

Commonwealth of Virginia
**Guidance for Preparing Your
 Annual SWaM Procurement Plan
 FY 2006 - 2007**

Agency/Institution: Department of Aviation

Director/Agency Head/Institution President: Randall Burdette

Secretariat: Transportation Date: September 2006

*Directions: Please use this document as a guide when preparing your Annual SWaM Procurement Plan. The Plan should be placed on your agency/institution's official letterhead. Mail two copies to the Virginia Department of Minority Business Enterprise and submit one copy to your Secretary by 5:00 PM on **September 15, 2006**. Virginia Department of Minority Business Enterprise: 200-202 N. Ninth Street, 11th Floor, Richmond, Virginia 23219.*

- I. List your agency/institution's SWaM aspirational goals for Small, Women- and Minority-Owned businesses in percentages of projected discretionary expenditures. List your prime and subcontracting goals separately.

Projected Spending Goals (% of Discretionary Expenditures)	SBEs %	WBEs %	MBEs %	Total SWaM
Statewide Aspirational Goal	--	--	--	40%
FY '06 Agency SWaM Expenditures (Prime & Subcontracting)	Prime: 48.6% Sub: 0%	Prime: .9% Sub: 0%	Prime: .3% Sub: 0%	Prime: 49.9% Sub: 0%
FY '07 Construction Goals (Prime & Subcontracting)	Prime:0% Sub: 0%	Prime: 0% Sub: 0%	Prime: 0% Sub: 0%	Prime: 0% Sub: 0%
FY '07 Non-Construction Goals (Prime & Subcontracting)	Prime: 40% Sub: 5%	Prime: 5% Sub: 0%	Prime: .3% Sub: 0%	Prime: 45% Sub: 5%
FY '07 Agency/Institution's Goals of (1) Combined Construction and Non- Construction and (2) Prime and Sub	Prime total: 40% Sub total: 5%	Prime total: 5% Sub total: 0%	Prime total: .3% Sub total: 0%	Prime total: 45% Sub total: 5%

- II. **Designate your SWaM Procurement Champions. Only list a Champion for construction if your agency handles building or construction contracts.**

Purchases and Supply Division

Name: Stephanie Rowan
 Title: Senior Buyer
 Address: 5702 Gulfstream Road, Richmond, VA 23250
 Telephone: (804) 236-3628
 E-mail address: Stephanie.Rowan@doav.virginia.gov

Building and/or Construction Division

Name: Stephanie Rowan

Title: Senior Buyer

Address: 5702 Gulfstream Road, Richmond, VA 23250

Telephone: (804) 236-3628

E-mail address: Stephanie.Rowan@doav.virginia.gov

III. SWaM Plan Responsibilities, Strategies and Tactics

- A. Describe the authorities and the responsibilities of the SWaM Procurement Champion(s) in implementing and monitoring the SWaM Plan.
- Reviews requisitions and orders for compliance with SWaM Plan and other procurement policies.
 - Solicits and awards contracts in accordance with the SWaM Plan.
 - Provides training and guidance to agency staff in conducting small purchase procurements in accordance with the SWaM Plan.
 - Tracks and reports agency spending with SWaM vendors.
- B. Describe the SWaM purchasing and contracting strategies and training program designed to increase the procurement opportunities with certified SWaM vendors.
- Searches Department of Minority Business Enterprises (DMBE), eVA, Airport Minority Advisory Council (AMAC), Aviation World Directory, and other resources to identify additional SWaM vendors that may be able to provide goods or services to the agency.
 - SWaM Vendors are included in competitive and non-competitive solicitations and encouraged to certify with Department of Minority Business Enterprises (DMBE) as SWaM vendors if they have not already done so.
 - The agency maintains an open door policy in offering guidance and assistance in doing business with the state and registering in and utilizing eVA.
 - Solicitations are available to SWaM vendors through VBO/eVA and upcoming solicitations are posted on the DOAV website.
 - DOAV may include SWaM goals as qualification requirements in the terms and conditions for the award of any prime contract in excess of \$100,000 and, if so included, may reflect those goals in the requirement for a subcontracting plan prepared and submitted prior to award for goods and non-professional services and within 30 days of award for construction and professional services. For contracts in which the subcontractor plan is due prior to award, failure to submit the plan in timely fashion shall disqualify the contractor from receiving the award. For contracts in which the subcontractor plan may be submitted within 30 days after award, failure to submit the required plan in timely fashion, including any applicable cure periods, shall be cause for contract termination or other appropriate remedies (including the obligation on the part of the contractor to continue full contract performance notwithstanding the withholding of progress payments until the required plan is submitted). A Virginia-certified M/W

contractor who serves as prime contractor will receive credit for M/W subcontracting for work performed by such prime.

- Construction Contracts. If the size of construction contracts appear to limit SWAM vendors from bidding or winning such contracts, DOAV may seek to reduce the size of the contracts to increase the pool of potential SWAM bidders. If the effect of reducing the size of such contracts is to cause a meaningful increase in price, a significant degradation in terms and conditions, a significant decrease in administrative efficiency or non-compliance with applicable federal contracting requirements or funding conditions, then DOAV shall not be obligated to so reduce the contract size. In the case of construction contracts awarded to non-SWAM primes, the prime contractor shall seek to size the subcontracts so as to enable qualified SWAM subcontractors to bid effectively for such work so long as the effect of reducing the size of such subcontracts does not cause a meaningful increase in price or a significant degradation in terms, conditions or other applicable contract factors. Nothing contained in this paragraph shall require DOAV to accept contractors who do not meet applicable quality, safety and performance standards.
- For all small procurements under \$5,000, at least one M/W vendor will be solicited.
- Procurement up to \$100,000 that require solicitation of multiple vendors may be awarded to a reasonably priced SWaM Vendor that is other than the lowest priced vendor.
- Each prime contractor who wins an award in which provision of a SWaM procurement plan is a condition to the award, shall deliver to DOAV, on or before request for final payment, evidence and certification of compliance (subject only to insubstantial shortfalls and to shortfalls arising from subcontractor default) with the SWaM procurement plan. Final payment under the contract in question may be withheld until such certification is delivered and, if necessary, confirmed by the agency or institution, or other appropriate penalties may be assessed in lieu of withholding such payment.
- Small business set-aside solicitations may be conducted by DOAV as permitted by the APSPM and the Public Procurement Act.
- SWaM business participation plan(s) may be used as a weighted criteria when evaluating proposals.
- Barriers or limitations to agency SWaM participation will be identified and removed.
- Evaluation criteria that prevents qualified companies from receiving state business based on narrow definitions of prior experience will not be used.
- Future procurement opportunities will be posted on eVA website to allow businesses to prepare for the solicitations.
- A SWaM training program will be implemented for all staff with purchasing duties in the agency or institution.

- C. Describe the evaluation process by the head of the agency or institution on the SWaM procurement progress and achievement.
- The DOAV Agency Head will receive and review quarterly SWaM reports for progress to meeting the agency SWaM goals.
- D. Describe the agency/institution's SWaM vendor outreach program.

- DOAV will participate in Diversity Supplier events hosted by VDOT or Minority Business Enterprises annually by hosting a booth and providing information to vendors on procurement opportunities.
- E. Describe the procedures for buyers to encourage vendors to apply for SWaM certification.
- New vendors are contacted and encouraged to apply for SWaM certification. DOAV will refer the vendor to the DMBE website for on-line application or provide paper forms and public notarization if needed.
- F. Describe how your agency/institution plans to verify subcontracting expenditures.
- DOAV may request copies of subcontractor invoices as deemed necessary.

IV. Signatures

Completed by: _____ Signature: _____ Date: _____

Reviewed by: _____ Signature: _____ Date: _____
 Agency/Institution Head

The plan will be reviewed by DMBE. Any comments made by DMBE on your agency/institution's plan will be submitted to your Secretary for approval. An approved and signed copy of the plan will be returned to the agency head.

Approved by: _____ Signature: _____ Date: _____
 Secretary