FY2019 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: Jonathan Alger
   Phone Number: 540-568-6880
   Email Address: algerjr@jmu.edu

4. Director of Procurement: Catherine "Katie"
   Phone Number: Weaver

5. Secretariat: Secretary of Education

II. SWAM Goals

6. List your FY2019 SWaM expenditure goals for Small, Women- and Minority-Owner island businesses as a percentage of your projected discretionary expenditures. Goals should include your projected sub-contracting expenditures if applicable. FY2018 goals were pre-filled from your FY2018 SWaM plan. FY2018 SWaM expenditures were system-generated from the SWaM Dashboard.

<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
<th>SBE</th>
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<tbody>
<tr>
<td>FY2018 Agency SWaM Goals</td>
<td>3 %</td>
<td>6 %</td>
<td>29 %</td>
</tr>
<tr>
<td>FY2018 Agency Actual Expenditures</td>
<td>2.13 %</td>
<td>5.33 %</td>
<td>36.61 %</td>
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<tr>
<td>Total FY2019 Projected SWaM Spend Goals</td>
<td>3 %</td>
<td>6 %</td>
<td>29 %</td>
</tr>
<tr>
<td>MICRO</td>
<td>ESO</td>
<td>HBCU</td>
<td>SDV</td>
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</table>
Other FY2019 Projected Spend Goals 1 % 1 % 1 % 1 %

(Percentage based on Discretionary Budget. Each goal should be at least 1%)

7. What changes could be made to the Commonwealth SWaM Program that would assist you in meeting your goals? We need more vendors to certify. If 98% of the vendors in VA are small (and that is what the 42% goal is based upon) then we only have a very small percentage of available vendors certified. Goal should be based on eligible certified vendors as that is the actual availability. Vendors we’ve used in the past are dropping from certification either due to more attention to requirements, growth out of eligibility (which is good), or lack of interest in supplying all materials required. Certification/re-certification needs to be easier and vendors need support, which probably means SBSD needs additional resources to assist.

III. Designation of SWaM Equity Champion(s)

A. Purchases and Supply Division
   Name: Catherine Weaver
   Title: Director, Procurement
   Mailing Address: 752 Ott Street MSC 5720
   Telephone/Fax: 540-568-3141
   E-mail Address: weavercb@jmu.edu

B. Building and/or Construction Division (if applicable)
   Name: Catherine B. Weaver
   Title: Director, Procurement
   Mailing Address: 752 Ott Street MSC 5720
   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: 13 Professional Buyers (including those that also handle construction)
   Construction: 4 Professional Buyers

2. Do you have major construction projects or purchases planned for FY2019? Yes
   If so, identify the project or purchase:
   1: Name of the project/purchase: Jackson Hall Renovation
      Type: Construction - IFB
      Anticipated Posting Date: TBD
   2: Name of the project/purchase:
3. Do you have any professional services purchases planned for FY2019? Yes
   If so, identify the project or purchase:
   1: Name of the project/purchase: Carrier Library Renovation
      Type: RFP A/E
      Anticipated Posting Date: TBD
   2: Name of the project/purchase: Orthopedic/Radiology Services
      Type: RFP
      Anticipated Posting Date: Fall/Winter 2018
   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 program is race and gender neutral. Consequently, a set-aside program only has benefits to the small business categories. JMU is consistently able to achieve high percentages with small businesses. JMU also has consistently been able to achieve the 42% SWaM goal in total expenditure. Limiting our solicitations to the small category has the potential to keep woman and minority owned firms that are not small from competing. We continue to work toward the best overall value to the institution and the Commonwealth. We do strongly support the use of SWaM vendors
under our small dollar threshold.

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? We like the legislative updates, upcoming event information, important forms. The certification status is especially helpful. Of course, we'd always like to have more information about why a request is closed or what information is still needed to process a vendor's certification. An ideas or best practices section may also be nice or success stories from around the Commonwealth.

6. Who monitors, reviews, audits and enforces your SWaM program goals and compliance? Catherine Weaver (Director of Procurement), Caroline Dickens (Reporting Analyst), and Chris Beaum (VASCUPP SDAC Committee Champion) are primarily responsible for the SWAM initiative on campus including reporting processes, monitoring, enforcement of policies at the campus department level. All Procurement Services staff have SWaM responsibilities in their Employee Work Profile (EWP). Towana Moore, AVP Business Services; Charles King, SVP Administration & Finance; and Mr. Jonathan Alger, President James Madison University 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? Monthly
   Do you use DSBSD's format to record the payments? No
   If electronically collected, what system is used? Email Excel / GC Pay
   Who are your primary vendors that report subcontract spend? Skanska, WM Jordan, Kjellstrom & Lee, Branch, SB Ballard

8. What is your agency's biggest challenge with collecting and reporting subcontract spend? The biggest challenge, as always, is time. Time to educate the primes on submission, to ensure the spreadsheets are received, to review and validate the information provided, and time to submit the information. Additionally we have to deal with challenges related to changing certification status during the course of the project.

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 FY2018? 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 FY2018? Multiple; but this is not something we track.

3. Conduct training events on SWaM and diversity training? Yes
If yes, how many in FY2018? 13

4. Attend small business outreach events? Yes
   If yes, please check those attended in FY2018?
   DSBSD hosted event (Summit) 1
   DGS Forum 1
   Minority Supplier Diversity Council Conferences 0
   DBA hosted events 0
   Other, please name SWAMFEST, Blue Book Events, VT's SWAM Vendor Fair, SBSD Regionals, UVA Fair

VI. Assessment

1. In FY2018, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Understanding the SWaM regulations

   Comment on your selection above: Trying to keep up with the SWaM legislation at the beginning of the year and then changes related to anything passed. Implementing those changes at the local level. Understanding what is required of vendors and system changes/updates related to their submissions. SBSD has been doing a better job of getting information out about legislation and a recent training provided insight into the expectations for vendor certification.

2. Do you have recommendations on ways the Commonwealth could improve SWAM business participation in agency procurement opportunities? 1) Increase value of certification (beyond the contract) with services like training, consulting, access to special grants.

2) Education, communication, and networking (quick and easy resources for agencies to share with vendors - like the recent webinar link).

3. In FY2018, what has your Agency done to improve expenditure opportunities for SWAM businesses?
   We held a major capital construction outreach event in August 2017 and had the prime contractors speak about each upcoming project, schedule, and how to participate. We also held an in person pilot of our new vendor training and hosted SWaM firms to participate. We reached out individually to vendors that were approaching their expiration and asked them to renew. Through our small purchase procedures we increased the ease of purchasing from SWaM certified/eVA registered vendors for campus departments up to 15k. We hosted our own JMU SWaM Vendor Fair in August 2017. Our staff was actively involved in planning SWAMFEST 2018 to be held here in Harrisonburg, VA for the first time. We look for SWaM businesses to partner with over very large online firms.

4. In FY2018, 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? At least 8
Renewal for a firm: Yes  If yes, how often? At least 20
Searches for businesses: Yes  If yes, how often? At least 10
To distribute your solicitation notices No  If yes, how often? We utilize eVA

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 FY2018, what was one of your Agency’s accomplishments in the SWAM program you feel best demonstrates your agency’s efforts? The Capital Construction Outreach Event was really a major effort to bring SWaM sub-contractors into the fold in advance of the projects being bid by the primes. This allowed them to hear about all the projects at once, understand the complexities, and get registered to receive the bid opportunities. This reflects our understanding of schedules and capacity of the sub-contractors and was really an effort to ensure good communication about the projects. In addition, JMU developed a GIS Map to show the projects, status and schedule for those that wanted to keep track of how the projects were progressing. Of course, the item that best demonstrates our efforts is that we were again able to achieve the 42% goal.

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 have no questions about the current legislation in place. It does seem counter productive; however, that it seems some legislation actually puts more requirements and makes it more difficult to certify rather than easier. If we want to increase the spend, we need more vendors in the pool to work with. Eliminating the newly formed SBSD, placing more restrictions on reciprocal certifications, not allowing for easier re-certification process or longer re-certification period, and constantly attempting to change the certification requirements to make them more restrictive are all legislative items that cause confusion and have the potential to make it more difficult to meet the current goals established by the Commonwealth.

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? As a VASCUPP institution we submit our numbers to the VASCUPP Supplier Diversity Advocacy Committee (SDAC) on a quarterly basis. A rep from the SDAC group then submits all the numbers via a spreadsheet to SBSD. VASCUPP received approval in 2010 from DMBE/SBSD to report in this manner.

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

10. Additional Information: SWAM Goals #5: While JMU included the minimum 1% goal for ESO, HBCU, SDV we believe it is not realistic to think we will achieve some of these goal in this coming year. 1) JMU has no data on these certification types at this point to track them and 2) Based on our total discretionary spend the expenditures with these types of firms would need to be over $1M to achieve the 1%. There are very few HBCUs and ESOs currently
even available in the certified listing. JMU lists the 1% as stretch goals as the current number of certified firms and known expenditures will limit our ability to meet the 1% in these categories.

Assessment #5: Procurement Services meets with the AVP of Business Services bi-weekly and as needed with the SVP/President on SWaM related issues, successes, planning.

Completed by: Catherine B. Weaver  Signature: Catherine B. Weaver  Date: 9/12/18

Reviewed by: Jonathan R. Alley  Signature: Jonathan R. Alley  Date: 9/17/18

Agency/Institution Head

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