



**VIRGINIA DEPARTMENT OF ALCOHOLIC BEVERAGE CONTROL**

2901 Hermitage Road, Richmond, VA 23220  
Phone: (804) 213-4400  
Web: www.abc.virginia.gov

# Fiscal Year 2015 Annual SWaM Procurement Plan

Date of Submission: September 18, 2014

## I. Agency Information

1. Agency Name: Department of Alcoholic Beverage Control
2. Address: 2901 Hermitage Road, Richmond, VA 23220
3. Agency Code: 999 Sub-Agency
4. Agency Head: Jeffrey Painter, Chairman
5. Phone Number: (804) 213-4404
6. Email: jeffrey.painter@abc.virginia.gov
7. Secretariat: Public Safety and Homeland Security

## II. SWaM Goals

1. 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.

Generated from the SWaM Dashboard:			
	MBE	WBE	SBE
FY2014 Agency SWaM Goals	5%	6%	29%
FY2014 Agency Actual Expenditures	11.13%	4.97%	23.93%
Total FY2015 Projected SWaM Spend Goals	8%	5%	29%
(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 in revenue will be tracked and reported in FY2015.

2. If you did not meet your SWaM goals in the prior year, what step will you take this year to meet them?

N/A. The agency met its goal of 40% in FY2014.

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

No

### **III. Designation of SWaM Equity Champions(s)**

#### **A. Purchase and Supply Division**

Name: Rhonda Amos  
Title: SWaM Coordinator  
Address: 2901 Hermitage Road, Richmond, VA 23220  
Telephone: (804) 213-4548  
Email: rhonda.amos@abc.virginia.gov

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

Name: Susan Johnson  
Title: Director, Property Management Services  
Address: 2901 Hermitage Road, Richmond, VA 23220  
Telephone: (804) 213-4550  
Email: susan.johnson@abc.virginia.gov

### **IV. Policies and Procedures**

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

Goods and Services: 5  
Construction: 2 of 5

2. Do you have major construction projects or purchases planned for FY2015?

Yes

If so, identify the project or purchase:

- A. Name of the project/purchase: Front sidewalk and handicap ramp repairs  
Type: Construction  
Anticipated Posting Date: Not known at this time
- B. Name of the project/purchase: Central office electrical replacement  
Type: Construction  
Anticipated Posting Date: Not known at this time

C. Name of the project/purchase: Central office bathrooms made ADA compliant  
Type: Construction  
Anticipated Posting Date: Not known at this time

D. Name of the project/purchase: 25,000 sq. ft. metal storage  
Type: Construction  
Anticipated Posting Date: Not known at this time

3. Do you have any professional services purchases planned for FY2015?

Yes

If so, identify the project or purchase:

A. Name of the project/purchase: Architectural and Engineering Term Contract  
Type: Services  
Anticipated Posting Date: Not known at this time

B. Name of the project/purchase: AE Professional Services  
Type: Services  
Anticipated Posting Date: April 2015, unless current contract is renewed

4. Does your agency set aside the following solicitations for DSBSD (Department of Small Business and Supplier Diversity) certified businesses?

Solicitations under \$10,000: Yes  
Solicitations between \$10,000 and \$50,000: Yes  
Solicitations between \$50,000 and \$100,000: Yes

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

Solicitations under \$10,000: 18  
Solicitations between \$10,000 and \$50,000: 30  
Solicitations between \$50,000 and \$100,000: 5

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: Debra Corley  
Title: Director of Procurement and Support Services  
Contact Information: [debra.corley@abc.virginia.gov](mailto:debra.corley@abc.virginia.gov)

7. What method is used to track the payments to subcontractors by prime contractors?

We receive reports from external agencies (i.e. VITA) that capture subcontracting data submitted by the prime contractors.

8. Are proposals from prime contractors evaluated with weighted value assigned based upon the Small Business subcontracting plan submitted by the prime contractors?

Yes

9. Who monitors, reviews, audits and enforces your SWaM program goals and compliance?

Director of Procurement and Support Services Debra Corley and SWaM Coordinator Rhonda Amos

10. Are meetings held with prime contractors during the project to specifically monitor the small business subcontracting plan?

No

11. Does the agency collect the subcontracting payment information electronically from prime contractors?

No, we do not currently have projects that require data collection.

12. Do you use DSBSD's format to record the payments?

N/A

13. Method used?

N/A

14. What steps are taken to enforce prime contractor's noncompliance with subcontracting plans? Who is responsible for the enforcement?

Virginia ABC currently does not have projects that require subcontracting plans. If we did, we would hold a meeting to counsel the prime contractor and track compliance of the contract according to the Small Business Subcontracting Plan issued in that solicitation.

15. Does your agency document prime contractor failure to comply with the subcontracting plan? Explain:

No. If there was an issue, Virginia ABC would meet with the prime contractor. Documentation of the meeting would be prepared and made part of the file.

16. Does your agency SWaM plan include measures to withhold the final payment for failure to meet the subcontracting plan?

No

17. List measures taken in last three years to address prime contractor's noncompliance with subcontracting plans?

Virginia ABC has not had any issues of noncompliance.

#### **v. Diversity Training Events**

Does the agency SWaM Champion(s) or procurement staff:

1. Hold open house events for small businesses?

No, but we do have two events planned for FY2015.

2. Meet with small businesses one-on-one at your facility to discuss policies, procedures and potential business opportunities?

Yes

If yes, how many in FY2014?

This information is not tracked; however, meetings are held if requested by the vendor. Virginia ABC is planning an event for vendors in FY2015 to help read and understand contracts.

3. Conduct training events on SWaM and diversity training?

Yes

If yes, how many in FY2014?

All Virginia ABC VISA cardholders are trained on SWaM usage and agency policies related to SWaM objectives.

4. Attend small business outreach events?

Yes

If yes, how many of the following in FY2014?

DSBSD hosted event (Summit): No, Virginia ABC was not aware of this event.

DGS Forum: 1

Minority Supplier Diversity Council conferences: No, Virginia ABC was not aware of this event.

DBA hosted events: No, Virginia ABC was not aware of this event.

Other (please name): SWaMfest, VAGP/CAPA Reverse Trade Show

**VI. Assessment**

1. In FY2014, what has been the most time consuming part of administration of the Small Business initiative from your perspective?

Correcting errors in the DSBSD (Department of Small Business and Supplier Diversity) Dashboard that is reporting SWaM vendors as non-SWaM. This can sometimes take several hours.

2. In FY2014, what have been the top reasons small businesses have not received some awards you believed they were qualified for but were not selected?

Pricing was much higher than non-SWaM vendors and was not considered reasonable.

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: All solicitations—regardless of amount—are issued as a set aside if there are vendors in the commodities needed. Purchases made with the small purchase charge card as payment are monitored to ensure use of SWaM vendors. New SWaM information obtained from outreach events are forwarded to the appropriate end users.

Women-owned: Same

Minorities: Same

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

Initial certification: Yes  
If yes, how often? Information not tracked

Renewal for a firm: Yes  
If yes, how often? Information not tracked

Searches for businesses: Yes  
If yes, how often? Often however, exact numbers are not tracked

To distribute your solicitation notices: No

5. In FY2014, what was one of your agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts?

Meeting our goal of 40%

Completed by: Rhonda Ams Signature: Rhonda Ams Date: 9/18/14  
Reviewed by: Jeff Painter Signature: Jeff Painter Date: 9-18-14