FY2017 Annual SWaM Procurement Plan

Date of Submission:  Sun Oct 09 14:10:25 UTC 2016

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:  434 982-2347
   Email Address:  msb29@virginia.edu

4. Secretariat:  Todd Haymore

II. SWAM Goals

5. List your FY2017 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. FY2016 goals were pre-filled from your FY2016 SWaM plan. FY2016 SWaM expenditures were system-generated from the SWaM Dashboard.

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<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
<th>SBE</th>
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</thead>
<tbody>
<tr>
<td>FY2016 Agency SWaM Goals</td>
<td>6.0%</td>
<td>7.0%</td>
<td>32.0%</td>
</tr>
<tr>
<td>FY2016 Agency Actual Expenditures</td>
<td>3.07%</td>
<td>8.02%</td>
<td>28.24%</td>
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<tr>
<td>Total FY2017 Projected SWaM Spend Goals</td>
<td>6.0%</td>
<td>7.0%</td>
<td>30.0%</td>
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<td>MICRO</td>
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<td>ESO</td>
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<td>HBCU</td>
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<td>SDV</td>
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<tr>
<td>Other FY2017 Projected Spend Goals</td>
<td>N/A%</td>
<td>N/A%</td>
<td>N/A%</td>
</tr>
<tr>
<td>(Percentage based on Discretionary Budget)</td>
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</table>
6. What changes could be made to the Commonwealth SWaM Program that would assist you in meeting your goals?

The Commonwealth should allow the following 12 states/districts to participate in the SWaM program: Arkansas, California, Connecticut, Florida, Iowa, Louisiana, Minnesota, Mississippi, New Mexico, Ohio, Texas, and Washington D.C. Currently these 12 states cannot participate in the Commonwealth’s SWaM program because of non-reciprocal legislation.

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

   Name: Les Haughton
   Title: Director Supplier Diversity
   Mailing Address: Carruthers Hall, 1001 N. Emmet St, PO Box 400202
   Telephone/Fax: 434 924-7174
   E-mail Address: lh7sn@virginia.edu

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

   Name: N/A
   Title: N/A
   Mailing Address: N/A
   Telephone/Fax: N/A
   E-mail Address: N/A

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 FY2017? Yes
   If so, identify the project or purchase:
   1: Name of the project/purchase: Medical Center on Demand
      Type: Renovation
      Anticipated Posting Date: Posted: September 22, 2016
   2: Name of the project/purchase: Hospital South Parking Garage
      Type: Renovation
      Anticipated Posting Date: Posted: October 11, 2016
   3: Name of the project/purchase: International Residential College
      Type: Renovation
Anticipated Posting Date: Posted: November 1, 2016

4: Name of the project/purchase: Site Work on Demand
   Type: Renovation
   Anticipated Posting Date: Posted: October 4, 2016

3. Do you have any professional services purchases planned for FY2017? Yes
   If so, identify the project or purchase:
   1: Name of the project/purchase: Commissioning Services
      Type: Term Contract
      Anticipated Posting Date: Posted: September 11, 2016
   2: Name of the project/purchase: Landscape Framework Plan
      Type: Update
      Anticipated Posting Date: Posted: August 11, 2016
   3: Name of the project/purchase: Facility Planning & Programming
      Type: Term Contract
      Anticipated Posting Date: Posted: August 14, 2016
   4: Name of the project/purchase:
      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. Do you need additional guidance on how to implement/manage a set-aside procurement? No
   If yes, what additional guidance would be helpful?

6. 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 receive assistance from the Facilities Planning Construction Department Contract Administrator on all major construction projects.
7. Does the agency collect the subcontracting payment information manually or electronically from prime contractors?
   Yes, Electronically
   If yes, how often is subcontracting data collected? Quarterly
   Do you use DSBSD's format to record the payments? No
   If electronically collected, what system is used? Oracle
   Who are your primary vendors that report subcontract spend? All prime contractors who do business with the University of Virginia

8. What is your agency's biggest challenge with collecting and reporting subcontract spend? Currently our biggest challenge is making sure that vendors that we are currently doing business insure that they insure that their SWaM certification status is current and up to date. Additionally we spend a great deal of time helping firms getting re-certified.

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 FY2016? 16

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 FY2016? More than 50

3. Conduct training events on SWaM and diversity training? Yes
   If yes, how many in FY2016? 12

4. Attend small business outreach events? Yes
   If yes, please check those attended in FY2016?
   DSBSD hosted event (Summit) 1
   DGS Forum 0
   Minority Supplier Diversity Council Conferences 1
   DBA hosted events 0
   Other, please name SWaMfest, Blue Book General Contractor Conference, ProCureCon Asia, Charlottesville Chamber Minority Council

VI. Assessment

1. In FY2016, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Explaining SWaM regulations to SWaM firms

Comment on your selection above: In FY 2016 the University of Virginia personnel have spent a great deal of time...
explaining to firms how to become certified and also how and when to get re-certified. Additionally we have also spent a great deal of time trying to explain to firms that could be SWaM certified all the positive reasons to become certified.

2. Do you have recommendations on ways the Commonwealth could improve SWAM business participation in agency procurement opportunities? The Department of Small Business & Supplier Diversity Department could possibly hold more regional outreach sessions throughout the Commonwealth. Additionally, the VASCUPP annual SWeMfest trade event could and should be expanded to include many more state agencies.

3. In FY2016, what has your Agency done to improve expenditure opportunities for SWAM businesses? Participated in VASCUPP’s SWaMFest XI, 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 access information about our procurement process.

4. In FY2016, 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.

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

   Renewal for a firm: Yes  If yes, how often? Over 25 times

   Searches for businesses: No  If yes, how often?

   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? Monthly

6. In FY2016, what was one of your Agency’s accomplishments in the SWAM program you feel best demonstrates your agency’s efforts? In FY 2016 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 UVa schools and departments along with VASCUPP Universities to attend.

7. Your comments or suggestions on ways we can improve the SWAM program: 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. What trainings would be most helpful to you in implementing the Commonwealth SWAM Program? The Department of Small Business and Supplier Diversity could conduct quarterly webinars to instruct and train non-certified and new firms on how to get certified. Additionally they could also conduct personal outreach events throughout the state.

9. 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: **LES HAUGHTON**  Signature:  

Reviewed by:  

Date: 10/7/16

*Agency/Institution Head*

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