FY2016 Annual SWaM Procurement Plan

Date of Submission: Thu Sep 24 16:02:00 UTC 2015

1. Agency/Institution Official Name: The College of William & Mary
   Address: PO Box 8795, Williamsburg, VA 23187

2. Agency Code: 204
   Sub-Agency Code(s): 268

3. Agency Head: Taylor Reveley, III
   Phone Number: 757-221-1693
   Email Address: taylor@wm.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>FY2015 Agency SWaM Goals</th>
<th>MBE</th>
<th>WBE</th>
<th>SBE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2015 Agency Actual Expenditures</td>
<td>3.75 %</td>
<td>11.49 %</td>
<td>26.01 %</td>
</tr>
<tr>
<td>Total FY2016 Projected SWaM Spend Goals</td>
<td>4 %</td>
<td>8 %</td>
<td>30 %</td>
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</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? Although W&M did not meet all SWaM goals for FY2015, the institution has come closer to meeting our set goals than we have in the previous 3 years. We continue educate our campus, conduct vendor outreach and education and strive to hold our prime contractors more accountable to the goals set forth for projects.

7. Do you keep track of your SWaM spend in the following three major categories: Goods and Non-Professional Services, Professional Services, and Constructions? No

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

<table>
<thead>
<tr>
<th>Dollar Spend in FY2014</th>
<th>SB</th>
<th>WB</th>
<th>MB</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1000</td>
<td>2000</td>
<td>3000</td>
</tr>
</tbody>
</table>

Goods and Non-Professional Services
Professional Services
Constructions

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division
   - Name: Marra Austin
   - Title: Associate Director of Procurement Processes
   - Mailing Address: PO Box 8795, Williamsburg, VA 23187
   - Telephone/Fax: 757-221-7636
   - E-mail Address: maaustin@wm.edu

B. Building and/or Construction Division (if applicable)
   - Name: Wayne W. Boy
   - Title: Director of Facilities Planning, Design & Construction
   - Mailing Address: PO Box 8795
   - Telephone/Fax: 757-221-2263
   - E-mail Address: wboyx@wm.edu

IV. Policies and Procedures

1. Please specify the number of procurement personnel you have on staff:
   - Goods and Services: 7
   - Construction: 1.5

2. Do you have major construction projects or purchases planned for FY2016? Yes
   - If so, identify the project or purchase:
     - Name of the project/purchase: Accessibility
       - Type: Design-Bid-Build
Anticipated Posting Date: TBD (Sept - Oct)

2: Name of the project/purchase: SW Infrastructure  
   Type: CM-at-Risk  
   Anticipated Posting Date: TBD (Feb. - Mar.)

3: Name of the project/purchase: Lake Matoka Dam Spillway  
   Type: CM-at-Risk  
   Anticipated Posting Date: TBD (Apr. - May)

4: Name of the project/purchase: Hixon Experimental Learning Center  
   Type: CM-at-Risk  
   Anticipated Posting Date: TBD (Sept.)

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: Integrated Wellness Center  
      Type: CM-at-Risk  
      Anticipated Posting Date: Aug. 2015

   2: Name of the project/purchase: West Utility Plant  
      Type: CM-at-Risk  
      Anticipated Posting Date: Aug. 2015

   3: Name of the project/purchase:  
      Type:  
      Anticipated Posting Date: 

   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: As a restructured institution, William & Mary does not procure via 'set-aside' solicitation processes. As part of the institution's small purchase procedures, the Procurement office is able to complete a direct award to a SWaM certified firm for procurements up to $50,000; contingent on the procurement officer deeming the pricing received as fair and
reasonable. This procedure not only streamlines processes for the institution, it also provides SWaM businesses an opportunity to create business relations with W&M through a SWaM award opportunity they may have not otherwise received, without the additional administrative expense and time of responding to a solicitation.

5. Approximately how many solicitations did you have in FY2015 in the following categories:
   - Solicitations under $10,000: 335
   - Solicitations between $10,000 and $50,000: 325
   - Solicitations between $50,000 and $100,000: 37

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: Assigned Project Managers
   - Title: Project Managers
   - Contact Information: contact Wayne Boy for specific contacts

7. What method is used to track the payments to subcontractors by prime contractors? excel spreadsheets

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 SWaM champion for the Division and Project Manager

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? SWaM progress reports towards aspirational goals are monitored as part of the monthly invoicing review.

11. Does the agency collect the subcontracting payment information electronically from prime contractors? Yes
   
   If yes, how often? Monthly

   Do you use DSBSD's format to record the payments? No
   
   Method used? Proposed and Monthly SWaM reports

12. What steps are taken to enforce prime contractor's non-compliance with subcontracting plans?
   
   Who is responsible for the enforcement?
   
   Face to face discussions with Project Teams to create a viable plan, Monitor execution which should roughly track with construction progress and consideration of performance during future project CM selections.

   People responsible for enforcement are Director, Project Manager and Project Documents Manager

13. Does your agency document prime contractor failure to comply with the subcontracting plan? No
   
   Explain: No separate report. Compliance with aspirational goals recorded on progressive monthly reports.
14. Does your agency SWaM plan include measures to withhold the final payment for failure to meet the subcontracting plan? No

Explain: No contract mechanism to enforce aspirational goals.

15. List measures taken in last 3 years to address prime contractor’s non compliance with sub contracting plans? None

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? 1

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? multiple - on-going

3. Conduct training events on SWaM and diversity training? Yes
   If yes, how many in FY2015? SWaM training is included in all procurement trainings which are held monthly

4. Attend small business outreach events? Yes
   If yes, how many of the following in FY2015?
   - DSBSD hosted event (Summit) 0
   - DGS Forum 0
   - Minority Supplier Diversity Council Conferences 0
   - DBA hosted events 0
   Other, please name SWaMfest, VACC, VAGP, SDAI, W&M SWaM Fair, UVA MBE Expo

VI. Assessment

1. In FY2015, what has been the most time consuming part of administration of the Small Business initiative from your perspective? The certification and re-certification process continues to be a very time-consuming part of our institution's supplier diversity program. Working with vendors to conduct outreach regarding the benefits of the SWaM program takes time and follow up alone. Ensuring the vendor understands the benefits and potential business opportunities it can provide and that the administrative time and information needed to submit takes time in itself. The submittal and review process once we are able to convey to the vendors of the benefits tends to be overwhelming and lengthy. To ensure follow through, W&M takes quite a bit of time working with both SBSD and the vendor to ensure communication on what is needed is relayed and that the vendor continues to follow through with the additional needed information. Out of state certifications are even more time intensive and can be very frustrating to vendors - the percentage of return getting out of state diverse businesses certified in Virginia is extremely low for
our institution. One success story of getting a Brooklyn based minority firm certified in VA took over 7 months.

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? W&M makes every opportunity to utilize SWaM businesses whenever possible. Several years ago, W&M’s Facilities Planning, Design and Construction team created a SWaM pre-qualified pool for construction management projects estimated to be up to a certain dollar threshold. The SWaM qualified pool is solicited for quotes/proposals. This program allows for W&M to work with SWaM contractors for complex projects and allows them to familiarize themselves with our campus for future responses to solicitations as well.

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: W&M hosted our second supplier diversity fair on campus. This year yielded 45 SWaM exhibitors and over 160 attendees. W&M recruited employees from 10 other state agencies and localities to attend the event to make the event as worthwhile as possible for the exhibitors. Being an institution with delegated authority for departments on campus, these types of events provide a tremendous opportunity for SWaM businesses to network and create business relations with the departments.

   Women-owned: In addition to the campus supplier diversity event described above, W&M works diligently to facilitate introductions with WBE firms and departments that we feel may benefit from the company’s services/goods they provide.

   Minorities: In addition to the campus supplier diversity event described above, W&M works diligently to facilitate introductions with MBE firms and departments that we feel may benefit from the company’s services/goods they provide.

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

   Initial certification: Yes If yes, how often? 20+
   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 FY2015, what was one of your Agency’s accomplishments in the Small Business program you feel best demonstrates your agency’s efforts? Increasing our SWaM utilization by 6.95% from FY2014 to FY2015 is W&M’s biggest accomplishment. For the past several years W&M hovered in the low to mid 30% utilization, so to finally have a utilization over 40% is a significant accomplishment.

6. Your comments or suggestions on ways we can improve the Small Business program: Efficiencies in the certification & re-certification process:
1. allowing for electronic submittals of supporting documents

2. re-vamping the database to allow for electronic changes when re-certifying instead of having to print out and make changes to information included in initial certification.

3. review of the reciprocity agreement - losing quite a bit of SWaM suppliers due to the state the supplier is headquartered.

4. re-assess out of state certification processes - can be extremely difficult for SWaM businesses to certify based on the requirements from both states

7. Additional Information: W&M is looking forward to enhancing our partnership with DSBSD and appreciate all the assistance SBSD has provided for our Supplier Diversity events outreach, and certification and re-certification assistance.

Completed by: [Signature] Date: 9/24/15

Reviewed by: [Signature] Date: 10/5/2015

Agency/Institution Head

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