



COMMONWEALTH of VIRGINIA

University of Virginia

PO Box 400202

Charlottesville, Va 22904

FY2014 Annual SWaM Procurement Plan

Date of Submission: Fri Sep 20 12:30:40 UTC 2013

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 FY2014 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. FY2013 goals were pre-filled from your FY2013 SWaM plan. FY2013 SWaM expenditures were system-generated from the SWaM Dashboard.

	MBE	WBE	SBE
FY2013 Agency SWaM Goals	0.0 %	0.0 %	0.0 %
FY2013 Agency Actual Expenditures	4.67 %	11.15 %	34.74 %
Total FY2014 Projected SWaM Spend Goals	6.0 %	7.0 %	32.0 %

(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:

Title:

Mailing Address:

Telephone/Fax:

E-mail Address:

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 FY2014? Yes

If so, identify the project or purchase:

1: Name of the project/purchase: Rotunda

Type: Renovation

Anticipated Posting Date: November 2012

2: Name of the project/purchase: Alderman Residence Hall

Type: New

Anticipated Posting Date: April 2013

3: Name of the project/purchase: Education Resource Center

Type: New

Anticipated Posting Date: May 2013

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

Type: Renovation

Anticipated Posting Date: February 2013

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 FY2013 in the following categories:

Solicitations under \$5,000: 111,872

Solicitations between \$5,000 and \$50,000: 4792

Solicitations between \$50,000 and \$100,000: 738

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

6. What method is used to track the payments to subcontractors by prime contractors? The University of Virginia will implement in FY 2014 a new subcontracting monthly tracking system in which all general contractors will electronically submit payments made to subcontractors 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 ask them to make suggestions on the potential subcontractors who have performed well on previous projects at the University. Additionally we ask the general contractor to give the University a six month subcontractor forecast at the start of every project. We will use our new electronic reporting tool to report actual monthly spend and compare it to the six month forecast.

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 status of current 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 FY2013? 10

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 FY2013? 48

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

If yes, how many in FY2013? 16

4. Attend small business outreach events? Yes

If yes, how many of the following in FY2013?

DMBE hosted event (Summit) 1

DGS Forum 1

Minority Supplier Diversity Council Conferences 4

DBA hosted events 0

Other, please name Charlottesville Minority Business Council, Blue Book General Contractor Conference , ProcureCon Asia 2012, SWaMFest VIII, MBL Greater Richmond Small Business Expo, Central Virginia Business Owners meetups

VI. Assessment

1. In FY2013, 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 interviewing potential new SWaM firms to determine their capabilities and also helping them to develop strategies to help them sell their goods and services to the schools and departments here at the University. We also continue to travel to the headquarters of the major construction companies to review new and upcoming projects.

2. In FY2013, 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 believe that the firm had the capability to adequately supply the goods and services

3. In FY2013, 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 VIII, hosted vendor training sessions, 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 information about UVa's procurement process.

Women-owned: Participated in VASCUPP's SWaMFest VIII, hosted vendor training sessions, 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 information about UVa's procurement process.

Minorities: Participated in VASCUPP's SWaMFest VIII, hosted vendor training sessions, 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 information about UVa's procurement. In FY2013 the university held monthly networking meetings with the Charlottesville Minority Business Network which was formed to help local Charlottesville MBE's to develop meaningful business connections throughout the university.

4. In FY2013, did you contact the Department of Minority Business Enterprise for assistance with:

Initial certification: Yes If yes, how often? 3

Renewal for a firm: Yes If yes, how often? 20

Searches for businesses: No If yes, how often?

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

5. In FY2013, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? In FY 2013, the University of Virginia recorded a SWaM spend percentage of 50.8% which was a 14.8 % increase over FY 2012. This reflects continued efforts in our 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: The Department of Minority Business Enterprise could make a bigger effort to communicate the benefits of SWaM certification to existing non-certified businesses that are currently doing business with the university and other state agencies. The Department of Minority Business Enterprise could also communicate and follow-up with firms who have Isot certification.

7. Additional Information: We are looking forward to working with new restructured state agency in FY 2014

Completed by: LESLIE HIXSON Signature: [Signature] Date: 9/23/13

Reviewed by: _____ Signature: [Signature] Date: 9/25/13

Agency/Institution Head

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