



COMMONWEALTH of VIRGINIA

University of Virginia

PO Box 400202

Charlottesville, VA 22904

FY2013 Annual SWaM Procurement Plan

Date of Submission: Mon Sep 17 16:54:14 EDT 2012

1. Agency/Institution Official Name: University of Virginia

Address: PO Box 400202, Charlottesville, VA 22904

2. Agency Code: 207

Sub-Agency Code(s): 246, 209 (Construction only)

3. Agency Head: Teresa Sullivan

Phone Number: (434) 924-3337

Email Address: cc@virginia.edu

4. Secretariat: Education

II. SWaM Goals

1. List your FY2013 SWaM expenditure goals for Small, Women- and Minority-Owned businesses as a percentage of your projected discretionary expenditures. Goals should include your projected sub-contracting expenditures if applicable. FY2012 goals were pre-filled from your FY2012 SWaM plan. FY2012 SWaM expenditures were system-generated from the SWaM Dashboard.

	MB	WB	SB
FY2012 Agency SWaM Goals	5 %	6 %	31 %
FY2012 Agency Actual Expenditures	3.03 %	8.01 %	33.13 %
FY2013 Agency Procurement Aspirational Goal	5 %	7.8%	32 %

(Percentage based on Discretionary Budget)

6. Describe the process for determining your SWaM goals and issues that have been taken into consideration for determining these goals

The University's SWaM goals are determined by examining current SWaM spend performance and by forecasting upcoming major procurements and construction projects.

III. Designation of SWaM Procurement Champion(s)

A. Purchases and Supply Division

Name: Les Haughton

Title: Director, Supplier Diversity

Mailing Address: PO Box 400202, Charlottesville, Virginia 22904

Telephone/Fax: (434) 924-7174

E-mail Address: lh7sn@virginia.edu

B. Building and/or Construction Division (if applicable)

Name: Les Haughton

Title: Director, Supplier Diversity

Mailing Address: PO Box 400202, Charlottesville, Virginia 22904

Telephone/Fax: (434) 924-7174

E-mail Address: lh7sn@virginia.edu

IV. Policies and Procedures

1. Please specify the number of procurement personnel you have on staff:

Division of Goods and Services: 14

Division of Construction: 6

2. Do you have major construction projects or purchases planned for FY2013? Yes

If so, identify the project or purchase:

1: Name of the project/purchase: Newcomb Road Chiller Plant Capacity Replacement

Type: Construction

Anticipated Posting Date: April 2013

2: Name of the project/purchase: University Hospital HVAC Phase II

Type: Construction

Anticipated Posting Date: May-June 2013

3: Name of the project/purchase: North Grounds Mechanical Plant

Type: Construction

Anticipated Posting Date: September 2012

4: Name of the project/purchase: Alderman Residence #6

Type: Construction

Anticipated Posting Date: October 2012

3. Does your Agency set aside the following solicitations for DMBE certified businesses?

Solicitations under \$5,000: No

Solicitations between \$5,000 and \$50,000: No

Solicitations between \$50,000 and \$100,000: No

If you answered, "NO" to any category, please state why those solicitations are not set-aside: The University's Guidelines for Competition (<http://www.procurement.virginia.edu/pageguidelinesforcomp>) combined with our focus on the use of contracted vendors, many of which are SWaM-certified, provide ample opportunity for SWaM vendors while allowing for flexibility due to the complex nature of a large research university's procurement needs.

4. Approximately how many solicitations did you have in FY2012 in the following categories:

Solicitations under \$5,000: 113,938

Solicitations between \$5,000 and \$50,000: 2,513

Solicitations between \$50,000 and \$100,000: 511

5. For solicitations in excess of 100,000, who is responsible for review of the Small Business Subcontracting Plans and proof of payment to the subcontractors?

Name: Lorie Strother

Title: SWaM Contract Administrator

Contact Information: (434)243-2373; ljs8n@virginia.edu

6. What method is used to track the payments to subcontractors by prime contractors? The University of Virginia will implement in FY2013 a new subcontracting monthly tracking system in which all general contractors will electronically submit payments made to subcontractors at the same time and in the same format.

7. Are proposals from prime contractors evaluated with weighted value assigned based upon the Small Business subcontracting plan submitted by the prime? Yes

8. How do you monitor the progress of the goal performance under the Small Business Subcontracting plan? At the beginning of every major project we meet with each general contractor and make suggestions on possible subcontractors who have performed well on previous projects at the University. Additionally we ask the general contractor to give the University of Virginia SWaM Contract Administrator a six month subcontractor forecast before any construction is undertaken. We will use our new electronic reporting tool to report monthly actual spend and compare it to the six month forecast to insure that the contractor is living up to the SWaM Plan that was reported in the original proposal.

9. Are meetings held with prime contractors during the project to specifically monitor the small business subcontracting plan? Yes

If yes, how often during the project? Varies according to size and complexity of the project.

10. Does the agency collect the subcontracting payment information electronically from prime contractors? Yes

If yes, how often? Quarterly and Monthly

Do you use DMBE's format to record the payments? No

Method used? Internally developed electronic reporting system

11. Does your agency counsel prime contractors regarding failure to comply with the subcontracting plan? Yes

12. Does your agency document prime contractor failure to comply with the subcontracting plan? Yes

13. Does your agency SWaM plan include measures to withhold the final payment for failure to meet the subcontracting plan? No

14. What other form of review is being conducted in reference to the small business subcontracting plan? The Director of Supplier Diversity has meetings weekly with the Facilities Management staff that handles all of the new and renovation work done at the University. The Director also meets quarterly with the Chief Facilities Officer at the University to review all construction projects. Additionally, the SWaM Contract Administrator attends a weekly "studio" where the statuses of current construction projects are reviewed.

V. Diversity Training Events

Does the Agency SWaM Champions or Procurement staff:

1. Hold open house events for small businesses? Yes

If yes, how many in FY2012? 4

2. Meet with small businesses one-on-one at your facility to discuss policies and procedures and potential business opportunities? Yes

If yes, how many in FY2012? 44

3. Conduct training events on SWaM and diversity training? Yes

If yes, how many in FY2012? 15

4. Attend small business outreach events? Yes

If yes, how many of the following in FY2012?

DMBE hosted event (Summit) 1

DGS Forum 1

Minority Supplier Diversity Council Conferences 4

DBA hosted events 0

Other, please name Central Virginia Business Owners meetups, City of Charlottesville Minority Business Council, SWaMFest VII, Blue Book General Contractor conference, ProcureCon Asia 2011, Womens Presidents Educational Organization's Annual Access Reception, Minority Business League's Greater Richmond Small Business

Expo and Matchmaker,

VI. Assessment

1. In FY2012, what has been the most time consuming part of administration of the Small Business initiative from your perspective? We have spent a great deal of time visiting the headquarters of all of the major general contractors that perform the majority of the new construction and renovation projects at the University. Additionally, we have spent time visiting the headquarters of many potential SWaM firms to determine their capabilities. We have also spent a great deal of time keeping track of subcontracting plans and spend along with making sure that all DMBE certifications were up to date.

2. In FY2012, what have been the top three reasons small businesses have not received some awards you believed they were qualified for but were not selected? 1. Not having access to or contact with local subcontractors.

2. Did not respond correctly or omitted information in response to an RFP.

3. Did not respond at all even when contacted about the opportunity by Supplier Diversity staff (too busy, didn't think they would win award, forgot to respond, etc).

3. In FY2012, what has your Agency done to improve expenditure opportunities for each of the categories represented in the small business program?

Small Business: Participated in VASCUPP's SWaMFest VII, hosted vendor trainings, hosted workshops designed to improve small business skillsets and capabilities, hosted professional services and construction forums aimed at exposing firms to decision makers at UVa, and increased vendor access to information about UVa's procurement process.

Women-owned: Participated in VASCUPP's SWaMFest VII, hosted vendor trainings, hosted workshops designed to improve small business skillsets and capabilities, hosted professional services and construction forums aimed at exposing firms to decision makers at UVa, and increased vendor access to information about UVa's procurement process.

Minorities: Participated in VASCUPP's SWaMFest VII, hosted vendor trainings, hosted workshops designed to improve small business skillsets and capabilities, hosted professional services and construction forums aimed at exposing firms to decision makers at UVa, and increased vendor access to information about UVa's procurement process.

The University has initiated a new program for local Charlottesville-based MBEs called the Charlottesville Minority Business Network. The network's mission is committed to enhancing the promotion and growth of minority-owned businesses in Charlottesville. The network meets monthly and the members share ideas and business opportunities. A network member was recently awarded a three year contract with the University.

4. In FY2012, did you contact the Department of Minority Business Enterprise for assistance with:

Initial certification: No If yes, how often?

Renewal for a firm: Yes If yes, how often? 16

Searches for businesses: No If yes, how often?

To distribute your solicitation notices No If yes, how often?

5. In FY2012, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? In FY 2012, the University of Virginia recorded a SWaM spend percentage of 44.2%. This reflects continued efforts in our core mission to be a leader in supplier diversity by developing sustainable relationships with qualified, reliable, small, women, and minority owned businesses.

6. Your comments or suggestions on ways we can improve the Small Business program: DMBE could do a better job of following up with SWaM businesses whose certifications have expired, or are about to expire. We continue to hear anecdotally from vendors that they had no idea that their certifications were expired. In FY 2012 the University of Virginia spent approximately \$2.4 million with DMBE-expired firms, which was down from \$4.8 million in FY 2011 but only due to a focused effort by UVA to re-certify firms - an effort that should be one of DMBE's primary missions. We also believe that there exists an opportunity for the state to significantly increase the Commonwealth's SWaM expenditures by aggressively identifying established firms that meet the Commonwealth's SWaM requirements but are not aware of the benefits of becoming certified. Additionally, contact information for firms continues to be out of date, which directly results in lack of opportunity for SWaM businesses. Perhaps implement an online form allowing firms to easily update their information.

7. Additional Information: N/A

Completed by: LESLIE HAUGHTON Signature:  Date: 9/19/12

Reviewed by: _____ Signature: _____ Date: _____

Agency/Institution Head

(The Plan must be reviewed, approved and signed by Agency/Institution Head)