



Commonwealth of Virginia

FY2023 Annual SWaM Procurement Plan for - James Madison University

1 Agency Information

1. Agency/Department/Institution Name: **James Madison University**
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2. Secretariat: **Education**
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3. Name of Current Secretary: **Amy Rogstad Guidera**
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4. Agency Code: **216**
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5. Agency Head: **President Jonathan Alger**
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Phone Number: **540-568-6868**
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Email Address: **algerjr@jmu.edu**
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6. Director of Procurement
Name: **Catherine Weaver**
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Title: **Director, Procurement Services**
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Phone Number: **540-568-3141**
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Email Address: **weavercb@jmu.edu**
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Mailing Address: **752 Ott Street MSC 5720 Harrisonburg, VA 22807**
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7. Purchases and Supply Division Lead Purchaser
Name: **Leah Frank**
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Title: **Manager, Goods and Services Procurement Team**
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Phone Number: **540-568-3134**
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Email Address: **franklm@jmu.edu**
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Mailing Address: **752 Ott Street MSC 5720 Harrisonburg, VA 22807**
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8. Building and/or Construction Division Procurement Officer (if applicable)

Name: **Stephen Howard**

Title: **Manager, Facilities and Construction Procurement Team**

Phone Number: **540-568-3130**

Email Address: **howardsd@jmu.edu**

Mailing Address: **752 Ott Street MSC 5720 Harrisonburg, VA 22807**

9. SWaM Champion and Preferred Contact Information

Name: **Mikayla Fahrney & Catherine Weaver**

Title: **Office & Reporting Manager**

Phone Number: **540-568-7999**

Email Address: **farhnemp@jmu.edu**

Mailing Address: **752 Ott Street MSC 5720 Harrisonburg, VA 22807**

Preferred Contact (select one or more): **Email**

10. Dashboard Users: Identify all new users or users that no longer require access.

User 1

Name: **Caroline Dickens**

Email: **dickencm@jmu.edu**

Sub/Agency Name:

Role/Authority:

Status (Active/Inactive): **Inactive**

Should This Person be Removed? (Yes/No): **Yes**

Is This New Person? (Yes/No):

2 SWAM Goals

List your FY2023 SWaM expenditure goals for Small, Women-owned and Minority-owned businesses as a percentage of your projected discretionary expenditures. Goals should include your projected sub-contracting expenditures if applicable. FY2022 goals were pre-filled from your FY2022 SWaM plan. FY2022 SWaM expenditures were system-generated from the Expenditure Dashboard.

1.

Actual vs. 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
Actual	1.99	7.17	4.09	0.00	24.17	0.00	0.00	0.00	0.00	0.00

Projected Goal - Spend Percentages FY2023										
	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

*According to § 2.2-4310.2 executive branch agency's goals under § 2.2-4310 for participation by small businesses shall include within the goals a minimum of three percent (3%) participation by service disabled veteran-owned businesses as defined in §§ 2.2-2000.1 and 2.2-4310 when contracting for goods and services.

2. What changes could be made to the Commonwealth SWAM Program that would assist you in meeting your goals? **The Commonwealth could do a better job in ensuring that SWaM champions from all agencies have a forum to share positive supplier experiences so that we can learn about good SWaM firms, newly certified firms, and share best practices with each other. The program could be better served by focusing more on economic development opportunities rather than only SWaM percentages. Economic development activities may help to encourage new SWaM businesses, or expansion of SWaM businesses into geographic areas that are limited in SWaM options locally. Continued training specifically to SWaM firms is also needed, so that there is understanding they still need to compete for business and are still expected to provide quality goods and services at competitive prices.**

3 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 FY2023?

Yes

Name of the Project/Purchase: **East Campus Power Plant Phase 1 - Anticipated Posting Jan. 2023 East Campus Power Plant Phase 2 - Anticipated Posting July 2023 Village Housing Phase I - November 2022**

Type: **Construction - Procurement type based on specific project.**

Anticipated Posting Date: **09-07-2022**

3. Do you have any professional services purchases planned for FY2023? Yes

Name of the Project/Purchase: **Architectural - feasibility studies, investigations, reports, design of small projects**

Type: **RFP - Professional Services**

Anticipated Posting Date: **09-07-2022**

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 firm for any purchase not already covered under an existing, term contract.**

Campus department purchasers, small charge card holders and department heads received information after EO35 was released to ensure they were aware of the importance of working with SWaM businesses. Procurement Services continues to train and send

reminders to campus purchases about working with SWaM firms and provides options of SWaM firms to utilize for typical purchases.

Between 10K - 200K Procurement works to source SBSD certified firms when the good/service is not already covered under a term contract. While we do seek to source SWaM firms for purchases not

already covered under a term contract, we do not consider this a prescriptive set aside program. We do attempt to make it easier for our

departments to purchase from SWaM certified firms by allowing purchases to certified firms, up to 50K, to process more quickly

through approvals, with no additional solicitation requirement. Additionally, SWaM certified firms are more easily processed under

our Level III Small Purchase Procedures up to 200K.

- 5.

Have you visited the "I am a Buyer!" page on <https://www.sbsd.virginia.gov/buyer-page/>? **Yes**

If yes, what additional resources would be helpful on that page? **Add a section to spotlight newly certified firms. Continue to add best practices for buyers to review. Enhance search features for more Google like dynamic searching of suppliers based on keywords. Return search in manner that doesn't require as much scrolling through listed suppliers. Provide tips or success stories that Buyers can use to convince new firms to certify; quite a few firms refuse to go through the extensive process to certify / re-certify.**

6. Who monitors, reviews and enforces your SWaM Program goals and compliance? **Catherine Weaver (Director, Procurement Services) and Mikayla Fahrney (Office/Reporting Manager/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 positions description and are evaluated on their efforts annually. Towana Moore (VP Administration and Finance) 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; Non-capital is reported at completion of project; Goods/Services is collected quarterly (as applicable).**

Do you use DSBSD's format to record the payments? **We utilize a standard Excel spreadsheet that we have**

If electronically collected, what system is used? **Information is submitted via email to our swamreporting@jmu.edu mailbox in a standard Excel spreadsheet (that we provide to the prime), and on Capital Projects is also submitted with GC Pay requests. Ultimately expenditures are reported back to SBSD using a spreadsheet coordinated by VASCUPP.**

Who are your primary vendors that report subcontract spend? **Aramark, Prime Capital Construction Contractors (Kjellstrom & Lee, Nielsen Construction, Lantz Construction, S.B. Ballard, etc.- depending on projects awarded). For FY23 we have limited Capital Projects in construction phase.**

8. What is your agency's biggest challenge with collecting and reporting subcontract spend ? **Educating prime contractors related to submission and data requirements (although this is becoming better as many now understand the process based on working with us previously). We do still spend time to review the data and make sure there are no errors in regard to certification type, etc. Smaller firms on non-capital outlay**

projects do not do as good of a job in submitting sub-contractor information. Non-construction firms have difficulty tracking their SWaM spend to our specific purchases and/or they do not limit their reporting to SBSID certified firms.

4 Diversity Training Events

1. Does your agency hold Open House events for small businesses? **Yes**

If yes, how many in FY2022? **Due to COVID, we did not host any open house events in 2022; however, at the end of FY22 we did host a large conference (reported below).**

2. Does your agency 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 FY2022? **We meet with SWaM firms in Procurement and across campus constantly, either due to scheduled appointments or them dropping in. We don't track these meetings, but just from the Procurement office an estimate is 60+. Across campus the number is most likely much higher.**

3. Does your agency conduct training events on SWaM and diversity training? **Yes**

If yes, how many in FY2022? **As a requirement for campus users to have access to the eVA system we mandate that they participate in a training session. This training includes a SWaM component. Additionally, in May 2022 we hosted the JMU Pulling Back the Curtain on Supplier Opportunities Conference.**

4. Does your agency attend small business outreach events? **Yes**

If yes, please list those attended in FY2022? **Events were limited in FY2022 due to COVID. JMU attended the virtual SWaMFest, and of course participated in our on in person conference.**

5 Assessment

1. In FY2022, what has been the most time consuming part of administration of the Small Business Initiative from your perspective? (Select one or more) **Explaining SWaM regulations to agency personnel, Explaining SWaM regulations to SWaM firms, Finding SWaM firms that are interested, Finding SWaM firms that are qualified, Other (please explain)**

Comment on your selection above **All items above have time consuming components. The time on each fluctuates throughout the year. Also, time spent to verify the sub-contractor reports appear to be accurate with current Virginia SBSB certified firms.**

2. Do you have recommendations on ways the Commonwealth could improve SWAM business participation in agency procurement opportunities?
Additional education to suppliers on how to receive notices and respond to solicitations. Connecting small businesses with larger firms for potential sub-contracting opportunities.
3. In FY2022, what has your agency done to improve expenditure opportunities for SWAM businesses? **We have assisted multiple businesses to get connected with SBSB for certification. We post active solicitations not only to eVA, but also on our JMU Procurement Facebook page. We hosted a conference to help businesses make connections and to offer training to them on our processes. We have connected SWaM firms with individuals on campus for relationship building.**
4. In FY2022, did you contact the Department of Small Business and Supplier Diversity(DSBSB) for assistance with completing 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?
Distribution of your solicitation notices? **No**
If yes, how often?
5. How frequently do 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 FY2022, what was one of your agency's accomplishments in the SWAM Program you feel best demonstrates your agency's efforts? **While JMU reduced our SWaM goal to 35% in FY22 due to a lack of major capital construction projects, that would supply tier 2 spend, we still did beat that goal. Additionally, JMU even with COVID still present, was able to plan and host a major supplier diversity conference. We also worked with Grainger and implemented a pilot program with our warehouse in using a minority Grainger business partner.**

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 typically does not have adjustments. We are providing clean subcontractor reporting at the time of our quarterly reporting. We report via a spreadsheet (VASCUPP) process. Occasionally, when we review the dashboard we will find an entry error and will then report that for adjustment.**

9. What added 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, etc. achieving 1% of our large discretionary based on the availability of certified firms in those categories and our actual need for services from those certified firms is not practical. The spend we may have with those types of firms often does not end up in those categories, based on the hierarchy for reporting. 2)The Director of Procurement meets or communicates with the VP or President as needed to discuss SWaM issues/challenges /legislation/successes; it is not on a prescriptive schedule. 3) Due to few major capital construction projects in the construction phase (the phase that allows us to receive sub-contractor reporting) we are reducing our FY23 SWaM goal to 35%.**

Completed by :

Signature: Catherine "Katie" Weaver

Date : 2022-09-07

Approved by :

Signature: Jon Alger

Date : 2022-09-07