Commonwealth of Virginia

FY2020 Annual SWaM Procurement Plan for - Virginia Polytechnic Inst. and State University

1. Agency Information

1. Agency/Institution Official Name: Virginia Polytechnic Inst. and State University
   Street Address: 300 Turner Street NW
   City: Blacksburg
   State: VA
   Zip: 24061

2. Agency Code: 208

3. Agency Head: Dr. Timothy Sands
   Phone Number: 540-231-6231
   Email Address: president@vt.edu

4. Director of Procurement: Mary Helmick
   Phone Number: 540-231-7583

5. Secretariat: Education

2. SWAM Goals

List your FY2020 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. FY2019 goals were pre-filled from your FY2019 SWaM plan. FY2019 SWaM expenditures were system-generated from the SWaM Dashboard.
6. The table below shows the comparison of FY2019 Agency Goal, FY2019 Agency Actual Expenditures, and Total FY2020 Projected Spend Goal (FY2020 goals need to be larger than 1%) (Percentage based on Discretionary Budget):

<table>
<thead>
<tr>
<th>Designations</th>
<th>FY2019 Agency Goal (%)</th>
<th>FY2019 Agency Actual Expenditures (%)</th>
<th>Total FY2020 Projected Spend Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>MB</td>
<td>2.00</td>
<td>1.03</td>
<td>1.5</td>
</tr>
<tr>
<td>WB</td>
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<td>1.82</td>
<td>1.5</td>
</tr>
<tr>
<td>Micro</td>
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<td>0.00</td>
<td>1</td>
</tr>
<tr>
<td>SDV</td>
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<td>3</td>
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<tr>
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<tr>
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<tr>
<td>8DOSB</td>
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<td>0.00</td>
<td>1</td>
</tr>
<tr>
<td>FSDV</td>
<td>0.00</td>
<td>0.00</td>
<td>1</td>
</tr>
</tbody>
</table>

7. What changes could be made to the Commonwealth SWAM Program that would assist you in meeting your goals? Consider an automatic or self-certification of sole proprietorships such as caterers, consultants, grant evaluators, technical writers as well as micro businesses. Consider legislative action to amend the Code of Virginia Section 2.2-1606 (8) to allow SWaM certification in twelve restricted states and the District of Columbia that do not allow Virginia-based businesses to participate equally in their programs for Small, Women- and/or Minority-owned businesses. This is very important to Virginia Tech as we develop the Innovative Campus. Offer certification fair(s) where certification can be awarded on the spot at SWaMFest and other events. Provide online tool for prime contractors to report Tier II spend. Identify SWaM firms that have exceeded certain levels of spend with state agencies (High Performers). Advertise these for other agencies to know about. Create weighted SWaM scorecards for each state agency based on SWaM spend, outreach efforts, onboarding of new suppliers, etc. Consider regional differences in the establishment of SWaM goals.

3 Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

Name: Mary Helmick

Title: Director, Procurement
Mailing Address: 300 Turner Street NW, Suite 2100, MC0333, Blacksburg, VA 24061
Telephone: 540-231-7583
E-mail Address: mhelmick@vt.edu

B. Building and/or Construction Division (if applicable)
Name: Doug Broyles
Title: Contracts Manager, Facilities
Mailing Address: University Design & Construction, MC0129, Blacksburg, VA 24061
Telephone: 540-231-0485
E-mail Address: dbroyles@vt.edu

4 Policies and Procedures
1. Please specify the number of procurement personnel you have on staff
   Goods and Services: 10
   Construction: 3

2. Do you have major construction projects or purchases planned for FY2020? : Yes
   Name of the project/purchase: Innovation Campus Academic Building
   Type: RFP
   Anticipated Posting Date: 09-13-2019

3. Do you have any professional services purchases planned for FY2020? : Yes
   Name of the project/purchase: Design Team for Innovation Campus Academic Building
   Type: RFP
   Anticipated Posting Date: 09-13-2019

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: Virginia Tech is utilizing multiple best-practice approaches to maximize opportunities for SWaM firms. Purchases up to $10K can be purchased from a micro small or any other SWaM firm without further competition. For purchases $10K - $100K, when 3 quotes are received, we will award if the SWaM firm is within 5% of the lowest price if that lower bidder is a majority firm. Virginia Tech also emphasizes award to SWaM firms for cooperative term contracts that are available to other state agencies to purchase from as well.

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?: A resource library that contains guidelines, best practices, white papers, etc. on the development, maintenance and growth of a formal supplier diversity program.

6. Who monitors, reviews, audits and enforces your SWaM program goals and compliance?: Mary Helmick, Director of Procurement, monitors, audits and enforces SWaM program goals and compliance.

7. Does the agency collect the subcontracting payment information manually or electronically from prime contractors?: Yes, Electronically
   If yes, how often is subcontracting data collected?: With every payment request
   Do you use DSBSD’s format to record the payments?: Yes
   If electronically collected, what system is used?: GC Pay, Excel spreadsheets submitted with payment request
   Who are your primary vendors that report subcontract spend?: Construction Contractors

8. What is your agency's biggest challenge with collecting and reporting subcontract spend?: Gathering second tier spend from the primes on a regular basis.

5 Diversity Training Events

1. Hold open house events for small businesses?: Yes
   If yes, how many in FY2019?: 2
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 FY2019?: 30+

3. Conduct training events on SWaM and diversity training?: Yes
   If yes, how many in FY2019?: 1

4. Attend small business outreach events?: Yes
   If yes, please list those attended in FY2019?: 1

6 Assessment

1. In FY2019, 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: The most time consuming/demanding piece is to find SWaM firms that are interested and cost competitive with the resources to sell to and service our primary campus in Blacksburg.

2. Do you have recommendations on ways the Commonwealth could improve SWAM business participation in agency procurement opportunities?: Allow indirect Tier 2 spend and eliminate reciprocity restrictions and allow agencies to report all of the SWaM spend.

3. In FY2019, what has your Agency done to improve expenditure opportunities for SWAM businesses?: Created a SWaM search tool that campus can use to easily find SWaM businesses. Created a Supplier Diversity listserv that showcases different SWaM businesses. Created a SWaM Champion program with individual departments on campus.

4. In FY2019, 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?: 10
   Renewal for a firm?: Yes
   If yes, how often?: 15
   Searches for businesses?: Yes
   If yes, how often?: 20
   To distribute your solicitation notices?: Yes
If yes, how often?: 2

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 FY2019, what was one of your Agency’s accomplishments in the SWAM program you feel best demonstrates your agency’s efforts?: Creating the SWaM search tool for campus so they can easily find SWaM businesses.

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?: We always are willing to partner with SBSD on legislative matters if appropriate.

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?: We utilize the VASCUPP submission process.

9. What functionality would be most helpful to you in the Expenditure Dashboard?: We are concerned there may be implications in the future for large universities with our standalone financial systems. Line item reporting would be very difficult for integration to dashboard from the Banner ERP.

10. Additional Information: In regard to spend goals for the Micro, SDV, ESO, 8A, EDWOSB, and FSDV, we have entered 1% or 3% per the instructions given but will not be able to obtain these goals due to (1) lack of available firms and (2) lack of an electronic interface to our ERP’s vendor table to report these categories.

Completed by: __________________________ Signature: __________________________ Date: __________________________
Reviewed by: __________________________ Signature: __________________________ Date: __________________________

Agency/Institution Head

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