FY2015 Annual SWaM Procurement Plan

Date of Submission: Tue Sep 30 19:55:52 UTC 2014

1. Agency/Institution Official Name: University of Mary Washington
   Address: 1301 College Avenue, Fredericksburg, VA 22401

2. Agency Code: 215
   Sub-Agency Code(s):

3. Agency Head: Richard V. Hurley
   Phone Number: 540.654.1301
   Email Address: ebaker@umw.edu

4. Secretariat: Education: Anne Holton

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>0.0 %</td>
<td>0.0 %</td>
<td>0.0 %</td>
</tr>
<tr>
<td>FY2014 Agency Actual Expenditures</td>
<td>7.02 %</td>
<td>4.36 %</td>
<td>28.61 %</td>
</tr>
<tr>
<td>Total FY2015 Projected SWaM Spend Goals</td>
<td>4 %</td>
<td>5 %</td>
<td>33 %</td>
</tr>
</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 FY2015
6. If you did not meet your SWaM goals in the prior year, what step will you take this year to meet them?

Met FY14 goal

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>
</table>

Goods and Non-Professional Services

Professional Services

Constructions

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

Name: Erma Baker

Title: Asst. VP for Business Services & Chief Procurement Officer

Mailing Address: 1301 College Avenue

Telephone/Fax: 540.654.2043

E-mail Address: ebaker@umw.edu

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

Name: Gary Hobson

Title: Capital Outlay Manager

Mailing Address: 1301 College Avenue

Telephone/Fax: 540.654.1292

E-mail Address: ghobson@umw.edu

IV. Policies and Procedures

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

Goods and Services: 5 within Central Procurement

Construction: 1 Contract Mgr, 1 Assistant, 2 Project Mgrs/Contract Administrators

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: Jepson Science Ctr

Type: Addition / Renovation

Anticipated Posting Date: June 15 2015

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

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

4. Name of the project/purchase:
   Type:
   Anticipated Posting Date:

3. Do you have any professional services purchases planned for FY2015? No
   If so, identify the project or purchase:
   1: Name of the project/purchase:
      Type:
      Anticipated Posting Date:
   2: Name of the project/purchase:
      Type:
      Anticipated Posting Date:
   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: These categories were set-aside in FY14; however going forward UMW would like to expand the potential for MB and WB businesses and allow buying decisions to focus on the best opportunity for the University, and expansion of supplier diversity categories, while meeting overall SWaM goals.

   UMW will work to execute Executive Order 20 as information and infrastructure are available.
5. Approximately how many solicitations did you have in FY2014 in the following categories:
   Solicitations under $10,000: 9
   Solicitations between $10,000 and $50,000: 19
   Solicitations between $50,000 and $100,000: 1

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: Designated Contract Administrators
   Title: various
   Contact Information: Included within the contract administrator designation letter and requirements

7. What method is used to track the payments to subcontractors by prime contractors? For construction projects, subcontractor spend is outlined on schedule of values. For non-construction, UMW has created an online submission form for quarterly reporting by prime contractors.

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? Chief Procurement Officer, and one Buyer Specialist, who serves as assigned UMW VASCUPP Supplier Committee Member

10. Are meetings held with prime contractors during the project to specifically monitor the small business subcontracting plan? No
    If yes, how often during the project? Monthly for construction

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? Yes
    Method used? UMW uses GC Pay to collect data

12. What steps are taken to enforce prime contractor's non-compliance with subcontracting plans?
    Who is responsible for the enforcement?
    If administrative documents are not received at the end of a project, UMW is able to withhold retainage until documentation is provided. To date, there has been no problem with overall compliance, however subtle reminders have been required to meet reporting timelines for non-construction spend.

13. Does your agency document prime contractor failure to comply with the subcontracting plan? Yes
    Explain: If applicable.

14. Does your agency SWaM plan include measures to withhold the final payment for failure to meet the subcontracting plan? Yes
Explain: Language exists within the terms and conditions of each solicitation

15. List measures taken in last 3 years to address prime contractor's non compliance with sub contracting plans?

Typically vendor compliance with SWaM reporting requirements has been good.

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? 0, next one planned for Spring 2015

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? as requested

3. Conduct training events on SWaM and diversity training? Yes
   If yes, how many in FY2014? on-site training by DPS in conjunction with SBDC

4. Attend small business outreach events? Yes
   If yes, how many of the following in FY2014?
   - DSBSD hosted event (Summit) 0
   - DGS Forum yes
   - Minority Supplier Diversity Council Conferences 0
   - DBA hosted events 0
   - Other, please name UVA Event

VI. Assessment

1. In FY2014, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Delay in recertification process for vendors who face lapse in active certification, challenge in awarding contracts with pending certification status.

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? price

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: for all categories
   - created online reporting format for subcontractor spend and track subcontractor business plans within UMW Contract
Management System.

Women-owned: for all categories
improved website, worked with SBDC to support "fast track" program to get businesses help with DMBE/eVA certification and registration
created online reporting format for subcontractor spend and track subcontractor business plans within UMW Contract Management System.

Minorities: for all categories
improved website, worked with SBDC to support "fast track" program to get businesses help with DMBE/eVA certification and registration
created online reporting format for subcontractor spend and track subcontractor business plans within UMW Contract Management System.

4. In FY2014, did you contact the Department of Minority Business Enterprise for assistance with:
   Initial certification: No If yes, how often?
   Renewal for a firm: Yes If yes, how often? 5-10
   Searches for businesses: Yes If yes, how often? via DMBE website
   To distribute your solicitation notices No If yes, how often? all solicited through eVA

5. In FY2014, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? -improved web presence
   -diligence in posting future procurements
   -work with UMW Capital Outlay Mgr., to represent SWaM goals within onstruction projects
   -include SWaM activity within Business Services Annual Report which is shared with the Board of Visitors
   -Communication and awareness training to campus departmental buyer s relating to the Supplier Diversity Program -including initial training and periodic inclusion in Business Services campus eUpdate.
   UMW will attend SWaMFest in 2014

6. Your comments or suggestions on ways we can improve the Small Business program: -Prompt turnaround of vendor applications
   -Advance notification to agencies prior to expiration of DMBE certification status.

7. Additional Information: UMW is targeted to host the Supplier Diversity Advocate Institute in 2015

Completed by: [Signature] Date: [Signature] Date: 9/20/14

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