

The above requirements will be negotiated with the contracting officer prior to approval. The contracting officer must ensure per FAR 19.705-5(a)(5) that an acceptable plan is incorporated into and made a material part of the contract.

## X. Signatures

**This subcontracting plan was submitted by:**

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Signature

Typed Name: Tolif R. Hunt

Title: Director Research & Sponsored Programs, University of Northern Iowa

Date: 5/26/2022

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**Government Contracting Officer Approval by:**

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Signature

Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

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# Addendum 01

## University of Northern Iowa Small Business Subcontracting Plan (FAR 52.219-9)

**Subcontract Plan Owner:**

<b>Company:</b>	University of Northern Iowa
<b>Solicitation/RFP #:</b>	DLA Emergent III R&D BAA-0020
<b>Prime Award #</b>	SP4701-22-C-0029
<b>Pass thru Award #:</b>	PO 20220084
<b>UNI Assigned Contract #</b>	6658-24511 & 6658-21605

The University of Northern Iowa (UNI) relies on agencies and programs within the collective State of Iowa Agencies system for certain services. Achieving compliance with FAR 52.219-9 is one of these areas where UNI utilizes the resources of other state agencies for its business purposes. In reference to Section IV. Program Administration Duties of this Small Business Subcontracting Plan, where the term EXTERNAL is indicated to the right of the described duty, the duty is largely administered by an external partner. Below are the duties administered in part by external partners and Table 1 is the resource and contact list for the agency/individual responsible for the completing the duty.

Duty #	Description of how the duty is achieved
2	The Iowa Economic Development Authority (IEDA) and the Iowa Department of Transportation (IDOT) have developed and maintain bidder source lists specific to the small & disadvantaged businesses listed in the plan. UNI utilizes these two entities for these lists. UNI will also use, when appropriate, The Small Business Administration’s (SBA’s) Dynamic Small Business Search (DSBS) and when/if appropriate sam.gov
3	The Iowa Economic Development Authority (IEDA), the Iowa Department of Transportation (IDOT), and the Small Business Administration (SBA) maintain the potential subcontractors list and are responsible for the periodic rotation of potential subcontractors.

**Table 1. Resource List Used by UNI Program Administrator for the Implementation Small Business Subcontracting Plan Related to Section IV Duties of Plan**

<b>Primary Role Notes:</b>	Iowa Targeted Small Business Program (TSB)
<b>Agency/Department:</b>	Iowa Economic Development Authority
<b>Contact Name:</b>	Jill Lippincott, TSB Certification
<b>Address, City, State, Zip:</b>	1963 Bell Avenue, Suite 200, Des Moines, IA. 50315
<b>Phone:</b>	515-348-6159
<b>Email:</b>	<a href="mailto:jill.lippincott@iowaeda.com">jill.lippincott@iowaeda.com</a>
<b>Website &amp; Directory:</b>	<a href="https://www.iowaeda.com/small-business/targeted-small-business/">https://www.iowaeda.com/small-business/targeted-small-business/</a>
<b>Primary Role Notes:</b>	Iowa SB, SDB, WOSB, HUBZone, VOSB and SDVOSB concern program
<b>Agency/Department:</b>	Iowa Department of Transportation
<b>Contact Name:</b>	Todd Sadler, Office Director
<b>Address, City, State, Zip:</b>	800 Lincoln Way, Ames, IA. 50010
<b>Phone:</b>	515-239-1475
<b>Email:</b>	<a href="mailto:todd.sadler@dot.iowa.gov">todd.sadler@dot.iowa.gov</a>
<b>Website &amp; Directory:</b>	<a href="https://iowadot.gov/civilrights/disadvantaged-business-enterprise-program-dbe/dbe-program">https://iowadot.gov/civilrights/disadvantaged-business-enterprise-program-dbe/dbe-program</a>