



# Commonwealth of Virginia

## FY2021 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 **Jonathan Alger**

Phone Number **540-568-6880**

Email Address **algerjr@jmu.edu**

4. Director of Procurement **Catherine Weaver**

Phone Number **540-568-3141**

5. Secretariat **Education**

### 2 SWAM Goals

List your FY2021 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. FY2020 goals were pre-filled from your FY2020 SWaM plan. FY2020 SWaM expenditures were system-generated from the Expenditure Dashboard.

6.

Actual vs. Goal - Spend Percentages FY2020									
	MB	WB	Micro	SDV	SB	ESO	8A	EDWOSB	FSDV
Goal	3.00	6.00	3.00	1.00	25.00	1.00	1.00	1.00	1.00
Actual	1.40	6.09	1.35	0.00	53.66	0.00	0.00	0.00	0.00

Projected Goal - Spend Percentages formYear									
	MB	WB	Micro	SDV	SB	ESO	8A	EDWOSB	FSDV
Goal	3.00	6.00	3.00	1.00	18.00	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 SBSD 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.**

**3 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 540-568-3141

E-mail Address weavercb@jmu.edu

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

Name Catherine Weaver

Title Director, Procurement

Mailing Address 752 Ott Street, MSC 5720

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 **9**

Construction **3**

2. Do you have major construction projects or purchases planned for FY2021?

**Yes**

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

Type **Construction - TBD Posting Date (dependent on funding)**

Anticipated Posting Date **09-11-2020**

3. Do you have any professional services purchases planned for FY2021? **Yes**

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

Type **A/E - TBD Posting Date (dependent on funding)**

Anticipated Posting Date **02-02-2021**

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".**

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.**

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? **No**

If electronically collected, what system is used? **Information is sent in via email on Excel Spreadsheets, and on Capital Projects submitted also with GC Pay Monthly Pay Requests.**

Who are your primary vendors that report subcontract spend? **Kjellstrom & Lee, SB Ballard, WM Jordan, Neilsen Construction, Aramark**

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.**

## 5 Diversity Training Events

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

If yes, how many in FY2020? **1 JMU SWaM Vendor Fair**

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 FY2020? **6+, COVID disrupted having in person events and impacted spending on campus.**

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

-----  
If yes, how many in FY2020? **12+** **We host a monthly training that has a required SWaM component.**  
-----

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

If yes, please list those attended in FY2020? **4 - SWaMFest 19, VMI Fair, VT Fair, DGS Forum Expo**  
-----

## 6 Assessment

1. In FY2020, 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. We have periods where 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.**  
-----

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.**  
-----

3. In FY2020, 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. Sponsored several first time attendees**  
-----

**with tickets to attend SWaMFest for networking opportunities. Continued training and information sharing on campus. Worked to help certify vendors.**

4. In FY2020, 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? **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 FY2020, what was one of your Agency's accomplishments in the SWaM program you feel best demonstrates your agency's efforts?

**Exceeded SWaM Goal of 42% to achieve 62.5% total SWaM. Worked with Positive Pressure (minority owned small business) and championed that firm on our campus and introduced them to our Primes. That firm has now received \$25k in business directly from JMU and an over \$50k sub-contractor job on a JMU project through our Prime and is set to begin another large sub-contractor project with a separate JMU prime contractor. The experiences with these prime contractors should help the firm to receive additional business related to Commonwealth of Virginia projects. This firm sent us an email thank you, which to our staff sums up the real success of our JMU SWaM initiative (it's not about any percentage achieved, it's about the value of actually helping someone to achieve growth in their business through relationships): "First off, Thank You! I can't tell you how thankful I am to have met you at JMU's SWaM Expo last summer! Since then, we have been working directly and indirectly (as a subcontractor for Kjellstrom & Lee) on a number of projects at JMU. I'm truly grateful for your department's supportive efforts to small service providers such as myself. We have experienced a healthy amount of growth of the past 12 months, and I have you guys to thank in kick starting this growth. THANK YOU!!"**

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? **No**  
.....

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? **JMU reports on a quarterly basis in the combined VASCUPP institution reporting. We do not typically have a need to submit adjustments to those numbers and our available subcontractor reporting is included.**  
.....

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, and other new categories added in FY20, 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 is facing serious financial challenges and will most likely continue to do so through at least the end of this FY. Spending has been reduced and construction, which is typically our best area to secure substantial SWaM expenditures will be down. I fully expect our SWaM numbers will be much lower at the end of FY21 due to reduced construction spending and all departments working to achieve the most favorable overall cost on their purchases. 4) SBSD could 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, etc.**  
.....

**Completed by :**

*Signature:* Catherine "Katie" Weaver

*Date :* 2020-09-11

**Approved by :**

*Signature:* Jon Alger

*Date :* 2020-09-11