



COMMONWEALTH of VIRGINIA

George Mason University

4400 University Drive,
Fairfax, VA 22030

FY2012 Annual SWaM Procurement Plan

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1. Agency/Institution Official Name: George Mason University

Address: 4400 University Drive,, Fairfax, VA 22030

2. Agency Code: 247

Sub-Agency Code(s):

3. Agency Head: Alen Merten

Phone Number: 703-993-8700

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4. Secretariat: Education

II. SWAM Goals

1. List your FY2012 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. FY2011 goals were pre-filled from your FY2011 SWaM plan. FY2011 SWaM expenditures were system-generated from the SWaM Dashboard.

	MBE	WBE	SBE
FY2011 Agency SWaM Goals	9.01 %	5.47 %	28.82 %
FY2011 Agency Actual Expenditures	6.30 %	7.08 %	25.44 %
Total FY2012 Projected SWaM Spend Goals	7.30 %	8.10 %	25.44 %

(Percentage based on Discretionary Budget)

6. Describe the process for determining your SWaM goals and issues that have been taken into consideration for determining these goals

This years SWaM goals are part of George Mason Universitys strategic procurement initiative for promoting and encouraging participation among SWaM businesses. Projected Spend Goals FY2012 represent a reduction in annual spend campus wide we have chosen to reduce our future projections to better reflect changes to our university budget. We will continue to offer procurement opportunities to SWaM sub-contractors by posting our SWaM goals in all construction procurements and by monitoring spend each quarter. For goods and Services, Purchasing Department has implemented the following change and included in the University's Official Purchasing Manual, effective July 2011 Manual change #1 (MC 1) states the competitive requirement is waived for goods and services not exceeding \$50,000 if the vendor is SWaM certified.

III. Designation of SWaM Procurement Champion(s)

A. Purchases and Supply Division

Name: Gregory Woodyard
Title: Supplier Diversity Manager
Mailing Address: 3C5 University Hall
Telephone/Fax: 7034942224
E-mail Address: gwoodyar@gmu.edu

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

Name: Robert Endebrook
Title: Director, Facilities Construction
Mailing Address: 109 Facilities Administration Building, Ffx, MSN: 2A9
Telephone/Fax: 703-993-2513
E-mail Address: rendebro@gmu.edu

IV. Policies and Procedures

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

Division of Goods and Services: 7

Division of Construction: 1

2. Do you have major construction projects or purchases planned for FY2012? Yes

If so, identify the project or purchase:

1: Name of the project/purchase: Student Commons Housing Renovation

Type: Renovation

Anticipated Posting Date: February 2012

2: Name of the project/purchase: Fenwick Library Phase 1 Addition

Type: Addition

Anticipated Posting Date: March 2012

3: Name of the project/purchase: Field House Phase II Addition

Type: Addition

Anticipated Posting Date: January 2012

4: Name of the project/purchase: Fine Arts Renovation

Type: Renovation

Anticipated Posting Date: January 2012

3. Does your Agency set aside the following solicitations for DMBE certified businesses?

Solicitations under \$5,000: No

Solicitations between \$5,000 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: To specifically address this issue; Purchasing Department has implemented the following change and included in the University's Official Purchasing Manual, effective September 12, 2007 Manual Change #1 (MC 1) states the competitive requirement is waived for goods and services not exceeding \$50,000, if the vendor is SWaM certified. Additionally, this information has been disseminated during eVA training for new staff and, to all University personnel with purchasing authority.

In instances where procurement amounts exceed the \$50,000 threshold specific to SWaM businesses agency solicitations or request for quotes, solicitations will include enterprises selected from the list of certified minority and women-owned business enterprises maintained on the DMBE web site, where there is adequate registration in the commodity: Solicitations over \$5,000 up to \$50,000, solicit four (4) sources, including a minimum of two (2) small, women, or minority owned business.

If a term contract source is available, it is considered first. In the absence of a term contract, buyers use informal competitive methods to solicit quotes or bids for transactions valued up to \$50,000.

Buyers are required to use every consideration for using qualified, Small Businesses, Women owned and Minority owned businesses (SWaM) suppliers in a manner that is consistent with state and federal laws and regulations.

In all other instances whenever our agency engages in a solicitation or request for quotes, solicitations will include enterprises selected from the list of certified minority business enterprises (MBE) maintained on the DMBE web site,

where there is adequate registration in the commodity: Quotes from \$2000 up to \$5,000 shall be solicited from a minimum of one (1) SWaM business.

4. Approximately how many solicitations did you have in FY2011 in the following categories:

Solicitations under \$5,000: Decentralized Procurement-We do not track

Solicitations between \$5,000 and \$50,000: Decentralized Procurement-We do not track

Solicitations between \$50,000 and \$100,000: Approx. 40

5. 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: Robert Endebruck

Title: Director, Facilities Construction

Contact Information: 109 Facilities Administration Building, Ffx, MSN: 2A9

6. What method is used to track the payments to subcontractors by prime contractors? When such business has been subcontracted to these firms, George Mason University requires prime contractors furnish data on payments made to Small, Women owned, and Minority owned business subcontractors.

7. Are proposals from prime contractors evaluated with weighted value assigned based upon the Small Business subcontracting plan submitted by the prime? Yes

8. How do you monitor the progress of the goal performance under the Small Business Subcontracting plan? Prime contractors are required to submit detailed quarterly reports showing payments to subcontractors which are then reviewed by facilities and procurement SWaM staff. Payments to prime contractors are conditional on University SWaM goals being met. All documented payment irregularities are discussed with project managers. Failure to resolve can result in formal investigations leading delays in final payment.

9. 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? Quarterly

10. Does the agency collect the subcontracting payment information electronically from prime contractors? Yes

If yes, how often? Quarterly

Do you use DMBE's format to record the payments? Yes

Method used? VASCUPP

11. Does your agency counsel prime contractors regarding failure to comply with the subcontracting plan? Yes

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

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

14. What other form of review is being conducted in reference to the small business subcontracting plan? No other process is currently being utilized however we are continuing to review and modify our processes and if abnormalities exist we will endeavor to update and correct as needed.

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 FY2011? 6

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 FY2011? 28

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

If yes, how many in FY2011? 12

4. Attend small business outreach events? Yes

If yes, how many of the following in FY2011?

DMBE hosted event (Summit) 2

DGS Forum 0

Minority Supplier Diversity Council Conferences 3

DBA hosted events 2

- Other, please name 11 total -VASCUPP/5, JMU/2, UVA./2 GMU/1, VCU/1

VI. Assessment

1. In FY2011, what has been the most time consuming part of administration of the Small Business initiative from your perspective? Walking vendors who are new to online sign up applications through the initial eVA registration and DMBE certification process.

Finding SWaM vendors for \$2000 - \$5000.00 procurement

2. In FY2011, what have been the top three reasons small businesses have not received some awards you believed they were qualified for but were not selected? 1. Incomplete commodity codes.

2. Failure of firms to register in eVA, either due to transaction fees or the level of requested information.

3. Other competing and similarly qualified firms chosen instead.

3. In FY2011, what has your Agency done to improve expenditure opportunities for each of the categories represented in the small business program?

Small Business: SWaM Champions assist vendor community in accessing bids, navigating the RFP process, offering vendor education when needed, and working with local procurement entities on joint procurement

opportunities.

SWaM Champions have established strong community relationships with area chambers of commerce, PTAC, local and regional SBDC's, and other procurement entities throughout the region.

SWaM Champion regularly attends NAEP events as both a presenter and serves as District II secretary/treasurer. The SWaM Champion creates reports for buying staff, monitors and reviews past procurement's for patterns and opportunities for SWaM inclusion, assists with finding suitable SWaM vendors and assists new vendors in eVA registration and SWaM certification.

Women-owned: SWaM Champions actively promotes woman owned business usage to end users including facilities personnel.

SWaM Champion works with area woman-business development agency leadership on educating woman vendor community to posted and future procurement opportunities.

Minorities: SWaM Champion works closely with the Northern Virginia Black Chamber of Commerce, the Young Professionals Network, an auxiliary of the Northern Virginia Urban League, educating their membership to procurement opportunities and to the value of joint chamber activities.

SWaM Champion recently installed as board of director of Asian American Chamber of Commerce. Future projects include member education of eVA and DMBE requirements and a joint venture with Mason School of Management Executive Director, Nicholas H. Archer to host 2012 Asian Business Summit and Expo at the Mason Inn.

4. In FY2011, did you contact the Department of Minority Business Enterprise for assistance with:

Initial certification: Yes If yes, how often? weekly

Renewal for a firm: Yes If yes, how often? once per month

Searches for businesses: Yes If yes, how often? daily

To distribute your solicitation notices Yes If yes, how often? daily

5. In FY2011, what was one of your Agency's accomplishments in the Small Business program you feel best demonstrates your agency's efforts? Waiving the competitive requirement for goods and services not exceeding %50,000 for SWaM certified vendors.

6. Your comments or suggestions on ways we can improve the Small Business program: The directions for installing Foxfire for MAC have PC instructions!

It is difficult to recertify. Several of our long term vendors had extreme difficulty in being able to start the online recertification process.

7. Additional Information: Since several questions listed in this report are answerable in eVA and since both eVA registration and DMBE certification are required prior to doing business perhaps creating downloadable reports comparing eVA vendor files to DMBE's SWaM vendors. It would reduce the amount of time spent data mining our

ERP's looking for those vendors who are in eVA but may, or may not, be SWaM certified.

Completed by: Gregory Woodford Signature: Gregory Woodford Date: August 26, 2011

Reviewed by: [Signature] Signature: _____ Date: 8.26.11
Agency/Institution Head

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