



COMMONWEALTH of VIRGINIA

University of Virginia

PO Box 400202

Charlottesville, Va 22904

FY2015 Annual SWaM Procurement Plan

Date of Submission: Thu Sep 11 18:19:16 UTC 2014

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

5. List your FY2015 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. FY2014 goals were pre-filled from your FY2014 SWaM plan. FY2014 SWaM expenditures were system-generated from the SWaM Dashboard.

	MBE	WBE	SBE
FY2014 Agency SWaM Goals	6.0 %	7.0 %	32.0 %
FY2014 Agency Actual Expenditures	3.36 %	9.08 %	27.01 %
Total FY2015 Projected SWaM Spend Goals	6.0 %	7.0 %	32.0 %

(Percentage based on Discretionary Budget)

*Please note that the new micro category for businesses with no more than 25 employees and no more than 3 million dollars in revenue will be tracked and reported in FY2015

6.If you did not meet your SWaM goals in the prior year,What step will you take this year to meet them?

We intend to insure that all expired SWaM firms that we are currently doing business with get re-certified immediately. We will reach out to firms that are not SWaM certified but would qualify and help them in the process of getting their certification.

7.Do you keep track of your SWaM spend in the following three major categories:Goods and Non Professional Services,Professional Services,and Constructions? Yes

If Yes,please provide the dollar amount spend in these categories

Dollar Spend in FY2014	SB	WB	MB
Goods and Non-Professional Services	\$68,984,333	\$22,901,135	\$8,585,926
Professional Services	\$5,837,584	\$194,362	\$275,498
Constructions	\$32,727,733	\$7,867,497	\$3,112,913

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

Name: Les Haughton

Title: Director, Suppller 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:

Goods and Services: 14

Construction: 6

2. Do you have major construction projects or purchases planned for FY2015? Yes

If so, identify the project or purchase:

1: Name of the project/purchase: Gilmer Hall/Chemistry Building

Type: Renovation

Anticipated Posting Date: 9/16/2014

2: Name of the project/purchase: Gooch Dillard Residence Hall

Type: Renovation

Anticipated Posting Date: 8/17/2014

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

Type: New

Anticipated Posting Date: 4/14/2014

4: Name of the project/purchase: University Hospital Expansion

Type: Renovation

Anticipated Posting Date: 10/08/2014

3. Do you have any professional services purchases planned for FY2015? Yes

If so, identify the project or purchase:

1: Name of the project/purchase: Library System Planning Study

Type: Renovation

Anticipated Posting Date: 7/18/2014

2: Name of the project/purchase: Historic Preservation

Type: Renovation

Anticipated Posting Date: 7/9/2014

3: Name of the project/purchase: Gooch Dillard Residence Hall

Type: Renovation

Anticipated Posting Date: 8/17/2014

4: Name of the project/purchase: Construction Engineering, Materials Testing

Type: Term

Anticipated Posting Date: 8/24/2014

4. Does your Agency set aside the following solicitations for DSBSD certified businesses?

Solicitations under \$10,000: No

Solicitations between \$10,000 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.

5. Approximately how many solicitations did you have in FY2014 in the following categories:

Solicitations under \$10,000: 114,590

Solicitations between \$10,000 and \$50,000: 1,131

Solicitations between \$50,000 and \$100,000: 297

6. 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

7. What method is used to track the payments to subcontractors by prime contractors? We currently ask all general contractors to email our SWaM Contract Administrator all payments made to SWaM subcontractors quarterly. In FY2015 we will implement a new electronic monthly subcontracting payment reporting tool which was developed by firm named e-Builder. e-Builder is a construction and design project management software company.

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

9. who monitors, reviews, audits and enforces your SWaM program goals and compliance? The Director of Supplier Diversity along with the SWaM Contract Administrator and the Supplier Diversity Business Manager monitors, reviews and enforces our SWaM program goals. We also get assistance from the Facilities Planning Construction Department Contract Administrator on all major construction projects.

10. 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 the complexity of the project

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

If yes, how often? Quarterly and Monthly

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

Method used? We use an electronic reporting system that was developed by our facilities IT department

12. What steps are taken to enforce prime contractor's non-compliance with subcontracting plans?

Who is responsible for the enforcement ?

The Director of Supplier Diversity meets quarterly with the Chief Facilities Officer to review SWaM subcontracting plans. I have meetings with the General Contractors in their office when a firm is non-compliant with their plans and establish measure to correct in the future.

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

Explain: At the end of each major renovation or new construction project we review the final SWaM subcontracting dollars with the prime contractor and make recommendations on how we could possibly improve the process in the future.

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

Explain: We have never withheld payments from prime contractors for failure to meet subcontracting plans. We do have discussion on what the prime can do to improve performance on future projects.

15. List measures taken in last 3 years to address prime contractor's non compliance with sub contracting plans? We have had on site review and training sessions with all major prime contractors to review our SWaM goals and to partner them with SWaM subcontractors who are performing at a high level.

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 FY2014? 12

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 FY2014? 53

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

If yes, how many in FY2014? 12

4. Attend small business outreach events? Yes

If yes, how many of the following in FY2014?

DSBSD 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, SWaMFest IX, MBL Greater Richmond Small Business Expo

VI. Assessment

1. In FY2014, 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 helping firms with their initial SWaM certification and with helping firms with their re-certification. We have many meetings with new firms to help them to understand how to position them to do business here at the University.

2. In FY2014, 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 a RFP

3. Did not believe the firm had the capability to adequately supply goods or services

3. In FY2014, 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 IX, hosted vendor training sessions, hosted workshops 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 IX, 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 to our procurement process.

Minorities: Participated in VASSCUPP's SWaMFest IX, 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 procurement process. In FY 2014 the University held bi-monthly network meetings with the Charlottesville Minority Business Network which was formed to help local Charlottesville MBE's develop meaningful business connections throughout the University. Additionally, we held our first National MBE day and invited 25 large multi million dollar MBE's to learn how we do business and they also presented their goods and services to various schools and departments at the University.

4. In FY2014, did you contact the Department of Minority Business Enterprise for assistance with:

Initial certification: Yes If yes, how often? 25-50 times

Renewal for a firm: Yes If yes, how often? 50-100 times

Searches for businesses: No If yes, how often?

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

5. In FY2014, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? In FY 2014 we held two major certification events here. We invited the SBSD team to our office in Charlottesville and certified or re-certified over 75 SWaM businesses.

6. Your comments or suggestions on ways we can improve the Small Business program: I believe there is a very big opportunity to explain to non-certified SWaM firms who are doing business with various state agencies the

importance of being SWaM certified. There are thousands of businesses in Virginia who are not certified who would qualify for SWaM certification but do not think it is important to do so.

7. Additional Information: The Department of Small Business and Supplier Diversity needs to make a bigger effort in communicating the certification process and the benefits to non-certified businesses who are doing business with the University and other state agencies.

Completed by: LESLIE HAUGHTON Signature: Leslie Haughton Date: 9/11/14

Reviewed by: _____ Signature: Thomas J. Lewis Date: 9/16/14

Agency/Institution Head

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