Commonwealth of Virginia
FY2022 Annual SWaM Procurement Plan for - William & Mary

1 Agency Information

1. Agency/Institution Official Name William & Mary
   Street Address PO Box 8795
   City Williamsburg
   State VA
   Zip 23187

2. Agency Code 204

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

4. Director of Procurement Marra Austin
   Phone Number 757-221-7636

5. Secretariat Education

2 SWAM Goals

List your FY2022 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. FY2021 goals were pre-filled from your FY2021 SWaM plan. FY2021 SWaM expenditures were system-generated from the Expenditure Dashboard.
6. | **Actual vs. Goal - Spend Percentages FY2021** |
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<tr>
<td>MB</td>
<td>WB</td>
<td>Micro</td>
<td>SDV</td>
<td>SB</td>
<td>ESO</td>
<td>8A</td>
<td>EDWOSB</td>
<td>WOSB</td>
<td>FSDV</td>
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<tr>
<td>Goal</td>
<td>4.00</td>
<td>7.00</td>
<td>1.00</td>
<td>26.00</td>
<td>1.00</td>
<td>1.00</td>
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<td>Actual</td>
<td>1.48</td>
<td>3.52</td>
<td>3.86</td>
<td>0.00</td>
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| **Projected Goal - Spend Percentages FY2022** |
|---|---|---|---|---|---|---|---|---|
| MB | WB | Micro | SDV | SB | ESO | 8A | EDWOSB | WOSB |
| Goal | 1.00 | 7.00 | 4.00 | 22.00 | 1.00 | 1.00 | 1.00 | 1.00 |

7. What changes could be made to the Commonwealth SWaM Program that would assist you in meeting your goals? Moving to the electronic submittal of SWaM applications has helped streamline the submission process; however, the review process remains a challenge. Many times applicants request status updates and are told that their applications are missing information even though the applicants believe they have provided sufficient supporting documentation or information. The review process could be expedited by giving applicants additional opportunities to call and talk in real time to an SBSD representative. SBSD could provide office hours or specific times when applicants can talk to someone immediately and identify what additional information is needed to complete the application process.

3. **Designation of SWaM Equity Champion(s)**

A. Purchases and Supply Division

Name **Marra Austin**

Title **Director of Procurement**

Mailing Address **maaustin@wm.edu**

Telephone **757-221-7636**

E-mail Address **maaustin@wm.edu**

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

Name **Juan Rodriguez, W&M _ Cindy Hornsby, VIMS**

Title **FM Projects Procurement Manager**

Mailing Address **PO Box 8795**

Telephone **757-221-2201**

E-mail Address **jrodriguez01@wm.edu**
Policies and Procedures

1. Please specify the number of procurement personnel you have on staff
   Goods and Services 6
   Construction 2

2. Do you have major construction projects or purchases planned for FY2022? Yes
   Name of the project/purchase Muscarelle Museum Expansion
   Type CM at Risk
   Anticipated Posting Date 09-23-2021

3. Do you have any professional services purchases planned for FY2022? Yes
   Name of the project/purchase Term Contract Renewals for Professional Services
   Type term contracts
   Anticipated Posting Date 09-23-2021

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 terminology “set-aside” is not expressly utilized in procurements at any dollar threshold; however, W&M maximizes use of established contracts from SWaM businesses. The University has several SWaM contracts that are mandatory/strategic for campus buyers in categories such as office supplies, transportation, strategic print, Value Added Resellers and more. W&M small purchase procedures allow a fair and reasonable quote from a SWaM supplier to be accepted without additional competition.

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?
   Highlighting newly certified/re-certified SWaM businesses would be helpful. W&M is always looking for ways to encourage suppliers to the SBSBD website, certify and showing them an opportunity for marketing to state buyers would be a good motivator.
Who monitors, reviews, audits and enforces your SWaM program goals and compliance? Marra Austin: Goods and services; W&M Capital Construction: John Rodriguez; VIMS 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? **monthly for construction, quarterly for goods & services**

Do you use DSBSR’s format to record the payments? **No**

If electronically collected, what system is used? **Qualtrics for goods/services**

Who are your primary vendors that report subcontract spend? Sodexo, Pepsi, Daniel and Company, RRMM, Baskervill, Whiting Turner, Clark Nexsen, Quinn Evans Architects, America To Go, Kjellstrom & Lee, Whiting-Turner, McKinney, DPR Construction, WACO, and Henderson

8. What is your agency's biggest challenge with collecting and reporting subcontract spend? **Ensuring the subcontractors that primes anticipated using at onset of the project maintain their SWaM certification throughout the project. Many times there are delays in the subs completing, submitting and consequently receiving their SWaM recertification.**

5 Diversity Training Events

1. Hold open house events for small businesses? **Yes**

If yes, how many in FY2021? **Due to the COVID-19 pandemic, no in-person events were held for the 2021 fiscal year. Traditionally, W&M hosts an annual supplier diversity fair for departments to engage with SWaM vendors in person. For FY2022, W&M anticipates that an in-person event may not be feasible but are anticipating planning a virtual event for vendors and departments across both campuses.**

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 FY2021? **Several virtual meetings with SWaM firms for COVID response and other initiatives across campus.**

3. Conduct training events on SWaM and diversity training? **Yes**
If yes, how many in FY2021? For the annual supplier diversity events, we also provide an opportunity for vendor training by the procurement staff. This provides the SWaM vendors a better foundation on how to engage with departments and how W&M operates. Internally, W&M provides SWaM reminders and updates at our semi-annual procure to pay forum, and all procurement training includes information on Supplier Diversity.

4. Attend small business outreach events? Yes
   If yes, please list those attended in FY2021? FY2021 VASCUPP SWaM Connect, VT Supplier Diversity Expo

Assessment

1. In FY2021, 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 There are many local, eligible businesses in the area that are indifferent or unwilling to submit the documentation to become certified. The administrative process can be overwhelming for some and those businesses do not find the certification a priority. Universities also utilize many independent contractors for key projects - especially in relation to university research. By providing a streamlined application for individuals, the opportunity to certify additional and eligible SWaM vendors would increase.

2. Do you have recommendations on ways the Commonwealth could improve SWAM business participation in agency procurement opportunities? Looking for additional ways to engage diverse businesses and enveloping those diverse businesses into the Commonwealth’s SWaM program. An example: W&M’s IT department found an 8a certified firm that is owned by a “disregarded entity” as defined by the IRS; the “owners” of the company are the heads of an Alaskan Native tribe. This certainly sounds as the criteria for a minority-owned business; however, the current requirements of the Commonwealth are not able to recognize the company as a SWaM firm. Our IT department found their work to be stellar and are extremely impressed with their performance and subsequently W&M has engaged them on larger projects throughout FY2021, but unfortunately were not able to incorporate in our minority-owned utilization because the Commonwealth is unable to recognize their status.

3. In FY2021, what has your Agency done to improve expenditure opportunities for SWAM businesses? W&M has also established contracts with SWaM businesses for frequently purchased
commodities as well as a quick ship program with one of our SWaM contracted suppliers. SWaM criteria is also included in the Request for Proposals evaluation process. Further, both construction areas have committed to reinforcing the University’s goal of 50% of subcontracting on all construction contracts.

4. In FY2021, 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.

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<tr>
<th>Initial certification?</th>
<th>Yes</th>
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<td>If yes, how often?</td>
<td>multiple times</td>
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<th>Renewal for a firm?</th>
<th>Yes</th>
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<tr>
<td>If yes, how often?</td>
<td>several</td>
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<th>Searches for businesses</th>
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<td>If yes, how often?</td>
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To distribute your solicitation notices | Yes |

| If yes, how often?       | ---- |

Worked diligently with our business development and outreach director regarding the eastern shore capital construction project.

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 FY2021, what was one of your Agency’s accomplishments in the SWAM program you feel best demonstrates your agency’s efforts?

William & Mary collaborated with several SWaM partners for various COVID response needs for the university including emergency cleaning and supplies, transportation needs for students, and additional security and staffing.

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? |

William & Mary will continue to encourage and maximize SWaM utilization. W&M and VIMS construction have implemented the 50% small business subcontracting goal into their solicitation language for new capital construction projects.

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? | W&M submits SWaM reporting quarterly and it is complete when initially submitted. |
9. What functionality would be most helpful to you in the Expenditure Dashboard? It would be helpful to have more advance notice of anticipated changes to the Commonwealth’s SWaM plans for upcoming years and to be able to add notes through the year to the university’s plan.

10. Additional Information William & Mary looks forward to seeing how the university and SBSD can collaborate on opportunities for diverse businesses given the impact of the pandemic and its overall economic impact to try and sustain and enhance the supplier diversity base.

Completed by:

Signature: Marra Austin
Date: 2021-09-23

Approved by:

Signature: Katherine Rowe
Date: 2021-09-23