FY2016 Annual SWaM Procurement Plan

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1. Agency/Institution Official Name: James Madison University
   Address: 752 Ott Street, MSC 5720, Harrisonburg, VA 22807

2. Agency Code: 216
   Sub-Agency Code(s): NA

3. Agency Head: Mr. Jonathan Alger
   Phone Number: 540-568-6880
   Email Address: algerjr@jmu.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.

<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
<th>SBE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2015 Agency SWaM Goals</td>
<td>3.20%</td>
<td>6.15%</td>
<td>35.20%</td>
</tr>
<tr>
<td>FY2015 Agency Actual Expenditures</td>
<td>3.10%</td>
<td>7.16%</td>
<td>40.08%</td>
</tr>
<tr>
<td>Total FY2016 Projected SWaM Spend Goals</td>
<td>3%</td>
<td>6%</td>
<td>33%</td>
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</table>

(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 steps will you take this year to meet them?

We met our SWaM goals and will continue to work to exceed them in the future.

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 spent in these categories:

<table>
<thead>
<tr>
<th>Dollar Spend in FY2014</th>
<th>SB</th>
<th>WB</th>
<th>MB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goods and Non-Professional Services</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Professional Services</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Constructions</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
</tbody>
</table>

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division

Name: Catherine Weaver
Title: Director, Procurement Services
Mailing Address: 752 Ott Street, MSC 5720 Harrisonburg, VA 22807
Telephone/Fax: 540-568-3141
E-mail Address: weavercb@jmu.edu

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

Name: Catherine Weaver
Title: Director, Procurement Services
Mailing Address: 752 Ott Street, MSC 5720 Harrisonburg, VA 22807
Telephone/Fax: 540-568-3141
E-mail Address: weavercb@jmu.edu

IV. Policies and Procedures

1. Please specify the number of procurement personnel you have on staff:
   - Goods and Services: 12 (professional buyers including those that also handle construction)
   - Construction: 4 (professional buyers)

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: Dining Hall
      Type: Construction
      Anticipated Posting Date: CM Awarded (Skanska) - bid packages spring 16
   2. Name of the project/purchase: Convocation Center
Type: Construction
Anticipated Posting Date: TBD - pending additional university funding

3: Name of the project/purchase: Parking Deck
   Type: Construction
   Anticipated Posting Date: TBD

4: Name of the project/purchase: College of Business Renovation
   Type: Construction
   Anticipated Posting Date: TBD

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: Stand by Emergency Medical
      Type: Medical
      Anticipated Posting Date: Spring 2016
   2: Name of the project/purchase: Various
      Type: A/E
      Anticipated Posting Date: Winter 2015/Spring 2016
   3: Name of the project/purchase:
      Type:
      Anticipated Posting Date:
   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 Commonwealth
   set-aside program must be race and gender neutral. Consequently, a set-aside program only has benefits to the
   small business category. JMU is consistently able to achieve high percentages with small businesses. JMU also
   consistently has been able to achieve over the 42% goal in total SWaM expenditures. Limiting our solicitations to the
   small category has the potential to keep woman and minority owned firms that are also not small from competing.
   We continue to work towards the best overall value to the institution and the Commonwealth. JMU has for FY 2016
implemented a new policy allowing departments to purchase up to 10k with any SWaM certified and eVA Self-Registered vendor without the need to seek further competition (while not a set aside it does provide additional opportunities for departmental users to purchase from SWaM firms).

5. Approximately how many solicitations did you have in FY2015 in the following categories:
   - Solicitations under $10,000: 23974 orders
   - Solicitations between $10,000 and $50,000: 736 orders
   - Solicitations between $50,000 and $100,000: 99 orders

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: Dependent on Commodity
   - Title: Buyer or Reporting Analyst
   - Contact Information: Dependent on Commodity

7. What method is used to track the payments to subcontractors by prime contractors? JMU has an implemented a standardized Excel report for prime contractors to report SWaM payments on a monthly basis for capital projects and at request for final payment for non-capital outlay projects. Goods and Services reporting is typically submitted on a quarterly basis by the prime contractor. All reporting is submitted to Jenny Mantz (Procurement) for review and processing.

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? Catherine Weaver (Director of Procurement Services), Jenny Mantz (Reporting Analyst and VASCUPP SWaM Committee Representative) are primarily responsible for the SWaM initiative on campus including reporting processes, monitoring, enforcement of Primes and at the departmental level. Towana Moore, AVP Business Services; Charles King, VP Administration & Finance; and Mr. Jonathan Alger, President James Madison University also stay informed in regard to advancements and challenges within the program. In addition, our SWaM reporting processes were reviewed by Internal Audit this FY (including all reports and queries utilized) and passed without issue.

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? Various, as needed.

11. Does the agency collect the subcontracting payment information electronically from prime contractors? Yes
    If yes, how often? Monthly for Capital Construction
    Do you use DSBSD's format to record the payments? No
Method used? Standardized Spreadsheet

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

Who is responsible for the enforcement?

Most of our sub-contracting comes from capital projects and relationships are developed early with those responsible for SWaM reporting in order to facilitate good communication through the project. Reporting is required on Capital projects prior to payment being processed. The project manager, procurement buyer, project inspector and capital accounting all review the pay request prior to approval. Jenny Mantz ensures sub-contractors are certified through a comparison with the SBSD database and works directly with the prime on any issue or question until resolved.

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

Explain: Sub-contractor reporting and any issues are documented within our files. It is our desire to begin a final report for each project to confirm or deny achievement of planned goals; however, due to several internal personnel changes the full implementation has been pushed back. It is something we hope to begin with projects completing this year.

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

Explain: Several approvals are required for a pay request to be processed on capital projects. The individuals approving the pay request know that the SWaM subcontractor reporting must be included with the pay request. A pay request will not be processed without the SWaM subcontractor reporting.

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

Require outreach event for each CM@Risk capital project, require monthly submission of standardized subcontractor reporting, review of each submission to ensure companies reported are certified, increased communication with primes, end of project final reporting from our office to prime.

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 FY2015? 3-4

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? 10-13

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

   If yes, how many in FY2015? 2 (Note: Not included is that every month we hold mandatory eVA Training that includes a video on supplier diversity for campus buyers)
4. Attend small business outreach events? Yes
   If yes, how many of the following in FY2015?
   - DSBSD hosted event (Summit) NA
   - DGS Forum NA
   - Minority Supplier Diversity Council Conferences NA
   - DBA hosted events NA
   Other, please name SWaMFest, Blue Book, NVA Senator Warner Event, UVA Women/Minority Event

VI. Assessment

1. In FY2015, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Reporting, especially that of sub-contractors remains the most time consuming part of the program (validation of submitted information).

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? Many times everyone that responds to a solicitation is in some manner "qualified," but we have to determine who can offer the best overall value to the university through the RFP process (solution, service, schedule, price, capacity, experience, etc.). Even with an extra 10 points for being SWaM some businesses have difficulty expressing their abilities in a proposal or offering the best overall value. When an IFB is issued, there is one reason they are not awarded when qualified, and that is that they have not offered the lowest price.

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 provide training to campus through a mandatory supplier diversity video (prior to being given access to our purchasing system), through newsletter distribution, and in-person user group sessions. Developed a policy for implementation in FY16 that would allow for awards up to 10k with SBSD certified SWaM and eVA registered firms under our small purchase procedure policy. Participated in SWaMFest X, and assisted in efforts for SWaMFest XI. Began planning for the JMU Vendor Fair in FY16 (held in August).

   Women-owned: We continue to provide training to campus through a mandatory supplier diversity video (prior to being given access to our purchasing system), through newsletter distribution, and in-person user group sessions. Developed a policy for implementation in FY16 that would allow for awards up to 10k with SBSD certified SWaM and eVA registered firms under our small purchase procedure policy. Participated in SWaMFest X, and assisted in efforts for SWaMFest XI. Began planning for the JMU Vendor Fair in FY16 (held in August).

   Minorities: We continue to provide training to campus through a mandatory supplier diversity video (prior to being given access to our purchasing system), through newsletter distribution, and in-person user group sessions.
Developed a policy for implementation in FY16 that would allow for awards up to 10k with SBSD certified SWaM and eVA registered firms under our small purchase procedure policy. Participated in SWaMFest X, and assisted in efforts for SWaMFest XI. Began planning for the JMU Vendor Fair in FY16 (held in August). Attended UVA Minority outreach event.

4. In FY2015, did you contact the Department of Minority Business Enterprise for assistance with:
   Initial certification: Yes If yes, how often? 3-7
   Renewal for a firm: Yes If yes, how often? 5-10
   Searches for businesses: Yes If yes, how often? 75-100 (website)
   To distribute your solicitation notices No If yes, how often?

5. In FY2015, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? In FY15 JMU continued to exceed the Commonwealth target goal of 40% and exceeded our own goal of 44%. This reflects our continued effort to develop and maintain sustainable relationships with qualified and reliable SWaM firms. This year we also implemented a mandatory contract relationship with a Small, Woman-owned firm for office supplies.

6. Your comments or suggestions on ways we can improve the Small Business program: 1) Continue to enhance communication between all state agency supplier diversity champions (best practices, cooperative contracts, resources) 2) Enhance vendor training not only on certification processes/eVA registration, but also on advanced reporting capabilities available to them and on how to appropriately research and respond to solicitations 3) Financial and executive training for especially the micro small businesses - after championing a SWaM vendor to campus to have that vendor fail on service/delivery makes end users afraid to try someone new the next time they are offered a different option. We have had that happen more than once when the vendor had financial issues.

7. Additional Information: IV.5 fields represent total purchase orders submitted through the eVA system. These include purchases off term contracts, emergency purchases, sole source purchases, mandatory source purchases and other non-competitive orders. There were 91 VBO competitive postings (14 under 50k, 77 50k or over). There were 36 competitive under 50k Quick Quote solicitations. We also worked in FY 15 to add the micro-small designation to our ERP system so we would be able to report in the future. In addition, we awarded a cooperative Graphic Design term contract to five small woman-owned firms and two small firms, awarded a cooperative Custom Technology Consoles term contract to one small firm, awarded a cooperative Facilities Equipment & Vehicle Accessories term contract to one small woman-owned firm, and three small firms, and awarded an Asbestos Abatement term contract to two small firms.

Completed by: Catherine B. Weaver Signature: [Signature]
Completed Date: 9/11/15

Reviewed by: Jonathan R. Alger Signature: [Signature]
Reviewed Date: 9/17/15
Agency/Institution Head

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