



COMMONWEALTH of VIRGINIA

Radford University

501 Stockton St., POB 6885
Radford, VA 24142

FY2015 Annual SWaM Procurement Plan

Date of Submission: [Wed Sep 10 12:23:16 UTC 2014](#)

1. Agency/Institution Official Name: [Radford University](#)

Address: [501 Stockton St., POB 6885, Radford, VA 24142](#)

2. Agency Code: [217](#)

Sub-Agency Code(s):

3. Agency Head: [President Penelope W. Kyle](#)

Phone Number: [540-831-5401](#)

Email Address: president@radford.edu

4. Secretariat: [Secretary of 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.

	MBE	WBE	SBE
FY2014 Agency SWaM Goals	7.40 %	4.47 %	28.03 %
FY2014 Agency Actual Expenditures	6.01 %	4.44 %	32.49 %
Total FY2015 Projected SWaM Spend Goals	6.30 %	3.10 %	29.03 %

(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?

Radford University exceeded FY14 SWaM goal of 39.9% as 42.94% was achieved.

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

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: Albert S. Mah

Title: Director-Contract Administration & Supplier Diversity

Mailing Address: PO Box 6885 Radford, VA 24142

Telephone/Fax: 540-831-2470

E-mail Address: amah@radford.edu

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

Name: Chris Willis

Title: Assistant Vice President & Chief Facilities Officer

Mailing Address: PO Box 6909 Radford, VA 24142

Telephone/Fax: 540-831-7799

E-mail Address: cwillis5@radford.edu

IV. Policies and Procedures

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

Goods and Services: 11

Construction: 3

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: Intramural Fields and Indoor Batting Facility

Type: Construction

Anticipated Posting Date: Fall 2014

2: Name of the project/purchase: University Bookstore Operations & Management

Type: [Purchase](#)

Anticipated Posting Date: [Fall 2014](#)

3: Name of the project/purchase: [Whitt Hall Renovation](#)

Type: [Construction](#)

Anticipated Posting Date: [Late 2015](#)

4: Name of the project/purchase: [Natural Gas Supply Service](#)

Type: [Purchase](#)

Anticipated Posting Date: [Fall 2014](#)

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: [Architectural & Design Service-Maintenance Reserve Projects](#)

Type: [Purchase](#)

Anticipated Posting Date: [Fall 2014](#)

2: Name of the project/purchase: [Architectural & Design Service-Maintenance Reserve Projects](#)

Type: [Purchase](#)

Anticipated Posting Date: [Spring 2015](#)

3: Name of the project/purchase: [Architectural & Design Service-Maintenance Reserve Projects](#)

Type: [Purchase](#)

Anticipated Posting Date: [Summer 2015](#)

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: [The University's current procurement policy encourages departments to seek quotes from at least one SwaM vendor for solicitations under \\$5,000. For solicitations greater than \\$5,000, it is current practice to seek competitive bids including registered SWaM vendors when available. All RFPs have a weighted SWaM component which supports and provides opportunities to registered SWaM vendors. Radford University often uses eVA's Quick Quote for non-complex procurements of goods and services between \\$5,000 and \\$50,000. For goods and services that have detailed](#)

specifications, a sealed or unsealed Invitation For Bid(IFB) or Request for Proposal(RFP) is issued. Radford University posts all solicitations over \$50,000 in eVA's Virginia Business Opportunities, which uses push technology to send the information to eVA's registered vendors.

The University is attempting to be compliant with Executive Order 20 as much as practicable. Current procedures will be reviewed and updated as needed to comply with Executive Order 20. Compliance with Executive Order 20 will require DSBSD to provide additional identification and information regarding the new Micro-Business category.

5. Approximately how many solicitations did you have in FY2014 in the following categories:

Solicitations under \$10,000: Under \$5K not competed; \$5K-\$10K 245 competed at buyer's discretion

Solicitations between \$10,000 and \$50,000: 82

Solicitations between \$50,000 and \$100,000: 21

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: Albert Mah

Title: Director-Contract Administration & Supplier Diversity

Contact Information: 540-831-2470 amah@radford.edu

7. What method is used to track the payments to subcontractors by prime contractors? Prime contractors submit monthly reports in arrears to the University. In the report, the contractor is required to identify the following:

-Reporting Period

-Subcontract Identification (Name, Tax ID, SWaM Category, Dollar Spend, DMBE Certification Number)

-Summary of expenditures for the period by SWaM Category

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? Director of Contract Administration & Supplier Diversity

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? Meetings with contractors are held on a bi-monthly schedule to discuss all components of the construction project, including, but not limited to subcontracting plans.

11. Does the agency collect the subcontracting payment information electronically from prime contractors? No

If yes, how often?

Do you use DSBSD's format to record the payments? No

Method used? Internally developed form for reporting subcontractor payments.

12. What steps are taken to enforce prime contractor's non-compliance with subcontracting plans?

Who is responsible for the enforcement ?

Prime contractor's provide a monthly update of their SWaM subcontractor spend for the prior period. The payments are reviewed by the Director of Contract Administration & Supplier Diversity and used to update the quarterly SWaM report submitted by the University to DSBSD. If anomalies are noticed in SWaM spend the Office of Facilities Planning & Construction is notified to work with the contractors on a case by case basis to determine if there are any issues with the current subcontractor spend and the progression of the projected subcontractor spend.

13. Does your agency document prime contractor failure to comply with the subcontracting plan? **Yes**

Explain: Prime Contractors of major capital construction projects have met or exceeded projected SWaM goals for their subcontractor plans.

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

Explain: Language to preclude withholding of final payments for failure to meet subcontracting plans would have to be included in the solicitation. This language has not historically been included in solicitation.

Currently, the importance of the SWaM component for subcontractor plans is part of the evaluation criteria for negotiated procurements but does not include language to withhold final payments. Invitation for Bids currently do not include any SWaM provision.

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

Prime Contractors of major capital construction projects have met or exceeded projected SWaM goals for their subcontractor plans.

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**

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? **5-10**

3. Conduct training events on SWaM and diversity training? **Yes**

If yes, how many in FY2014? **SWaM and diversity training is included in the monthly eVA procurement training available to campus end users with delegated purchasing authority.**

4. Attend small business outreach events? **Yes**

If yes, how many of the following in FY2014?

DSBSD hosted event (Summit) 0

DGS Forum 2

Minority Supplier Diversity Council Conferences 0

DBA hosted events 0

Other, please name 2 SWaMfest, UVA MBE Day

VI. Assessment

1. In FY2014, what has been the most time consuming part of administration of the Small Business initiative from your perspective? *Compiling and formatting data for monthly and quarterly reporting.*
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?
 - a) *In negotiated procurement, they did not receive the highest ranking in the RFP evaluation process.*
 - b) *In Invitations for bids, they were not the lowest responsible and responsive bidder.*
 - c) *Many eligible SWaM vendors do not take the time to certify with DSBSD and/or respond to solicitation.*
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: *As previously reported, we continue to work towards greater campus awareness of the SWaM initiative through on campus training and one-on-one contact in the procurement cycle. At the departmental level, purchasers are instructed to obtain a quote from an eVA registered and DSBSD certified SWaM vendor whenever possible. Providing assistance with the SWaM certification process remains a priority at Radford University. For construction projects, we continue to work with General Contractors to promote on campus assistance with SWaM certification. We have increased the University's presence at SWaM vendor functions statewide during the past fiscal year.*

With VASCUPP hosting SWaMfest10 in Roanoke rather than Richmond, we anticipate an increased awareness of the SWaM initiative in the Southwest geographic region of the Commonwealth.

Women-owned: *As previously reported, we continue to work towards greater campus awareness of the SWaM initiative through on campus training and one-on-one contact in the procurement cycle. At the departmental level, purchasers are instructed to obtain a quote from an eVA registered and DSBSD certified SWaM vendor whenever possible. Providing assistance with the SWaM certification process remains a priority at Radford University. For construction projects, we continue to work with General Contractors to promote on campus assistance with SWaM certification. We have increased the University's presence at SWaM vendor functions statewide during the past fiscal year.*

With VASCUPP hosting SWaMfest10 in Roanoke rather than Richmond, we anticipate an increased awareness of

the SWaM initiative in the Southwest geographic region of the Commonwealth.

Minorities: As previously reported, we continue to work towards greater campus awareness of the SWaM initiative through on campus training and one-on-one contact in the procurement cycle. At the departmental level, purchasers are instructed to obtain a quote from an eVA registered and DSBSD certified SWaM vendor whenever possible. Providing assistance with the SWaM certification process remains a priority at Radford University. For construction projects, we continue to work with General Contractors to promote on campus assistance with SWaM certification. We have increased the University's presence at SWaM vendor functions statewide during the past fiscal year. With VASCUPP hosting SWaMfest10 in Roanoke rather than Richmond, we anticipate an increased awareness of the SWaM initiative in the Southwest geographic region of the Commonwealth.

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

Initial certification: **Yes** If yes, how often? **2**

Renewal for a firm: **Yes** If yes, how often? **4**

Searches for businesses: **Yes** If yes, how often? **Several times monthly**

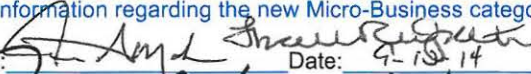
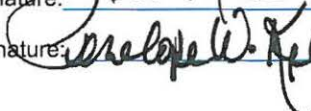
To distribute your solicitation notices **No** If yes, how often?

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 have increased our visibility at Matchmaking and Vendor events statewide. We have worked more closely with prime contractors to include SWaM subcontracting plans in their bids or proposals. We have worked with prime contractors in identifying SWaM vendors that are certified by DSBSD and are interested in becoming part of the subcontracting plan.**

We have continually worked with University departments on the importance of including SWaM vendors in the purchasing strategy. Once Micro Businesses are identified in eVA we will provide training to employees with delegated purchasing authority of the new requirements for purchases under \$10,000.

6. Your comments or suggestions on ways we can improve the Small Business program: **Continue to inform and provide relevant information to the SWaM business community and other State agencies. Also, provide assistance with defining and implementing the components outlined in Executive Order 20.**

7. Additional Information: **The University is attempting to be compliant with Executive Order 20 as much as practicable. Current procedures will be reviewed and updated as needed. Compliance with Executive Order 20 will require DSBSD to provide additional identification and information regarding the new Micro-Business category.**

Completed by: ALBERT S. MAA Signature:  Date: 9-15-14
Reviewed by: PENELOPE W. KYLES Signature:  Date: 9/11/14

Agency/Institution Head

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