FY2019 Annual SWaM Procurement Plan

Date of Submission: Mon Sep 17 12:58:45 UTC 2018

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

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

3. Agency Head: Katherine Rowe
   Phone Number: 757-221-1693
   Email Address: president@wm.edu

4. Director of Procurement: Erma Baker
   Phone Number: 757-221-3954

5. Secretariat: Education

II. SWaM Goals

6. List your FY2019 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. FY2018 goals were pre-filled from your FY2018 SWaM plan. FY2018 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>FY2018 Agency SWaM Goals</td>
<td>4 %</td>
<td>9 %</td>
<td>29 %</td>
</tr>
<tr>
<td>FY2018 Agency Actual Expenditures</td>
<td>4.20 %</td>
<td>5.95 %</td>
<td>32.18 %</td>
</tr>
<tr>
<td>Total FY2019 Projected SWaM Spend Goals</td>
<td>4 %</td>
<td>7 %</td>
<td>31 %</td>
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</tbody>
</table>
Other FY2019 Projected Spend Goals  na %  na %  na %  na %

(Percentage based on Discretionary Budget. Each goal should be at least 1%)

7. What changes could be made to the Commonwealth SWaM Program that would assist you in meeting your goals?
   Utilizing the automated alert system for SWaM firms to be notified of a pending expiration an additional 30 days than
   what Small Business & Supplier Diversity's current average review timeframe. For example, if Small Business &
   Supplier Diversity averages 60 days from submittal to review and approval, the alert notification and ability for SWaM
   businesses to submit supporting documentation should be at least 90 days prior to expiration in an effort to avoid
   additional delays in re-certification.

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: John Rodriguez
   Title: W&M FPDC Procurement Manager
   Mailing Address: PO Box 8795, Williamsburg, VA 23187
   Telephone/Fax: 757-221-2201
   E-mail Address: jrodriguez01@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 FY2019? Yes
   If so, identify the project or purchase:
   1: Name of the project/purchase: Fine & Performing Arts
      Type: CM at Risk
      Anticipated Posting Date: October 2018
   2: Name of the project/purchase: Sadler Center West Addition
      Type:
Anticipated Posting Date: December 2018

3. Name of the project/purchase: Alumni House Expansion
   Type:
   Anticipated Posting Date: September 2018

4. Name of the project/purchase: CBH Replacement (VIMS)
   Type: CM at Risk
   Anticipated Posting Date: November 2018

3. Do you have any professional services purchases planned for FY2019? Yes
   If so, identify the project or purchase:
   1. Name of the project/purchase: Term Renewals
      Type: all professional services
      Anticipated Posting Date: TBD
   2. Name of the project/purchase: Green & Gold Village
      Type: AE
      Anticipated Posting Date: FY2019
   3. Name of the project/purchase: One Tribe Place
      Type: Structural Analysis
      Anticipated Posting Date: October 2018
   4. Name of the project/purchase: Nunnally/FSL (VIMS)
      Type: Feasibility Study
      Anticipated Posting Date: April 2019

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 strives to utilize SWaM businesses whenever possible for the university's procurement needs. We provide educational awareness in all procurement related trainings for those campus clients charged with purchasing their departments' goods and services about the importance of using SWaM businesses. We also host an annual supplier diversity fair for the campus community to allow our campus clients an opportunity for face to face networking with our SWaM partners.

5. Have you visited the "I'm a Buyer" page on sbsd.virginia.gov? Yes
If yes, what additional resources would be helpful on that page? Showcasing newly certified/recertified SWaM businesses would be ideal, it is always helpful for greater transparency of those newly certified businesses would be a great value add.

6. Who monitors, reviews, audits and enforces your SWaM program goals and compliance? Goods and Services: 
Marra Austin
W&M Capital Construction: Brittany Breisch
VIIM Capital Construction: Cindy Hornsby

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? When invoices submitted
Do you use DSBSD’s format to record the payments? No
If electronically collected, what system is used?
Who are your primary vendors that report subcontract spend? McKinney, Matthew Burton, Whiting Turner

8. What is your agency’s biggest challenge with collecting and reporting subcontract spend? Sometimes the prime contractor isn’t consistent on the invoicing and thus subcontracting reporting for the project. Further, because we rely on a manual submission, there are inefficiencies as well as potential inaccuracies. There also requires additional administrative time when there are inconsistencies in what the prime contractor is reporting and what the SBSD website shows for the subcontractor’s certification 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 FY2018? 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 FY2018? several

3. Conduct training events on SWaM and diversity training? Yes
   If yes, how many in FY2018? 2

4. Attend small business outreach events? Yes
   If yes, please check those attended in FY2018?
     DSBSD hosted event (Summit) 0
     DGS Forum 0
     Minority Supplier Diversity Council Conferences 0
VI. Assessment

1. In FY2018, 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: While W&M utilizes quite a bit of SWaM firms for our institution’s needs, there are many local, eligible businesses that are indifferent or unwilling to provide the documentation to become certified. Without a more definitive incentive, many businesses have a difficult time making the certification a priority.

2. Do you have recommendations on ways the Commonwealth could improve SWAM business participation in agency procurement opportunities? Businesses new to working with governmental entities struggle with learning the processes as it is quite different from the private sector. Those differences include the indirect costs, such as the administrative time to complete the applications to gain access. If there was a financial incentive for these SWaM businesses to become certified, such as lowering the eVA transaction fee percentage (say from 1% to 0.5%), instead of the lowered cap of $500 per order, there may be more instances of qualifying businesses certifying. Many SWaM businesses have orders that are less than $50,000 so the transaction fee lower cap doesn’t benefit them.

3. In FY2018, what has your Agency done to improve expenditure opportunities for SWAM businesses? William & Mary has worked diligently on subcontracting reporting with our prime contractors over the past year. Routine outreach and confirmation of subcontractors and their certifications against the prime’s anticipated goals have been a high priority and it has helped to hold all parties accountable and look for opportunities to engage with other SWaM subcontractors if circumstances change.

4. In FY2018, 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? several

   Renewal for a firm: Yes If yes, how often? several

   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? Quarterly

6. In FY2018, what was one of your Agency’s accomplishments in the SWAM program you feel best demonstrates your agency’s efforts? W&M recently awarded a cooperative contract for audio visual needs that resulted in a multiple award to 7 different SWaM certified businesses. Since contract award in March 2018, W&M has spent over $112,000 with the contracted vendors and communicated the cooperative contracts to other institutions as well.
7. Are you familiar with the legislation that impacted SBSD? Yes

If yes, do you have questions or concerns with your ability to implement those changes? A preference would have been for an opt out as opposed to an opt in for the additional certifications. Small Business & Supplier Diversity will be supporting in the SWaM database. The opt out option would have allowed businesses to be automatically included unless the business requests otherwise which would avoid a bottleneck and additional backlogs for SBSD.

8. Do you submit adjustments and subcontracting spend in the expenditure dashboard monthly? No

If no, can you explain why you are not submitting adjustments and subcontracting spend monthly? In 2010 Virginia Association of State College & University Purchasing Professionals and the Director of DMBE (Ida McPherson) agreed that those universities conducting business through the university's Enterprise Resource Planning (ERP) systems and not the state's central system would be able to provide summarized quarterly reporting.

9. What functionality would be most helpful to you in the Expenditure Dashboard? It would be helpful to have more advanced notice of what to expect in the upcoming years SWaM plan for preparation and notes to add throughout the year. Further, providing a forum for all champions through the log in portion to provide testimonies on SWaM successes and outreach for needs that potential SWaM businesses could fill would also provide tremendous value.

10. Additional Information: William & Mary looks forward to strengthening our partnership with SBSD for the upcoming year.

Completed by: Marva Austin Signature: _______ Date: 9/19/2019

Reviewed by: Samuel E. Jones Signature: _______ Date: 9/19/2019

Agency/Institution Head

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