



Commonwealth of Virginia

FY2022 Annual SWaM Procurement Plan for - James Madison University

1 Agency Information

1. Agency/Institution Official Name **James Madison University**

Street Address **752 Ott Street, MSC 5720**

City **Harrisonburg**

State **VA**

Zip **22807**

2. Agency Code **216**

3. Agency Head **President, Jonathan Alger**

Phone Number **540-568-6868**

Email Address **algerjr@jmu.edu**

4. Director of Procurement **Catherine Weaver**

Phone Number **540-568-3141**

5. Secretariat **Education**

2 SWAM Goals

List your FY2022 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. FY2021 goals were pre-filled from your FY2021 SWaM plan. FY2021 SWaM expenditures were system-generated from the Expenditure Dashboard.

6. **Actual vs. Goal - Spend Percentages FY2021**

	MB	WB	Micro	SDV	SB	ESO	8A	EDWOSB	WOSB	FSDV
Goal	3.00	6.00	3.00	1.00	18.00	1.00	1.00	1.00	0.00	1.00
Actual	1.42	5.96	2.71	0.01	41.27	0.00	0.00	0.00	0.00	0.00

Projected Goal - Spend Percentages FY2022

	MB	WB	Micro	SDV	SB	ESO	8A	EDWOSB	WOSB	FSDV
Goal	3.00	6.00	3.00	3.00	15.00	1.00	1.00	1.00	1.00	1.00

7. What changes could be made to the Commonwealth SWAM Program that would assist you in meeting your goals? - **Consider special and expedited certifications for some groups especially for Sole Proprietors. - Consider expanded certification allowances/legislation for usage of vendors in nearby surrounding states/districts that currently cannot certify in Virginia. The Commonwealth of Virginia and SBSB need to help to expand outreach to other organizations in Virginia that specifically work with Veteran Owned, Minority Owned, Women-owned businesses and seek assistance in having their membership certify with the Commonwealth. - Ease certification process so that more vendors will work to certify. There is a huge disconnect between the disparity study "available women and minority firms" and those that are actually "certified" by the Commonwealth.**

3 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 **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 **540-568-3141**

E-mail Address **weavercb@jmu.edu**

4 Policies and Procedures

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

Goods and Services **11**

Construction **4**

2. Do you have major construction projects or purchases planned for FY2022?

Yes

Name of the project/purchase **Carrier Library Renovation / Expansion**

Type **CM @ Risk**

Anticipated Posting Date **09-13-2021**

3. Do you have any professional services purchases planned for FY2022? **Yes**

Name of the project/purchase **MEP Term Contract**

Type **RFP**

Anticipated Posting Date **09-13-2021**

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 **Purchases under 10k are delegated to individual**

departments who are advised to utilize an SBSD certified business for

any purchase not already covered under an existing term contract.

Campus department purchasers, small purchase charge card holders

and department heads received information after EO35 was released to

ensure they were aware of the importance of working with SWaM

vendors. Procurement Services continues to train and send reminders

to campus purchasers about EO35 and working with SWaM providers

first. Between 10k - 200k Procurement Services works to source SBSD

certified vendors when the good/service is not already covered under

an existing term contract. While we do seek to source SWaM vendors

for purchases not already covered by existing term contracts, we do

not consider this an official and prescriptive "set aside program". We

do attempt to make it easier for our departments to purchase directly

from SWaM certified vendors by allowing purchases to certified firms

to move quickly through approvals, with no additional solicitation

requirements, on up to 50k purchases. Additionally, SWaM certified

firms are more easily processed with justification under our Level III

on one time purchase up to 200k.

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? - **Add a section that spotlights newly certified businesses so that we can use as a resource to learn more about new firms that meet the criteria. Continue to add best practices for buyers to review. - Enhance search features for more Google like dynamic searching of suppliers based on keywords. Return in a manner that doesn't require as much scrolling through listed suppliers.**

6. Who monitors, reviews, audits and enforces your SWaM program goals and compliance? **Catherine Weaver (Director, Procurement Services), Caroline Dickens (Reporting Analyst), and Chris Beahm (VASCUPP SDAC Representative) are the primary individuals responsible for the SWaM outreach, training, and monitoring on campus. All staff in Procurement Services have a SWaM Champion requirement in their position description and are evaluated on their efforts. Towana Moore (AVP), Charles King (Senior VP) and Jonathan Alger (President) also stay informed in regard to advancements and challenges within the program.**

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? **Capital Reporting is collected monthly; Goods and Services come in quarterly, and Non-Capital is due at the completion of the project.**

Do you use DSBSD's format to record the payments? **Information is sent in via email on Excel Spreadsheets , and on Capital Projects submitted also with GC Pay Monthly Pay Requests. Ultimately expenditures are reported back to SBSD using a spreadsheet provided to VASCUPP.**

If electronically collected, what system is used? **Excel - Email**

Who are your primary vendors that report subcontract spend? **In the past it's mainly been Construction firms like Kjellstrom & Lee, SB Ballard, WM Jordan, Neilsen, Skanska, etc. For FY 22 we currently do not have projects that are in construction phase, so are not anticipating large sub-contractor expenditures in that area. Aramark also reports regular sub-contractor expenditures.**

8. What is your agency's biggest challenge with collecting and reporting subcontract spend ? **Educating prime contractors related to submission and data requirements, time to review and validate data submitted, and follow-up when issues or discrepancies are identified. Smaller firms that work on non-capital smaller construction projects, do not do a good job in submitting sub-contractor information. Non-construction firms have difficulty tracking their SWaM spend down to our specific purchases and/or they do not only consider Virginia certified firms, so**

their data may include firms that they consider SWaM, but the Commonwealth does not, so we are not able to include their numbers in our reporting.

5 Diversity Training Events

1. Hold open house events for small businesses? **Yes**

If yes, how many in FY2021? **Due to COVID in-person events were postponed, however, we did host some smaller one-on-one meetings and discussions. We also participated in Virtual Conferences like SWAMFEST.**

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 FY2021? **Due to COVID many one-on-one meetings were conducted over the phone or via Zoom, but some still did occur on site. Our Buyers connected with 60+ SWaM firms to discuss active solicitations, potential opportunities on campus, SWaM certification or recertification, and eVA Registration. A handful of examples include Parvo Medics (won't recertify because paperwork is cumbersome), new Media Systems (attempts to have them recertify), Fobbs Quality Signs, TSRC, Miles Ahead Distribution, Dove Medical, Positive Pressure, LDA Creations, Scrubs and Stuff, Blue Ridge Rubber, Prince Books, Terravive, Inge Equipment, RVA Security Integrators, SHI, Volatia, Good's Service, Blackberry Mulch, Watkin's Nursery, Vision Point Marketing, Commonwealth Architects, and Platinum Touch Design Studio.**

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

If yes, how many in FY2021? **12+ We host a monthly training that has a required SWaM Component. In addition, we include training and information in our monthly newsletter, on our website, and Procurement Facebook page. This year we also posted our "Conversate" virtual discussions with several SWaM firms and posted three produced JMU/SWaM Vendor Success Videos to encourage other providers and our campus community.**

4. Attend small business outreach events? **Yes**

If yes, please list those attended in FY2021? **COVID impacted in person events. We attended SWaMFest Virtual Connect, and Virginia Tech's Virtual Fair. Already in FY 2022 we have attended an Economic Summit, and are planning for participation with the fall virtual SWaMFest.**

6 Assessment

1. In FY2021, what has been the most time consuming part of administration of the Small Business initiative from your perspective? **Other (please explain)**

Comment on your selection above **All of the above have time consuming components. There is rarely one thing that takes the most time for the entire year. There are some periods, especially during and directly after the legislative session that a ton of time is spent reviewing, interpreting and then if necessary implementing new regulations. This year we spent an enormous amount of time working through proposed bills and listening for additional workgroup information, and trying to determine how we would realistically implement some of the items on a decentralized campus, should they pass. Faculty is often concerned about how new procurement regulations impact their ability to conduct research and appropriately administer sponsored program funding. We have periods here we spend a significant amount of time working with contractors to help them with certifications. There are many projects that combined reflect enormous amounts of time attempting to find a SWaM vendor to supply a particular item. When we are able to find firms we sometimes have difficulty getting them to participate in the solicitation process with a formal bid/proposal or if within our delegated spending limits they are sometimes much more expensive. One firm that was actually in a Governor Northam announcement as a small, service disable veteran owned firm, has yet to actually certify with the Commonwealth, even though we have attempted to assist them and provide them with SBSD contacts.**

2. Do you have recommendations on ways the Commonwealth could improve SWaM business participation in agency procurement opportunities? **The Commonwealth could still do a better job in ensuring that SWaM champions from all agencies have a forum to share positive vendor experiences so that we can learn about good SWaM vendors and best practices from each other. The Commonwealth program could be better served by focusing more on economic development and business growth opportunities rather than only on SWaM percentages, which encourage pass-through procurements rather than direct awards that really achieve something. The Commonwealth specifically in regards to the SWaM program also needs to provide good training to providers so they understand that they still do need to compete and be competitive for work; especially as set asides are promoted more it seems that some businesses feel they don't have to continue to be competitive and offer quality goods/services - it's become more about their certification than what they provide. eVA fees and a lack of understanding related to the COVA w-9 requirements also seem to be a deterrent to very small firms.**

3.

In FY2021, what has your Agency done to improve expenditure opportunities for SWaM businesses? - **Assisted 30+ businesses with certification/recertification including working with SBSB to determine issues in processing/paperwork. - Continued training and information sharing on campus. Worked to help certify vendors. - Held 6 video chats with certified firms that we recorded and posted in hopes of learning more about them, what they offer, showcasing the vendor, etc. - Coordinated production of 3 SWaM Success Videos (All About Presentation, Positive Pressure, and Dove Medical) utilizing another certified SWaM business (Appeal Productions) to publish to our website, Facebook page, share in newsletter and find other ways to promote - Sent survey to campus buyers about SWaM program to glean ideas of how we can support them to utilize the program more - Created a Spend dashboard for VP's to gain a better understanding of their areas spend and potential - Contracting with a SWaM Marketing firm to help consult on how we can better market the program here on campus - Procurement participated on both the university's Racial Equity Committee and the Economic Development Steering Committee to have a seat at the table for important conversations related to supplier diversity and small business opportunities.**

4. In FY2021, did you contact the Department of Small Business and Supplier Diversity(DSBSB) for assistance with Complete the chart for all categories in terms of frequency.

Initial certification? **Yes**

If yes, how often? **15+**

Renewal for a firm **Yes**

If yes, how often? **25+**

Searches for businesses **No**

If yes, how often?

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 FY2021, what was one of your Agency's accomplishments in the SWaM program you feel best demonstrates your agency's efforts?

Exceeded SWaM Goals to achieve 51.4% total SWaM. JMU coordinated the production of three SWaM Success stories by another certified SWaM Vendor, Appeal Productions. The videos are published on Youtube and help highlight the business as well as the SWaM

program overall. We've been sharing these videos and hope they can encourage other businesses to certify with SBSB. <https://www.youtube.com/playlist?list=PLx-ZfZwmGJGeyqeBOtCdQNQufX1bTMro2>

7. Are you familiar with the legislation that impacted SBSB? **Yes**

If yes, do you have questions or concerns with your ability to implement those changes? **Proposed changes to legislation and specifically HB5002 are of concern. JMU is a delegated institution and has provided delegation under 10k to the departmental level. We have concerns about implementation and compliance, especially due to resource restrictions. In addition, the 23.1% goal solely for women and minority firms is based on the disparity study of "available firms", but the Commonwealth has nowhere near the number of actual certified firms, which is the requirement for reporting purposes. In addition, geographic availability was not specifically considered, and these directives will cause conflict between doing business with local small businesses and supporting our local economy and meeting the woman and minority goals.**

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 typically do not have adjustments. We are providing clean subcontractor reporting at the time of quarterly reporting, since we provide reporting through a spreadsheet (VASCUPP) process.**

9. What functionality would be most helpful to you in the Expenditure Dashboard? **NA**

10. Additional Information **1) While JMU included the required minimum 1% goal for ESO, SDV, 8A, achieving 1% of our large discretionary based on the availability of certified firms in those categories and our actual needs for the services the firms that are certified provide is not practical. 2) Related to Section 6 Assessment, Question 5 the Director of Procurement meets or communicates with the SVP of Administration & Finance and/or the University President as needed to discuss SWaM related challenges /issues/legislation/successes. 3) With COVID 19 the University continues to face financial challenges and will most likely continue to do so through at least the end of this FY2022. Spending has been reduced and construction, which is typically our best area to secure substantial SWaM expenditures will be down. No capital construction projects will be in construction phase until at least June of 2022. I fully expect our SWaM numbers will be much lower at the end of FY22 due to reduced construction spending and all departments working to achieve the most favorable overall cost on their purchases. 4) SBSB should consider sending monthly newsletter when they send out adjustments reminder - it could provide**

updates, success stories, new certified vendors, new SWaM vendor cooperative contracts, SWaM Champion or SWaM business spotlights, legislative section, best practices, etc. 5) Having more contact with SBSD representatives would be nice They might be able to share more information about newly certified businesses and events where we might meet new businesses. We could also share information we have about vendors that are having problems with certification, or concerns from our local region.

Completed by :

Signature: Catherine "Katie" Weaver

Date : 2021-09-13

Approved by :

Signature: Jon Alger

Date : 2021-09-14