

COMMONWEALTH of VIRGINIA

Radford University

501 Stockton St, PO Box 6885
Radford, VA 24142

FY2016 Annual SWaM Procurement Plan

Date of Submission: Mon Sep 28 19:38:14 UTC 2015

1. Agency/Institution Official Name: Radford University

Address: 501 Stockton St, PO Box 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 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.

	MBE	WBE	SBE
FY2015 Agency SWaM Goals	6.30 %	3.10 %	29.03 %
FY2015 Agency Actual Expenditures	5.94 %	7.69 %	36.16 %
Total FY2016 Projected SWaM Spend Goals	6.00 %	3.50 %	32.50 %

(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?

Radford University exceeded FY15 goal of 38.43% by more than 11%.

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
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Goods and Non-Professional Services

Professional Services

Constructions

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

Name: Albert

Title: Mah

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: Michael

Title: Biscotte

Mailing Address: PO Box 6909

Telephone/Fax: 540-831-7817

E-mail Address: mbiscott@radford.edu

IV. Policies and Procedures

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

Goods and Services: 11

Construction: 2

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: Whitt Hall Renovation

Type: Construction

Anticipated Posting Date: Spring 2016

2: Name of the project/purchase: Martin/Preston Hall Entry & Steps Renovation

Type: [Construction](#)

Anticipated Posting Date: [Spring 2016](#)

3: Name of the project/purchase: [Martin Hall Reroof](#)

Type: [Construction](#)

Anticipated Posting Date: [Spring 2016](#)

4: Name of the project/purchase: [Davis Hall Breezeway Repair](#)

Type: [Construction](#)

Anticipated Posting Date: [Spring 2016](#)

3. Do you have any professional services purchases planned for FY2016? [Yes](#)

If so, identify the project or purchase:

1: Name of the project/purchase: [Muse Hall Life Safety System A&E](#)

Type: [A&E Services](#)

Anticipated Posting Date: [Fall 2015](#)

2: Name of the project/purchase: [Dalton Hall HVAC Project A&E](#)

Type: [A&E Services](#)

Anticipated Posting Date: [Spring 2016](#)

3: Name of the project/purchase: [Dalton Hall Electrical Project A&E](#)

Type: [A&E Services](#)

Anticipated Posting Date: [Spring 2016](#)

4: Name of the project/purchase: [Dalton Hall Plumbing Project A&E](#)

Type: [A&E Services](#)

Anticipated Posting Date: [Spring 2016](#)

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 procedures encourage departments to seek quotes from at least one certified SWaM vendor for purchases under \\$5,000. For purchases greater than \\$5,000, current procedure is to seek competition including certified SWaM vendors when available. All RFPs include a weighted SWaM component which supports and provides opportunities for certified SWaM vendors. Radford University often uses eVA Quick Quote for non-complex procurement of goods and services under \\$50,000. All solicitations over \\$50,000 are posted in eVA's Virginia Business Opportunities, which](#)

utilizes push technology to send the information to eVA's registered vendors, including certified SWaM.

5. Approximately how many solicitations did you have in FY2015 in the following categories:

Solicitations under \$10,000: 12

Solicitations between \$10,000 and \$50,000: 23

Solicitations between \$50,000 and \$100,000: 12

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? Mr. Mah provides prime contractors a form to submit monthly, in arrears, that identifies the following:

- Reporting Period

- Subcontractor Identification (Name,FIN,SWaM Category,Dollar Spend,VSBSD 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? Radford University's Director of Contract Administration & Supplier Diversity, Mr. Albert Mah and Ms. Pamela Simpkins, the University's Director of Procurement & Contracts, hold primary responsibility and oversight of the University's SWaM initiative. Mr. Mah is tasked with the University's SWaM reporting processes including oversight of the prime contractor SWaM subcontractor reporting and assisting with vendor inquiries on SWaM programs and certifications.

Ms. Lisa Ridpath, Associate Vice President for Finance & Administration works closely with Ms. Simpkins and discusses the University's SWaM initiative as an on-going agenda item during bi-weekly meetings including the University's quarterly SWaM reporting to VDSBSD.

Mr. Richard Alvarez, Chief Financial Officer and Vice President for Finance & Administration, and Ms. Penelope Kyle, President of Radford University are also kept apprised of the University's SWaM goals and progress.

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 contractors 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 are 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 solicitations.

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? No

If yes, how many in FY2015? No open house events were held during FY15 but are being planned for FY16.

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? 5-10

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

If yes, how many in FY2015? 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 FY2015?

DSBSD hosted event (Summit) 0

DGS Forum 1

Minority Supplier Diversity Council Conferences 0

DBA hosted events 0

Other, please name SWaMFest; Access to Success: Multicultural Business Conference 2015; Supplier Diversity

Advocacy Institute

VI. Assessment

1. In FY2015, what has been the most time consuming part of administration of the Small Business initiative from your perspective?

Comment on your selection above: Compiling and formatting data for monthly and quarterly reporting.

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? a) In competitive negotiations, they do not submit adequate responses to RFPs.

b) In Invitations for Bids, they are 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 solicitations.

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: 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. Department purchasing decisions include obtaining a quote from an eVA registered and DSBSD certified SWaM vendor whenever possible. Providing assistance to vendors 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 worked to ensure a strong presence presence at SWaM functions statewide.

Women-owned: 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. Department purchasing decisions include obtaining a quote from an eVA registered and DSBSD certified SWaM vendor whenever possible. Providing assistance to vendors 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 worked to ensure a strong presence presence at SWaM functions statewide.

Minorities: 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. Department purchasing decisions include obtaining a quote from an eVA registered and DSBSD certified SWaM vendor whenever possible. Providing assistance to vendors 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 worked to ensure a strong presence presence at SWaM functions statewide.

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: **No** If yes, how often?

Renewal for a firm: **Yes** If yes, how often? **3-5 times**

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

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? **None of the Above**

6. In FY2015, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? **We increased our interaction with vendors through outreach events. We request prime contractors to use SWaM subcontractors in performance of their work. We also worked with prime contractors in identifying SWaM vendors that are certified by DSBSD that are interested in becoming part of the subcontracting plan for projects.**

We continually provide training to departments on the importance of including SWaM vendors in their purchasing decisions made within their delegated purchasing authority .

7. 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.**

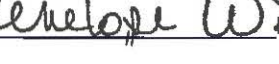
8. Additional Information: **While the University's designated SWaM Champion does not regularly meet with the University President, SWaM goals, progress and challenges are regularly discussed in bi-weekly meetings between the Associate Vice President for Finance & Administration and the Director of Procurement & Contracts.**

The Associate Vice President for Finance & Administration, in turn, meets with the Chief Financial Officer and Vice President for Finance & Administration and the University President to relay the University's SWaM progress as appropriate.

Completed by: Albert S. Mah Signature:  Date: 9-22-15

Completed by: Pamela P. Simpkins Signature:  Date: 9-28-2015

Completed by: Lisa H. Ridpath Signature:  Date: 9/28/2015

Reviewed by: Penelope W. Kyle Signature:  Date: 9/29/15

Agency/Institution Head

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