FY2016 Annual SWaM Procurement Plan

Date of Submission: Mon Sep 28 17:06:59 UTC 2015

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: rhurley@umw.edu

4. Secretariat: Education

II. SWaM Goals

5. List your FY2016 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. FY2015 goals were pre-filled from your FY2015 SWaM plan. FY2015 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>FY2015 Agency SWaM Goals</td>
<td>4 %</td>
<td>5 %</td>
<td>33 %</td>
</tr>
<tr>
<td>FY2015 Agency Actual Expenditures</td>
<td>1.43 %</td>
<td>3.96 %</td>
<td>25.04 %</td>
</tr>
<tr>
<td>Total FY2016 Projected SWaM Spend Goals</td>
<td>4 %</td>
<td>6 %</td>
<td>32 %</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 FY2016.*
6. If you did not meet your SWaM goals in the prior year, what step will you take this year to meet them?

UMW experienced a decline in construction spend as several projects reached close-out, the reduction in construction directly impacted our SWaM spend (subcontractor spend). The lull in construction will continue in FY16. In preparation for that loss of small business spend, UMW has created new reporting within our contract management system, to identify and track the active SWaM certifications and pending expiration dates to avoid any lapse of certification.

7. Do you keep track of your SWaM spend in the following three major categories: Goods and Non Professional Services, Professional Services, and Constructions? Yes

If Yes, please provide the dollar amount spent in these categories

<table>
<thead>
<tr>
<th>Dollar Spend in FY2014</th>
<th>SB</th>
<th>WB</th>
<th>MB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goods and Non-Professional Services</td>
<td>3,936,318.00</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Professional Services</td>
<td>2,334,754.00</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Constructions</td>
<td>7,038,840.00</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

Name: Erma Baker
Title: AVP & Chief Procurement Officer
Mailing Address: 1301 College Avenue, Fredericksburg VA 22401
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 Director
Mailing Address: 1301 College Avenue, Fredericksburg, VA 22401
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 Mgr., 1 Asst., 2 Project Mgrs.

2. Do you have major construction projects or purchases planned for FY2016? Yes

   If so, identify the project or purchase:
1: Name of the project/purchase: Goolrick Hall Roof Replacement
   Type: Construction
   Anticipated Posting Date: April 2016

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 FY2016? 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: UMW does not mandate that purchases be set-aside; however, the right is reserved to apply a swarm set-aside if a particular
purchase category has a supplier base that delivers ample competition among competing small businesses and when the application of a set-aside is in the best interest of the University.

5. Approximately how many solicitations did you have in FY2015 in the following categories:
   - Solicitations under $10,000: 9
   - Solicitations between $10,000 and $50,000: 8
   - Solicitations between $50,000 and $100,000: 2

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: Assigned Contract Administrators
   - Title: Various
   - Contact Information: ebaker@umw.edu

7. What method is used to track the payments to subcontractors by prime contractors? GCPay for Construction, and UMW online portal for non-construction subcontractor spend.

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? Procurement Services

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? Monthly for construction, and as-needed for non-construction

11. Does the agency collect the subcontracting payment information electronically from prime contractors? Yes
    - If yes, how often? Monthly construction/quarterly non-construction
    - Do you use DSBSD’s format to record the payments? yes
    - Method used? Dashboard

12. What steps are taken to enforce prime contractor’s non-compliance with subcontracting plans?
    - Who is responsible for the enforcement?
      - If SWaM requirements are not met, UMW is able to withhold retainage until all requirements are complete. To date, there have been no compliance problems. UMW Procurement Services department routinely must remind non-construction prime vendors about pending due dates for quarterly reporting.

13. Does your agency document prime contractor failure to comply with the subcontracting plan? No
    - Explain: UMW will document if warranted.

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

15. List measures taken in last 3 years to address prime contractor's non compliance with sub contracting plans? Not necessary, other than ongoing reminders in the event of tardy report submission.
We have faced challenges with existing certified small vendors who forget, or fail to re-certify and face extended time periods as they wait to recertify.

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 FY2015? 2  SDAI, and Employee Resource Fair
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 FY2015? multiple times
3. Conduct training events on SWaM and diversity training? Yes
   If yes, how many in FY2015? 1
4. Attend small business outreach events? Yes
   If yes, how many of the following in FY2015?
   DSBSD hosted event (Summit) 0
   DGS Forum 0
   Minority Supplier Diversity Council Conferences 0
   DBA hosted events 0
   Other, please name VASCUPP SWAMFest, SDAI

VI. Assessment

1. In FY2015, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Other
   Comment on your selection above: Capturing suppliers with lapsed certification and ushering them through the recertification process. Coordination with DSBSD or local SBDC (who have been a tremendous help) to support and expedite process.

2. In FY2015, 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, experience

3. In FY2015, what has your Agency done to improve expenditure opportunities for each of the categories represented in the small business program?
   Small Business: Published guidelines for SWaM assistance and support on the UMW Procurement Services
website. Forged partnership with SBDC to provide "fast track" response to businesses by assisting with certification and eVA registration to prepare vendors to conduct business in the Commonwealth.

Women-owned: Published guidelines for SWaM assistance and support on the UMW Procurement Services website. Forged partnership with SBDC to provide "fast track" response to businesses by assisting with certification and eVA registration to prepare vendors to conduct business in the Commonwealth.

Minorities: Published guidelines for SWaM assistance and support on the UMW Procurement Services website. Forged partnership with SBDC to provide "fast track" response to businesses by assisting with certification and eVA registration to prepare vendors to conduct business in the Commonwealth.

4. In FY2015, 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? as needed
  - Renewal for a firm: Yes If yes, how often? as needed
  - 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 FY2015, what was one of your Agency’s accomplishments in the Small Business program you feel best demonstrates your agency’s efforts? UMW was the site of the 2015 Supplier Diversity Advocate Institute Attendance at SWAMFest and engaging small businesses Application of a new mandatory small woman owned office supply contract Include SWaM activity in departmental annual report

7. Your comments or suggestions on ways we can improve the Small Business program:
- A one-stop shop for vendors to complete certification and eVA registration simultaneously
- Work with vendors to avoid lapse of certification (advance notification and assistance)
- Better centralized training for vendors
- DSBSD could promote improved proficiency in procurement by focusing on meaning dollar thresholds before mandating swam quotes
- In FY15, 95% of UMW eVA purchase transactions were below $5K, these transactions only accounted for 4% of agency spend. It is practical to identify swam impact areas and significant dollar contributions rather than require departmental buyers to take extra steps for small spend. Ex) a $50 item, that requires departmental buyers to seek out a swam vendor rather than purchasing from business next door. In some cases, the cost of the process outweighs the price of the product. The extra steps to seek out swam businesses may add the most benefit, over
$5K, or at least over $2K.

8. Additional Information: Assistance from DSBSD in the following ways would enhance efforts to strengthen and solidify swam participation:

- Simplify and expedite the process in place for a firm to become certified as a SWaM Business
- Strengthen and market the business case for firms to pursue SWaM certification
- Assist state to capture and report all subcontractor expenditures on state contracts
- Remove reciprocity restrictions and recognize qualified SWaM firms in all states
- Revisit definition of discretionary spend (remove any non-swam mandatory sources or contracts from eligibility)

Completed by: [Signature] Date: 9/28/15
Reviewed by: [Signature] Date: 9/28/15
Agency/Institution Head

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