FY2016 Annual SWaM Procurement Plan

Date of Submission: Mon Sep 28 13:17:57 UTC 2015

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 FY2016 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. FY2015 goals were pre-filled from your FY2015 SWaM plan. FY2015 SWaM expenditures were system-generated from the SWaM Dashboard.

<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
<th>SBE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2015 Agency SWaM Goals</td>
<td>6.0%</td>
<td>7.0%</td>
<td>32.0%</td>
</tr>
<tr>
<td>FY2015 Agency Actual Expenditures</td>
<td>4.35%</td>
<td>10.48%</td>
<td>26.79%</td>
</tr>
<tr>
<td>Total FY2016 Projected SWaM Spend Goals</td>
<td>6.0%</td>
<td>7.0%</td>
<td>32.0%</td>
</tr>
</tbody>
</table>

(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 FY2016
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 ensure that all expired SWaM firms get re-certified immediately. We will reach out to firms that are not 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 spent in these categories:

<table>
<thead>
<tr>
<th>Category</th>
<th>SB</th>
<th>WB</th>
<th>MB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goods and Non-Professional Services</td>
<td>$36,236,027</td>
<td>$15,808,876</td>
<td>$7,506,384</td>
</tr>
<tr>
<td>Professional Services</td>
<td>$5,384,866</td>
<td>$569,778</td>
<td>$171,954</td>
</tr>
<tr>
<td>Constructions</td>
<td>$40,755,704</td>
<td>$1,3504,694</td>
<td>$5,308,154</td>
</tr>
</tbody>
</table>

III. Designation of SWaM Equity 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:
   Goods and Services: 14
   Construction: 6

2. Do you have major construction projects or purchases planned for FY2016? Yes

   If so, identify the project or purchase:

   1: Name of the project/purchase: Ray C Hunt
      Type: Renovation
      Anticipated Posting Date: July 14
   Type: Study  
   Anticipated Posting Date: October 29
3. Name of the project/purchase: McCormick Road Houses  
   Type: Renovation  
   Anticipated Posting Date: October 5
4. Name of the project/purchase: Materials Science & Engineering Building HVAC Replacement  
   Type: Renovation  
   Anticipated Posting Date: September 21

3. Do you have any professional services purchases planned for FY2016? Yes  
   If so, identify the project or purchase:
   1. Name of the project/purchase: Full Engineering Services  
      Type: Term Contracts  
      Anticipated Posting Date: October 16
   2. Name of the project/purchase: N/A  
      Type:  
      Anticipated Posting Date:
   3. Name of the project/purchase: N/A  
      Type:  
      Anticipated Posting Date:
   4. Name of the project/purchase: N/A  
      Type:  
      Anticipated Posting Date:

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://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 to respond 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 FY2015 in the following categories:
Solicitations under $10,000: 115,308
Solicitations between $10,000 and $50,000: 2,449
Solicitations between $50,000 and $100,000: 377

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 subcontractors quarterly. We plan on implementing a new electronic monthly subcontracting payment reporting tool which was developed by a firm named e-Builder. e-Builder is a construction and design 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 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 measures 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 contactor 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 discussions on what the prime can do to improve 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 FY2015? 14

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 FY2015? 62

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

   If yes, how many in FY2015? 12

4. Attend small business outreach events? Yes

   If yes, how many of the following in FY2015?

   DSBSD hosted event (Summit) 1
   DGS Forum 0
   Minority Supplier Diversity Council Conferences 1
   DBA hosted events 0

   Other, please name Charlottesville Minority Business Council, Blue Book General Contractor Conference, ProcureCon Asia, SWaMfest X, and MBL Greater Richmond Small Business Expo

VI. Assessment

1. In FY2015, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Other

   Comment on your selection above: We have spent a great deal of time helping firms with their initial SWaM certification and with their re-certification. We have had many meetings with new firms to help them to understand how to do business here at the University.
2. In FY2015, 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 FY2015, 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 X, 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 our procurement process.

Women-owned: Participated in VASCUPP's SWaMFest X, 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. Held our first national WBE day and invited 25 large multi-million dollar WBE's to learn how we do business and they also presented their goods and services to various schools and departments at the University.

Minorities: Participated in VASCUPP's SWaMFest X, hosted 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. The University held bi-monthly network meetings with local certified MBE firms.

4. In FY2015, did you contact the Department of Small Business and Supplier Diversity (DSBSD) for assistance with:

Complete the chart for all categories in terms of frequency.

<table>
<thead>
<tr>
<th>Initial certification</th>
<th>Yes</th>
<th>If yes, how often? 25-50</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renewal for a firm</td>
<td>Yes</td>
<td>If yes, how often? 50-100</td>
</tr>
<tr>
<td>Searches for businesses</td>
<td>No</td>
<td>If yes, how often?</td>
</tr>
</tbody>
</table>

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

5. How frequently does the Agency Director and Procurement Officer (or designated SWaM Champion) meet to discuss the SWaM goals, progress, challenges and support in achieving stated goals? Quarterly

6. In FY2015, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? In FY 2015 we held three major certification events here. We invited the DSBSD team to our office in Charlottesville and certified or re-certified over 75 small businesses. Additionally we invited 25 national multi-million dollar WBE's and MBE's to present their goods and services at a special event and we invited schools and departments at the university to attend.
7. 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.

8. 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: [Signature] Date: 9/25/15

Reviewed by: Teresa A. Sullivan Signature: [Signature] Date: 9/28/2015

Agency/Institution Head

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