FY2017 Annual SWaM Procurement Plan

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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 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.

<table>
<thead>
<tr>
<th>FY2016 Agency SWaM Goals</th>
<th>MDE</th>
<th>WDE</th>
<th>SBE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>4 %</td>
<td>8 %</td>
<td>30 %</td>
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<table>
<thead>
<tr>
<th>FY2016 Agency Actual Expenditures</th>
<th>MDE</th>
<th>WDE</th>
<th>SBE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>6.01 %</td>
<td>12.43 %</td>
<td>27.25 %</td>
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</tbody>
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Total FY2017 Projected SWaM Spend Goals

<table>
<thead>
<tr>
<th>Other FY2017 Projected Spend Goals</th>
<th>MICRO</th>
<th>ESO</th>
<th>HBCU</th>
<th>SDV</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>na %</td>
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(Percentage based on Discretionary Budget)
6. What changes could be made to the Commonwealth SWAM Program that would assist you in meeting your goals?

William & Mary would like to see a more streamlined process for certifying and recertifying SWaM firms. Because of SBSD’s backlog, existing SWaM businesses are experiencing a significant delay in the process which impedes progress and shared benefit from the institution, SBSD and the vendor. W&M would also like to see a more streamlined certification process for independent contractors (IC)/sole proprietors.

It would be tremendously helpful to provide a less intensive certification process to encourage certification in that business entity type. The current requirements for a business that may work with our institution on a semi routine basis and only really contract with W&M doesn’t provide enough validity for W&M to conduct outreach to try and get them to certify. However, aggregated spend with ICs is substantial and many times the IC’s are also minorities and women.

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

Name: Marra Austin
Title: Associate Director, Procurement Processes
Mailing Address: PO Box 8795, Williamsburg, VA 23187
Telephone/Fax: 757-221-7636
E-mail Address: maauustin@wm.edu

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

Name: Carla Franson
Title: Contract Documents Manager
Mailing Address: PO Box 8795, Williamsburg, VA 23187
Telephone/Fax: 757-221-2473
E-mail Address: cnfranson@wm.edu

IV. Policies and Procedures

1. Please specify the number of procurement personnel you have on staff:
   
   Goods and Services: 7
   Construction: 2

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: Landrum Hall Renovations
      Type: CM at Risk
Anticipated Posting Date: 11/15/2016

2: Name of the project/purchase: Fine & Performing Arts Phases 1 & 2
   Type: CM at Risk
   Anticipated Posting Date: 11/30/2016

3: Name of the project/purchase: West Campus Utility Plant
   Type: CM at Risk
   Anticipated Posting Date: 12/15/2016

4: Name of the project/purchase: Blow Hall IT Center Improvements
   Type: Design Bid Build
   Anticipated Posting Date: 3/15/2017

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: Lake Matoka Dam Spillway
      Type: TBD
      Anticipated Posting Date: TBD

   2: Name of the project/purchase: Muscarelle Museum Addition/Renovations
      Type: Study only at Toll Point
      Anticipated Posting Date: TBD

   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: W&M makes every attempt to utilize a SWaM business for our procurement needs. While we do not expressly set aside solicitations, we have latitude within our small purchase procedures that allow us to procure goods and services to a SBSD certified SWaM business up to $50,000 when the pricing is determined to be fair and reasonable. We also encourage the use
of SWaM businesses for delegated authority purchases (up to $5,000) across campus and have currently identified strategic sources that are SWaM businesses where use of those businesses is highly encouraged.

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? For goods/services, Marm Austin monitors and reviews the SWaM goals and subcontracting compliance. For construction, Carla Franson works in tandem with the director of Facilities Planning, Design and Construction, Wayne Boy.

7. Does the agency collect the subcontracting payment information manually or electronically from prime contractors? Yes, Manually
   If yes, how often is subcontracting data collected? Monthly
   Do you use DSBSD's format to record the payments? No
   If electronically collected, what system is used? NA
   Who are your primary vendors that report subcontract spend? Barton Malow, BCWH, Gilbane, VMDO, Whiting Turner, EYP, RMF, Clancy & Theys, Matt Burton, Einhorn Yaffee Prescott, Clark Nexsen, Glave & Holmes, Sodexo

8. What is your agency's biggest challenge with collecting and reporting subcontract spend? Getting SWaM certifications and re-certifications completed timely. Many times the prime contractors are not aware that the certification has lapsed until we reach out to them but the work has already been performed. Being unable to include that spend is a frustration because while we can agree that it is important for the subcontractor to be cognizant of when their certification is due to expire, re-implementing the capability for SBSD to send email reminders 90 days prior would be helpful. Also, allowing for an earlier re-certification of 120 days given the current back up with SBSD. This update would prove helpful to all interested parties and would allow the agencies to reach out to the vendors and assist with notifying them of their need to take action in order to maintain their SWaM status.

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? 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 FY2016? numerous - as needed throughout the year

3. Conduct training events on SWaM and diversity training? Yes
   If yes, how many in FY2016? 1

4. Attend small business outreach events? Yes
If yes, please check those attended in FY2016?

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

Other, please name W&M Supplier Diversity Fair, SWaMfest

VI. Assessment

1. In FY2016, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Finding SWaM firms that are interested

Comment on your selection above: Many potential SWaM businesses we work with are hesitant to complete all the paperwork and submit the supporting documentation unless we can easily correlate immediate value in it. If there was a process that allowed for a streamlined submittal and provided additional incentives, such as lowering the eVA transaction fee percentage from 1% to 1/2% for SBSD certified SWaMs, the businesses may be more inclined to make the certification submittal a priority.

2. Do you have recommendations on ways the Commonwealth could improve SWAM business participation in agency procurement opportunities? As mentioned above, working with eVA to see if they would be willing to lower the eVA transaction fee percentage instead of the transaction fee cap for eVA orders to SWaM businesses. The majority of SWaM businesses that do direct business with state agencies are within the $50,000 or less orders so the eVA transaction fee cap does not properly incentivize SWaM businesses to move forward with obtaining/maintaining the certification.

3. In FY2016, what has your Agency done to improve expenditure opportunities for SWAM businesses?

W&M diligently works to facilitate opportunities with SWaM businesses and departments across campus. When we feel that the SWaM would be a potential fit for a department’s needs, we will work to try and set up a meeting with procurement, the vendor and the department to facilitate the introductions and potential opportunities. W&M also recently went live with a landing page on the procurement website for a central access point for end users to search for businesses that are identified as having existing contracts and are identified as strategic sources. We have listed which vendors on that page are SWaM firms and promote those sources whenever possible. We have also successfully led a specific training for supplier diversity to the campus community and are looking to submit an online training as part of a pre-requisite for receiving fiscal authority (eVA and Small Purchase Charge Card access). W&M also reached out to the Williamsburg Chamber of Commerce and were approved to lead a training session on the value of obtaining and maintaining a SWaM certification.

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? numerous
Renewal for a firm: Yes  If yes, how often? numerous
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? W&M attended a SBSD regional update at Christopher Newport University in March and were lucky enough to meet a Micro, Minority-owned SWaM business that specializes in personnel consulting during a roundtable. We were able to work with our diversity and inclusion office to utilize the vendor’s services in leading some climate discussions with a department on campus that was identified as an area that needed additional work based on the campus-wide climate survey. This is one example of the type of networking W&M works hard to establish and maintain throughout the campus with our new and existing SWaM businesses.

7. Your comments or suggestions on ways we can improve the SWAM program: It would be helpful to engage in more substantial conversations about subcontracting opportunities within goods and services. Many vendors look at a solicitation and state, 'we perform all work in-house - there are no subcontracting opportunities'. They do not look at the vendors they utilize for janitorial services, business related catering, trash removal, etc. If we could come up with a formula to provide to the vendors that are able to validly show that they are utilizing SWaM businesses for their offices business needs and incorporate a formula to provide that standardized the usage, we may be able to see an increase and additional buy in on subcontracting plans as well as capturing that spend towards the Commonwealth's SWaM goals.

8. What trainings would be most helpful to you in implementing the Commonwealth SWAM Program? As mentioned above, trainings and networking opportunities specifically geared towards how primes are able to record and utilize subcontractors in various situations as well as methods on how to record and submit to the agencies. This training would be specifically geared towards non-construction opportunities.

9. Additional Information: While W&M will make every effort to utilize all designations of SWaM businesses, we are unable to provide quantifiable goal for use of micro, SDV, ESO or HBCU as we are looking to use this year to establish a baseline after identifying those businesses and institutions that are certified under these categories.

Completed by: Marna Austin  Signature: Marna Austin  Date: 10/17/16
Reviewed by: Samuel F. Jones  Signature: Samuel F. Jones  Date: 10/17/16

Agency/Institution Head