FY2015 Annual SWaM Procurement Plan

Date of Submission: Mon Sep 29 20:52:53 UTC 2014

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

2. Agency Code: 204
   Sub-Agency Code(s): 268 - Virginia Institute of Marine Science

3. Agency Head: W. Taylor Reveley, III
   Phone Number: 757-221-1693
   Email Address: taylorcr@wm.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.

<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
<th>SBE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2014 Agency SWaM Goals</td>
<td>4%</td>
<td>6%</td>
<td>30%</td>
</tr>
<tr>
<td>FY2014 Agency Actual Expenditures</td>
<td>3.03%</td>
<td>8.58%</td>
<td>22.73%</td>
</tr>
<tr>
<td>Total FY2015 Projected SWaM Spend Goals</td>
<td>4%</td>
<td>8%</td>
<td>30%</td>
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(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?

   The College of William and Mary has focused on education of end users on campus. We will continue to educate departments on what supplier diversity means and its importance to the College and the Commonwealth. We will also continue our outreach and vendor education efforts as well as attendance at supplier diversity events to network with new SWaM vendors and other institutions and agencies to learn best practices.

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 spent in these categories

   Dollar Spend in FY2014          SB          WB          MB

   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, Procurement Processes; Supplier Diversity Advocate

   Mailing Address: PO Box 8795

   Telephone/Fax: 757-221-7636

   E-mail Address: maaustin@wm.edu

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

   Name: Wayne Boy

   Title: Director of Facilities, Planning, Design and Construction

   Mailing Address: PO Box 8795

   Telephone/Fax: 757-221-2263

   E-mail Address: wboy@wm.edu

IV. Policies and Procedures

1. Please specify the number of procurement personnel you have on staff:

   Goods and Services: 4

   Construction: 1

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: Accessibility Improvements - Walks/Ramps
Type: Design-Bid-Build
Anticipated Posting Date: TBD (est Dec - Jan)

2. Name of the project/purchase: Accessibility Improvements - Adair Elevator
   Type: CM-at-Risk Construction
   Anticipated Posting Date: TBD (est Jan - Feb)

3. Name of the project/purchase: Stormwater Infrastructure
   Type: CM-at-Risk Construction
   Anticipated Posting Date: TBD (est Feb - Mar)

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

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: Professional Architect/Engineer Services
      Type: Request for Proposals
      Anticipated Posting Date: Eight (8) selections in June '14.

   2. Name of the project/purchase: Geotechnical/Construction Testing Services
      Type: Request for Proposals
      Anticipated Posting Date: Proposals due Sept 18th.

   3. Name of the project/purchase: Structural Design, Analysis & Spec Inspection Svcs
      Type: Request for Proposals
      Anticipated Posting Date: Nov '14

   4. Name of the project/purchase: Non-Professional Elevator Evaluation/Design Svcs
      Type: Request for Proposals
      Anticipated Posting Date: Dec '14

4. Does your Agency set aside the following solicitations for DCSBD certified bwincooco?
   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, the College does not utilize the 'set-aside' solicitation process. In an effort to increase utilization of SWaM firms, the Procurement office increased the threshold of a direct award to a SWaM certified firm from $30,000 to
$50,000. If the procurement officer feels pricing received is fair and reasonable, an award may be made to a SBSD certified SWaM firm for procurements up to $50,000. This new policy provided for fourteen (14) SWaM awards and contributed to over $500,000 in awards to SWaM businesses in FY2014. William and Mary also encourages all end users with procurement delegation to utilize SWAM businesses for their purchases whenever possible.

5. Approximately how many solicitations did you have in FY2014 in the following categories:
   - Solicitations under $10,000: 19,575 (POs)
   - Solicitations between $10,000 and $50,000: 700 (POs)
   - Solicitations between $50,000 and $100,000: 85 (POs)

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: Merra Austin
   - Title: Associate Director, Procurement Processes
   - Contact Information: maaustin@wm.edu; 757-221-7636

7. What method is used to track the payments to subcontractors by prime contractors? Each month, prime contractors are required to submit their subcontracting reports to show the payments made to their subcontractors. The minimum information the primes must provide on these reports are: the name of the subcontractor, the amount the subcontractor was paid for the timeframe specified, the type of DSBSD certification.

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

9. Who monitors, reviews, audits and enforces your SWaM program goals and compliance? Individual project managers are responsible to monitor and enforce SWAM program goals.

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? during monthly invoice reviews

11. Does the agency collect the subcontracting payment information electronically from prime contractors? Yes
     - If yes, how often? upon receipt of monthly invoices
     - Do you use DSBSD's format to record the payments? No
     - Method used? Excel Spreadsheet

12. What steps are taken to enforce prime contractor's non-compliance with subcontracting plans? Who is responsible for the enforcement?
     - Project Managers have increased the level of oversight intensity to ensure compliance. A recently appointed SWaM champion for the Facilities Planning, Design and Construction will also assist to ensure prime contractors are
meeting/exceeding their SWaM subcontracting goals.

13. Does your agency document prime contractor failure to comply with the subcontracting plan? No

Explain: No - We generally achieve or exceed goals. As stated above, the new designee will assist the project managers with ensuring W&M is keeping the prime contractors on track throughout the project.

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

Explain: No, consistent failure to achieve may be penalized by non-selection for future work.

15. List measures taken in last 3 years to address prime contractor's non-compliance with subcontracting plans? No such action has been required or taken within the last three years.

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? 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 FY2014? many

3. Conduct training events on SWaM and diversity training? No
   If yes, how many in FY2014? Although no specific training for supplier diversity, supplier diversity is included in all procurement trainings

4. Attend small business outreach events? Yes
   If yes, how many of the following in FY2014?
   DSBSD hosted event (Summit) n/a
   DGS Forum no
   Minority Supplier Diversity Council Conferences no
   DBA hosted events no
   Other, please name ProcureCon, SWaMFest, Supplier Diversity Advocate Institute, W&M SWaM Vendor Fair.

UVA MBE Expo

VI. Assessment

1. In FY2014, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Education of the Commonwealth's Supplier Diversity program to potential SWaM's that W&M already does business takes quite a bit of administrative time. Once the vendor understands the program and how it may provide them additional opportunities, the review and approval of the certification can be delayed. Many times
we are able to expedite the submission process with the vendor when there is an open or pending procurement. During these instances, it is imperative to have a streamlined review process and clear and concise communication to the applicant should additional information be needed. Also, allowing for a more streamlined submittal process with all supporting documentation uploaded and included in the initial application would be beneficial for the vendor.

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? W&M makes every effort to provide opportunities to SWaM businesses. Our recent on-demand skilled trades RFP will provide opportunities to bid on future projects to over 35 SWaM businesses, many who will be awarded multiple trades. We believe this contract will not only streamline the procurement process for our Facilities Management department, but will also provide additional opportunities to SWaM businesses.

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: W&M hosted our first supplier diversity vendor fair this past Spring. We had over 30 SWaM businesses from all three designations providing a wide range of commodities. The vendors met with over 130 W&M and VIMS representatives and have proven to establish and expand relationships with department all over our campuses. Vendors felt such a positive and worthwhile opportunity, they have asked and recruited other vendors to inquire about next years event and have committed to sponsor or attend the Virginia Association of State College and University Procurement Professionals, VASCUPP’s annual SWaMFest event in October, 2014.

   Women-owned: As stated in the SBE response above, the vendor fair provided an opportunity for all designations. W&M also encourages any potential SWaM business to review the WBE criteria if a woman is at minimum a partial owner of the company.

   Minorities: As stated in the SBE response above, the vendor fair provided an opportunity for all designations. W&M also encourages any potential SWaM business to review the WBE criteria if a minority is at minimum a partial owner of the company.

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

   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. In FY2014, what was one of your Agency’s accomplishments in the Small Business program you feel best demonstrates your agency’s efforts? We hope FY2014 proves to be the pivotal year for supplier diversity at the College of William & Mary. We provided campus-wide trainings for various procurement initiatives and supplier
diversity was included in all of the trainings. These trainings combined with the first supplier diversity vendor fair provided a greater awareness around campus. Departments are understanding the importance of searching and recruiting SWaM businesses for their departments' needs. W&M is also looking to provide dashboards/metrics of each department's SWaM utilization in an effort to quantify and relay information to how each area is assisting W&M in meeting its SWaM goals.

0. Your comments or suggestions on ways we can improve the Small Business program: Reviewing and exploring options for out of state certifications. As a higher educational institution, we work with various businesses and independent contractors from out of state that meet the SWaM requirements and would qualify for the micro business certification; however they are either unable to certify because of their home state or the additional requirements of first certifying in their home state and then through Virginia's program is viewed as too much administrative burden. For example, W&M contracted with a vendor in FY14 that meet the SBE requirements but do not qualify because they are located in Washington D.C. The contract is over $1M and would have significantly contributed to W&M meeting our SBE goal for FY14 and FY15 - there are many similar examples.

7. Additional Information: W&M is looking forward to working with DSBSD as we move forward in the Commonwealth's mission to increase supplier diversity awareness, education and opportunities and show businesses that Virginia is a wonderful state to do business.

Completed by: Maria Austin Signature: Maria Austin Date: 9/29/14

Reviewed by: Maria B Martin Signature: Maria B Martin Date: 9/30/14

Agency/Institution Head

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