



U.S. Small Business Administration
IT Strategic Plan
Fiscal Years 2007 - 2011



Message from the Chief Information Officer

March 2007

Technology, especially information technology, is no longer simply a commodity, or an overhead cost that must be controlled. As the SBA continues to focus on results and outcomes, we are confident that technology is one of the primary enablers and sources of empowerment that SBA will rely upon to accomplish our mission. It powers our connections with our customers – the small businesses that drive our economy, or the disaster victims that rely on SBA to recover. It enables our employees to serve customers, make decisions, and communicate. It powers our connections within the SBA and throughout the Federal government, so that field offices and headquarters are coordinated and SBA can work with partner agencies in a coordinated fashion. And information technology enables more effective decision-making, allowing us to determine the needs of our customers and track performance and outcomes of our programs to enforce accountability.

Technology is a real investment in our future – both the future of the SBA and the futures of thousands of entrepreneurs, small businesses, and disaster victims. We in IT are increasingly involved in business strategy, business process management, and customer relations. We help lead the charge to maximize efficiency and effectiveness in the face of limited resources. We envision a future in which IT is an even more active partner with our program offices most directly involved with our customers.

A great deal of work has already begun, and a great deal remains to be accomplished if we are to achieve our vision for the SBA. We call on all who work for and with the SBA - from both the business and IT - to help us succeed.

Christine Liu
Chief Information Officer

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I Executive Summary

The importance of small businesses to the United States is clear, with small businesses contributing two-thirds of the seven million new jobs created in the last three years. The U.S. economy is driven in large part by the entrepreneurs and small businesses served by the U.S. Small Business Administration (SBA). Since 2001, the SBA significantly expanded virtually all its programs, providing loans, counseling, procurement assistance, and disaster assistance to those same small businesses that contribute so much to our economic prosperity. At the same time, the SBA worked hard to achieve major budget savings and aggressively pursuing the current Reform Agenda to improve program effectiveness, based on the belief that the Agency can significantly improve the impact of its programs by:

- Focusing on clear outcomes;
- Serving customers effectively;
- Enabling employees; and
- Operating an accountable, transparent, and efficient organization.

Information technology (IT) has been a critical tool enabling this growth and efficiency, and will continue to be a major factor as the SBA delivers expanded products and services to entrepreneurs in the Nation's most underserved markets; continues to help disaster victims on the road to recovery; and works to make the Agency more efficient.

Improving SBA results and the Reform Agenda and its related initiatives all depend on access to the right information in an efficient and timely manner. Being information-driven is the mandate that drives the Office of the Chief Information Officer (OCIO), and is embodied in the OCIO mission:

To foster an environment in which information and technology are used to support and enhance business decisions and Agency operations.

In support of that mission and, even more importantly, in support of the Agency's mission, goals, and objectives and the Administrator's Rapid Improvement Campaigns (also known as the Nine Initiatives), this IT Strategic Plan further identifies the IT initiatives required by the Agency's business needs. These IT initiatives – in support of business capabilities - are grouped in four interrelated IT Goals. Within each IT Goal are a number of categories of initiatives. Within each category are one or more specific IT initiatives. The IT initiatives by category are summarized in Figure 1: Summary of IT Goals and Initiative Categories.

Figure 1: Summary of IT Goals and Initiative Categories

Business and IT Strategic Alignment	The Right Technology Solutions, Infrastructure, and Architecture	A Skilled and Knowledgeable IT Workforce	Effective and Efficient Management of IT Resources and Operations
<ul style="list-style-type: none"> <input type="checkbox"/> Alignment via coordinated business and IT planning 	<ul style="list-style-type: none"> <input type="checkbox"/> Improve service delivery through enterprise-wide automation, web-enablement, and system upgrades <input type="checkbox"/> Enable employees through enterprise-wide automation, web-enablement and system upgrades <input type="checkbox"/> Improve IT Infrastructure <input type="checkbox"/> Improve data integrity and provide an authoritative access point for data <input type="checkbox"/> Promote internal and external collaboration <input type="checkbox"/> Exploit the benefits of EA <input type="checkbox"/> Realize the benefits of E-Government <input type="checkbox"/> Improve IT security and privacy 	<ul style="list-style-type: none"> <input type="checkbox"/> Provide excellent technical support <input type="checkbox"/> Develop the IT workforce <input type="checkbox"/> Improve the IT organization 	<ul style="list-style-type: none"> <input type="checkbox"/> Enable proactive performance management (including advanced analytics) <input type="checkbox"/> Continue to improve the Agency's capital planning and IT governance processes

These OCIO initiative categories represent a blueprint for implementing IT that supports the SBA's strategic goals and objectives and the Administrator's Rapid Improvement Campaigns. The Rapid Improvement Campaign addresses short-term projects while also outlining a long-term vision for the SBA as plans are implemented. The OCIO's internal and external customers, by 2011, will interface with a quality-focused, highly productive, responsive organization that exceeds customer requirements through continuous improvements in products and services. Initiatives in support of workflow/process automation will reduce reliance upon, and, in some cases, eliminate, inefficient paper processes. Electronic transfer of applications and documents with customers and partners will occur seamlessly, facilitated by an integrated customer-facing approach and a modernized infrastructure. Agency-wide systems will bring SBA closer to the small business community and resource partners and measure its success when this vision has become a reality.

Each IT initiative category and the specific initiatives has been mapped to the SBA's Strategic Goals and Objectives (as described in the Agency Strategic Plan FY 2006- 2011) and is referenced in Appendix A – Mapping of IT Initiatives. A summary, at the initiative category level only, is in Figure 2 below.

Figure 2: Mapping of IT Initiative Categories to Agency Strategic Goals and Objectives

Goals and Initiative Categories	Strategic Goal I: Improve the economic environment for small businesses	SG I Objective 1: Minimize the regulatory burden on small businesses	SG I Objective 4: Streamline interaction with government	SG I Objective 5: Increase the openness or Federal opportunities to provide businesses for small	Strategic Goal II: Increase small business access by bringing competitive opportunity apps	SG II Objective 1: Increase positive impact of SBA assistance on startups	SG II Objective 2: Maximize the sustainability and growth of existing small businesses	SG II Objective 3: Increase access of small businesses facing competitive opportunity	SG II Objective 4: Remove barriers and businesses affected by disaster	Strategic Goal III: Remove maximum efficiency and effectiveness	SG III Objective 1: Ensure Agency efficiency and effectiveness	SG III Objective 2: General Capital management	SG III Objective 3: Human management	SG III Objective 4: Financial performance and budget technology	SG III Objective 5: Information and contract
Goal 1: Business and IT Strategic Alignment															
1.1 Alignment via coordinated business and IT planning	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Goal 2: The Right Technology Solutions, Infrastructure, and Architecture															
2.1 Improve service delivery through enterprise-wide automation, web-enablement, and system upgrades	X		X	X	X	X	X	X	X	X					X
2.2 Enable employees through enterprise-wide process automation, web-enablement and system upgrades	X		X	X	X	X	X	X	X	X					X
2.3 Improve IT infrastructure										X					X
2.4 Improve data integrity and provide an authoritative access point for data from disparate data sources across SBA	X	X	X		X	X	X			X			X	X	X
2.5 Promote internal and external collaboration					X	X	X		X	X			X	X	X
2.6 Leverage and communicate the benefits of EA										X					X
2.7 Realize the benefits of E-Government	X	X	X							X					X
2.8 Improve IT security and privacy	X		X							X					X
Goal 3: A skilled and knowledgeable IT Workforce															
3.1 Provide excellent technical support										X					X
3.2 Develop the IT workforce										X		X			
Goal 4: Effective and efficient management of IT resources and operations															
4.1 Enable proactive performance management (including advanced analytics)										X	X				X
4.2 Continue to improve the Agency's capital planning and IT governance processes										X					X

II Introduction

The mission of the SBA has been essentially unchanged since its founding in 1953:

To maintain and strengthen the Nation's economy by enabling the establishment and viability of small businesses and by assisting in the economic recovery of communities after disasters.¹

SBA has continued to promote small business development and entrepreneurship through business financing, government contracting, and technical assistance, although the aftermath of Gulf Coast Hurricanes in 2005, led to an emphasis on serving the victims of disaster and promoting economic recovery. As a result of these forces, SBA's vision for the future will focus in three primary areas:

- Disaster assistance;
- Underserved markets; and
- The effectiveness of the Agency in meeting the needs of America's entrepreneurs.²

The Gulf Coast Hurricanes resulted in SBA's largest disaster response in its history. SBA received over 420,000 loan applications and approved almost three times the dollars of the next largest disaster in agency history.³ The demand surge left SBA struggling to meet the needs of disaster victims. Nearly all those victims have received their assistance, but the SBA continues to focus on improving access to disaster assistance, streamlining operations to improve service, and improving coordination between the Office of Disaster Assistance (ODA) and the rest of the agency.

Another priority centers on delivering loans to underserved markets. SBA's total credit portfolio has grown since 2001 to a total of \$78 billion, up 56 percent, and the number of loans has doubled. More than 32 percent of all SBA approved loans went to minority borrowers, and the number of loans approved for African Americans, Hispanics, and Asian Americans all rose to record levels. In 2005, small businesses secured almost \$80 billion in prime contracts, \$21 billion of which went to small, disadvantaged businesses.⁴ SBA wants to build on that success, and ensure that these same typically underserved markets are receiving loan and procurement assistance.

SBA also continues to work to become more efficient. Since 2001, salaries and expenses are down 31 percent,⁵ even as the lending, contracting, and counseling programs have grown significantly. The SBA must stand ready to support the engines of American entrepreneurship in the face of tightening budgets and continued demand for SBA's programs and services.

¹ Enabling the Establishment and Vitality of Small Businesses. U.S. Small Business Administration

² SBA FY2008 Performance Budget

³ Ibid.

⁴ Ibid.

⁵ Ibid.

These three priorities drive SBA's commitment to Agency-wide business and IT strategic planning, especially given that although information and technology can improve operations and efficiency, they can also be expensive. The Agency's strategic goals are derived from the Agency's mission, and each of these goals has associated objectives, performance metrics, and strategies. Since the mission of the OCIO is to support the strategic direction of the business agenda, it is critical that all IT initiatives directly support one or more of the Agency's strategic goals and associated objectives.

This document represents the Agency's guidance to effectively manage information and deploy technology in support of the Agency's strategic direction. It is driven primarily by the U.S. Small Business Administration Strategic Plan FY 2006 - 2011, and the strategic goals, long-term objectives, and supporting strategies described in that plan.

In the summer and fall of 2006, the OCIO facilitated sessions with 13 SBA program offices to identify technology gaps that prevent the accomplishment of their mission objectives. The results were incorporated into an IT Strategic Roadmap report. This IT Strategic Plan builds upon and extends the Strategic Roadmap.

The Administrator kicked off nine Rapid Improvement Campaigns, dedicated to improving results across the SBA, also in the fall of 2006. While the campaigns are short-term in nature, the resulting initiatives will have short-, mid-, and long-range IT impacts, so they also feed into the IT Strategic Plan.

Further, this plan also incorporates strategic elements of the SBA Information Technology Strategic Plan (FY 2005 – 2009), the Enterprise Architecture (EA) Migration and Sequencing Plan and Blueprint (updated in September 2006), and the draft SBA Agency Plan (updated in August 2006).

This plan is also driven by the President's Management Agenda (PMA), the Clinger-Cohen Act, OMB Circular A-130, the Paperwork Reduction Act (PRA) of 1995, the Government Performance and Results Act (GPRA), and the Federal Information Security Management Act (FISMA).

II.I Scope of the IT Strategic Plan

The SBA IT Strategic Plan encompasses information management, information technology, information resources management, information systems, and information services activities across the SBA. Additionally, the plan addresses a broad spectrum of technology services, products, and telecommunications technologies provided by the SBA OCIO. This plan applies to all organizations in the Agency, including headquarters; regional, district, and branch offices; loan processing and servicing centers; liquidation centers; and disaster assistance area offices. This plan also applies to all IT-related resources within the SBA, including the OCIO staff and IT-related resources working outside of the OCIO.

III OCIO Mission, Vision, and Guiding Principles

III.I Mission

The mission of the OCIO is to foster an environment in which information and technology are used to support and enhance business decisions and Agency operations.

III.II Vision

The OCIO must deliver high-quality information to those who need it, when they need it, in an environment driven by information. The vision of the OCIO is to sustain a quality-focused, highly productive, service-oriented and responsive organization based upon world-class information delivery and infrastructure capabilities.

III.III Guiding Principles

The OCIO developed a set of guiding principles which direct decision-making at different levels of the organization. These principles form the common values embraced and demonstrated by the OCIO and provide broad guidance for IT planning and architecture decisions.

Below are overarching principles that guide the management of the OCIO.

1. Develop *partnerships* within SBA and with external organizations to help us focus our resources on strategic activities;
2. Seek to earn our partners' trust through our *professionalism, honesty and integrity*;
3. Foster a *people-first* environment based on trust;
4. Use *teamwork* to deliver comprehensive solutions;
5. Design our products and services for *flexibility and growth*;
6. Believe that *continuous learning* about business and operations help us deliver better products and services;
7. Strive for the *continuous improvement* of its own processes to better position itself to support information needs;
8. Recognize how our *fiscal responsibility* helps meet our financial targets and benefits our shareholders; and
9. Deliver on our *commitments*.

IV The Current State of SBA IT

Over the past three years, since the development and publication of the previous version of the SBA IT Strategic Plan, SBA and the OCIO have made significant progress toward accomplishing the targeted IT initiatives. This update of the IT Strategic Plan builds on the FY 2005-2009 Plan. Under that plan, the SBA formalized its IT capital planning and IT governance processes, matured its enterprise architecture, upgraded infrastructure, and improved security and privacy, as well as accomplished a number of specific projects.

Category	Major Accomplishments
IT Strategy and Business Alignment <ul style="list-style-type: none"> • Alignment of IT to Agency Plan • Alignment via Enterprise Architecture 	<ul style="list-style-type: none"> • Established the Technical Review Board (TRB) and team of “virtual architects” • Appointed Chief Architect • Improved EA emphasis for strategic planning
IT Organization and Skills <ul style="list-style-type: none"> • IT Organizational Improvements • IT Workforce Planning • Sourcing 	<ul style="list-style-type: none"> • Made IT supervisors accountable for accomplishment and tied goals to personal commitment plans • IT Workforce Assessment Survey conducted
IT Management and Governance <ul style="list-style-type: none"> • Performance Management • Contract Management • IT Portfolio Management • Financial Analysis and Reporting 	<ul style="list-style-type: none"> • Institutionalized use of eCPIC for budgeting • Established and institutionalized IT Governance in the Business Technology Investment Council (BTIC) and Business Technology Investment Advisory Council (BTIAC) • Passed audits without qualification
Technology and Architecture <ul style="list-style-type: none"> • Enterprise Architecture • Applications and Infrastructure • Data Analysis and Transformation • IT Security and Privacy • Supporting e-Government 	<ul style="list-style-type: none"> • Met HSPD-12 deadlines • Improved security; Sarbanes-Oxley and FISMA compliant • Developed an approved Continuity of Operations Plan (COOP) • Earned green on EA and eGov scorecards • Upgraded Agency-wide desktop hardware and software • Redesigned SBA.gov • Instituted Earned Value Management (EVM) tracking for major IT projects • Improved mobile computing via Blackberries and VPN/remote access • Initiated upgrade of the network cabling in the Headquarters offices to improve transmission speed • Implemented Electronic Records Management System

Despite the significant work accomplished, the current state of SBA’s IT still leaves room for improvement to fill the gaps between the current state and the target state.

V The Target State of SBA IT

The IT Strategic Plan echoes the Administrator's and SBA Agency Plans in supporting improved results by focusing on being outcomes-driven, customer-focused, employee-enabled, accountable, efficient, and transparent. The SBA must continue its evolution into an information-driven, collaborative, technology-enabled organization that collects and shares quality data, provides quick and easy access to its products and services, and gives employees and customers the tools they need. Developing the right mix of technology-based business capabilities, such as mobile computing, web-enabled applications, advanced analytics, and electronic collaboration is key for the SBA to drive results, and improve efficiency.

The specific initiatives that will allow SBA to achieve this future state are discussed in detail in the subsequent four sections and summarized in Figure 2 below. The initiatives span four comprehensive IT goals, ensuring a balanced approach to IT strategic planning. The four IT goals are:

- **Business and IT Strategic Alignment** – Ensuring that the IT organization and technology are aligned with the agency's Business mission, goals and objectives throughout planning and execution
- **The Right Technology Solutions, Infrastructure, and Architecture** – Defining and operating the technology solutions and underlying architecture for long-term IT support of business capabilities
- **A Skilled and Knowledgeable IT Workforce** – Aligning the IT organization's structure and skills with the needs of the agency, while promoting employee learning and satisfaction
- **Effective and Efficient Management of IT Resources and Operations** – Managing IT resources and operations to ensure effective and efficient support of business and financial goals

Within these goals are groups, or categories, of initiatives. A mapping of IT initiatives to the SBA's Strategic Goals and Objectives (as described in the Agency Strategic Plan FY 2006-2011) is referenced in Appendix A – Mapping of IT Initiatives. Further, within the sections below, there are call-out boxes in which each initiative category, and in some cases specific initiatives themselves, are mapped to long-term objectives and supporting strategies from the Agency Strategic Plan.

Figure 3: Summary of IT Goals and Initiative Categories

Business and IT Strategic Alignment	The Right Technology Solutions, Infrastructure, and Architecture	A Skilled and Knowledgeable IT Workforce	Effective and Efficient Management of IT Resources and Operations
<ul style="list-style-type: none"> <input type="checkbox"/> Alignment via coordinated business and IT planning 	<ul style="list-style-type: none"> <input type="checkbox"/> Improve service delivery through enterprise-wide automation, web-enablement, and system upgrades <input type="checkbox"/> Enable employees through enterprise-wide automation, web-enablement and system upgrades <input type="checkbox"/> Improve IT Infrastructure <input type="checkbox"/> Improve data integrity and provide an authoritative access point for data <input type="checkbox"/> Promote internal and external collaboration <input type="checkbox"/> Exploit the benefits of EA <input type="checkbox"/> Realize the benefits of E-Government <input type="checkbox"/> Improve IT security and privacy 	<ul style="list-style-type: none"> <input type="checkbox"/> Provide excellent technical support <input type="checkbox"/> Develop the IT workforce <input type="checkbox"/> Improve the IT organization 	<ul style="list-style-type: none"> <input type="checkbox"/> Enable proactive performance management (including advanced analytics) <input type="checkbox"/> Continue to improve the Agency's capital planning and IT governance processes

Across these IT goals and initiative categories, the specific initiatives focus on the following themes to transform the SBA with the boundless opportunities allowed by its target state:

- Business and IT working in partnership;
- Automated, electronic processes;
- Collaboration and integration of programs, systems, and data that work enterprise-wide; and
- Rational and flexible IT infrastructure and support services.

Goal 1: Business and IT Strategic Alignment

The Agency's ability to meet its mission through the effective use of technology relies upon clear communication between the OCIO, the program offices, and those resources performing IT-related functions throughout the Agency. The primary function of IT is to support the Agency's Business mission, vision, goals, objectives and strategies. Technology supports the mission most effectively when the Agency's Business goals are well-understood from the senior executives to the front lines; when the business articulates its needs from the current IT and target infrastructure; and when the IT organization successfully articulates both its current and target capabilities and limitations.

Communication has improved between the business and the IT organization within the Agency through the BTIC and its advisory council, BTIAC. In addition, a specific initiative to communicate the IT Strategic Plan throughout the agency would help ensure that the IT organization and technology are aligned with the business goals and objectives throughout the entire CPIC cycle of Select, Control and Evaluate. Also, coordinated annual IT planning between the program offices and the OCIO would ensure an ongoing partnership between business and IT, and would help business and IT understand each others needs and limitations.

The following initiatives support all the Agency's goals and objectives as described in the SBA Strategic Plan FY 2006 – 2011 by ensuring that business and IT are continually aligned, so the SBA can be confident that IT decision-making is based on business drivers.

1.1. Alignment via coordinated business and IT planning

As the program offices within SBA contemplate IT solutions to address their business needs, they often do not have the necessary technology expertise resident within the office to make the best technology determination. OCIO needs to be aware of any technology changes, upgrades, or implementations the program offices may be planning so they can ensure the selected solution is compliant with existing or planned EA, resources and systems.

Regular joint IT planning can provide the program offices with the technology advice and support to make the best IT decisions. Likewise, the OCIO can be made aware of and prepare for pending IT procurements.

In addition, the Office of Procurement and Grants Management (OPGM), which manages SBA's procurement activity, will work closely with OCIO to ensure OCIO is informed of all IT-related procurements that originate outside of OCIO. This will make OCIO aware of pending IT purchases, ensure they are compliant with the enterprise architecture, and be ready to support the new hardware or software.

1.1.1. Communicate the IT Strategic Plan throughout the agency

The IT Strategic Plan communications effort will develop a structured communication process to explain IT's role in supporting the business mission. Awareness of the IT Strategic Plan

throughout the Agency and consensus around its goals are requirements for this Plan to be institutionalized and used as the basis for IT decision-making and investment prioritization. The OCIO will seek to systematically communicate this IT Strategic Plan throughout the Agency by:

- Educating all IT staff about the core messages of the IT Strategic Plan, including IT-related resources in program offices.
- Engaging relevant Agency stakeholders in the continued prioritization of business strategies, collaborative development of segment and domain architectures, and related IT initiatives.
- Integrating the IT Strategic Plan priorities into the Capital Planning and Investment Control (CPIC) process, along with the Agency Strategic Plan. The BTIC and BTIAC will refer to the IT Strategic Plan to identify core agency infrastructure and enterprise IT capabilities for 2007-2011, and evaluate the degree to which each new investment proposal advances the goals of the ITSP and Agency Strategic Plan. These governing bodies are a key element of the CPIC process. (See Section 4.2 for a further discussion of CPIC initiatives.)
- Incorporating IT initiatives outlined in this IT Strategic Plan in the Agency budgeting process.

Goal 2: The Right Technology Solutions, Infrastructure, and Architecture

The purpose of this goal is to provide long-term support for needed business capabilities by defining and refining the target architecture with the most appropriate technology and infrastructure to support the Business IT needs. OCIO will always work to support its mission critical systems while also ensuring compliance with all existing and new laws, regulations, and mandates.

SBA will place a heavy emphasis on driving results over the next several years. SBA and its employees will need adequate system, tools and infrastructure to be truly outcomes-driven, customer-focused, employee-enabled, accountable, efficient, and transparent.

OCIO will define the architecture and provide the IT tools and services required to reach these goals. Technology, infrastructure, and architecture cover a broad spectrum of services, products, and telecommunications technologies for which the CIO will be responsible. These include the major types of service areas that manage data and applications (distribution, utilization, and administration) as well as the infrastructure required to engineer and manage those applications and information.

SBA and OCIO have identified the need to automate service delivery to customers and internal processes for the employees. They need to improve collaboration within the agency and with external partners and continue to improve the IT infrastructure and security to support mission critical systems.

A strong EA program will drive the creation of optimal technology solutions for automation and collaboration and more effectively identify infrastructure and security needs. It would also be instrumental in guiding and supporting E-government solutions

2.1. Improve service delivery through enterprise-wide automation, web-enablement, and system upgrades

OCIO must improve service delivery to customers through the automation and web-enablement of customer-facing system.

The SBA, like all federal agencies, has many more potential IT projects than available funds and staff and must carefully choose projects. The criteria for selecting projects must also reinforce the agency's overall EA infrastructure, show clear positive outcomes for customers and enable employees to accomplish the agency's mission.

Many SBA business processes are still partially or completely manual. SBA will need to mature from manual systems and processes to full automation in the next five years to provide the service and products that the agency's mission and its customers require. SBA and OCIO will streamline information collection and dissemination – so that customers provide data one time, in one place, and go to one place to receive information.

The initiatives discussed in this section support the following objectives and related strategies:

- **Strategic Objective 1.4: Simplify the interaction between small businesses and the federal government through the use of the Internet and information technology.**
 - *Strategy: Re-engineer the way SBA manages information to harmonize an streamline information collection and dissemination of services to the small business community.*
- **Strategic Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**

2.1.1. Improve loan servicing (short-term) (eTran)

In addition to the Objectives and Strategies described in 2.1, this initiative would also support:

- **Strategic Goal 2, all objectives: Increase small business success by bridging competitive opportunity gaps for entrepreneurs.**
 - *Strategy: SBA will continue to assist small businesses in obtaining loans necessary for growth.*
 - *Strategy: SBA will increase the number of small businesses receiving long term fixed asset financing.*
 - *Strategy: The Agency is streamlining processes that will reduce the cost to lenders for originating SBA loans.*
 - *Strategy: The Agency is conducting a study to evaluate SBA's lending activities, looking at reducing the number of unnecessary or repetitive tasks, streamlining the processes, and finding where the Agency can reduce its interactions with lenders.*
- **Strategic Objective 3.1: Restore homes and businesses after disaster.**
 - *Strategy: SBA continues to speed up its processing of home loan applications.*
 - *Strategy: SBA will explore feasibility of accelerating the disbursement of loans.*

The SBA determined that streamlining loan processing is a top priority. SBA is focusing on simplifying and automating lender interaction as one key component of this streamlining. The Loan Management and Accounting System (LMAS) (see Section 2.1.2) is the long-term solution to this problem. However, near-term, SBA has identified an opportunity to reuse the existing eTran system, originally designed only for loan origination, will extend its functionality into loan servicing. If approved, the Agency could also potentially reduce processing time for loans and ease the lender's burden in doing business with the SBA until LMAS is operational. These upgrades will allow SBA lending partners to automate several currently manual loan servicing functions. In addition, this initiative could potentially serve the banking industry's continued evolution toward complete automation, making them more likely to work with SBA products. ETran improvements will also increase and improve the data captured electronically which, in turn, will improve SBA's ability to conduct portfolio analysis.

Full automation of processing depends, in part, on SBA's ability to electronically accept data from lenders, and improvements to the e-Tran system will be the short-term solution. Eventually, LMAS will allow the SBA to completely delegate loan servicing to their partners.

E-Tran could potentially be extended to provide loan origination for SBA's 504 loans.

2.1.2. Improve loan processing and servicing (longer-term) (LMAS)

In addition to the Goals and Objectives described above, this initiative also supports:

- **Strategic Objective 4.3: Financial management systems will support both SBA strategic management and financial accountability by providing financial information that is useful, relevant, timely and accurate which assists SBA in maximizing program performance and accountability**
 - ***Strategy: OCFO has initiated the planning process for the modernization of the loan accounting system, the core financial management system for SBA's credit programs. An upgrade would dramatically improve the operations and effectiveness of the Agency's financial management process.***

SBA needs to continue to develop requirements for, acquire, and implement the planned LMAS. LMAS will streamline loan processing throughout the agency, handling both disaster loans and loans made through the Office of Capital Access (OCA) programs. Implementation will span several years, starting in 2008, and result in improvements in processing loans, compliance and resource allocation.

SBA will realize a range of benefits which support the Agency mission and the Administrator's Nine Initiatives. Loan cycle time will be substantially reduced, as LMAS will automate many now-manual processes. This will address two of the Administrator's top priorities of increasing loan volumes and increasing service center throughput, as automation will increase the speed of loan delivery. This initiative will also streamline processing allowing for reallocation of resources toward customer service and underserved markets, two additional top business priorities. Also, the more loan data that SBA has electronically, the better the analysis of portfolio performance and risk management will be. Finally, LMAS will help to bring SBA into compliance with a host of federal requirements.

2.1.3. Simplify the process to obtain Federal disaster assistance

In addition to the objectives described in Section 2.1, this initiative also support the following strategies:

- **Strategic Objective 3.1: Restore homes and businesses affected by disaster.**
 - **Strategy: Disaster Credit Management System (DCMS) has been deployed and continues to be enhanced.**
 - **Strategy: the Agency will develop processes to allow for better utilization of the Internet, so more information is available to communities suffering disaster. The same technology will be developed to implement the use of online loan applications and status checks.**
 - **Strategy: SBA will develop and implement an online application and status inquiry system to better meet the needs of applicants. This system will interact with DCMS.**
- **Strategic Objective 4.4: Information and related technology will be managed effectively and securely**
 - **Strategy: SBA will develop an online Coordinated Disaster Assistance: paperless loan application and processing, harmonized loss verification.**

SBA’s Disaster Assistance Loan Program is the Federal government’s primary provider of disaster loans to homeowners, renters and businesses. SBA’s response to the unprecedented Gulf Coast hurricanes gave clear evidence that the agency needed to re-evaluate its current systems capabilities and business processes for responding to federally-declared disasters. The Agency’s vision is to provide seamless service delivery to our customers:

- Respond to any size disaster;
- Respond quickly and efficiently; and
- Respond with sensitivity to SBA customers.

The disaster loan process has steadily improved with the implementation of DCMS and ongoing process re-engineering.

Executive Order 13411 challenged the Federal government to work together in response to disaster and to provide “prompt and efficient access to Federal disaster assistance, as well as information regarding assistance available from State and local government and private sector sources [and] to provide a centralized application process for Federal disaster assistance; provide a centralized and continuously updated clearinghouse from which disaster victims may obtain information regarding Federal disaster assistance and State and local government and private sector sources of disaster assistance; reduce unnecessarily duplicative application forms and processes for Federal disaster assistance; and strengthen controls designed to prevent improper payments and other forms of fraud, waste, and abuse.”⁶

⁶ President George W. Bush, **Executive Order 13411- Improving Assistance for Disaster Victims**, August 29, 2006.

SBA will work with its partner Federal, state, and local agencies, as well customers and private sector organizations, to further simplify the process by providing a single electronic application form to access all types of Federal disaster assistance. The OCIO will work with ODA to connect DCMS with this single online application form, and to share data more readily with partners. This will streamline the process by providing more automation throughout the process, reducing data entry redundancies, and allowing real-time updates and inquiries for assistance data.

2.1.4. Simplify 8(a) and Small Disadvantaged Business application, certification, and review (BDMIS II)

This initiative also supports the following strategies:

- **Strategic Objective 1.5: Increase the effectiveness of Federal agencies to provide opportunities for small business.**
 - ***Strategy: Expand the use of electronic tools to process applications, conduct program reviews and facilitate other business processes related to determination of eligibility under procurement preference programs.***
 - ***Strategy: Increase access to programs and federal procurement opportunities by streamlining application processes, simplifying formulation of small business size standards, advocating standardized procurement procedures and promoting single point of vendor registration to do business with the government.***
- **Strategic Objective 2.3: Significantly increase successful small business ownership within segments of society facing special competitive opportunity gaps.**
 - ***Strategy: The Business Development (BD) program will conduct a thorough business process evaluation of the 8(a) program.***
 - ***Strategy: The BD program office will re-engineer the 8(a)/SDB application in collaboration with the OCIO.***
 - ***Strategy: the BD program office will develop an electronic system that would help manage the business development of the over 9,000 firms that participate in the program.***

The Business Development Management Information System (BDMIS) redesign, currently in the “requirement gathering” phase, will improve SBA’s ability to track and manage the participants of the 8(a) program. BDMIS will also help SBA comply with statutory regulations and augment the 8(a) community’s ability to compete for federal procurements.

The redesigned BDMIS system will better support the 8(a) community, automating every step from application origination, back office processes, and annual review servicing to 8a program completion and graduation. BDMIS will also give SBA visibility into every aspect of every 8a and SDB certification and create efficiencies in a process that currently relies on a combination of manual and automated throughput.

2.1.5. Improve distance learning and counseling

In addition to the Objectives described in Section 2.1, this initiative will also support:

- **Strategic Goal 2, all objectives: Increase small business success by bridging competitive opportunity gaps facing entrepreneurs.**
 - **Strategy: SBA will continue to expand its Small Business Training Network (SBTN), including expanding the quality and variety of courses and improving the measurement and analysis of client data.**
 - **Strategy: SBA is increasing the use of electronic counseling, training, and business management assistance.**
 - **Strategy: SBA will aggregate, sort and deliver electronic training programs from a variety of private and public, internal and external sources to a much great universe of small business clients.**
- **Strategic Objective 4.2: SBA will recruit, sustain, and effectively deploy a skilled, knowledgeable , diverse workforce**
 - **Strategy: SBA will continue to expand employees' training opportunities**
- **Strategic Objective 4.4: Information and related technology will be managed effectively and securely**
 - **Strategy: SBA will create a Distance Learning Network: online tools, courses, tutorial, and customer relationship management**

SBA already provides excellent online training courses for small business owners and entrepreneurs through the Small Business Training Network (SBTN). A full learning management system would allow SBA to track its customers throughout the lifecycle of training, and to see whether and how quickly courses were completed and certificates obtained. This data would allow SBA to better tailor its training offerings to the needs of its small business customers.

However, given the significant expense of such a system, SBA and OCIO will pursue less expensive, interim solutions. OCIO will support the expansion of SBTN to increase the depth and breadth of courses offered. OCIO will support the Office of Entrepreneurial Development (OED) in working with resource partners to define a training network, so that all SBA courses, regardless of provider, would have a single point of access.

OCIO will also work with the OED and the Office of Field Operations (OFO) to improve the delivery of training to the field offices, where there is not always reliable access to the SBA website.

2.1.6. Provide a single view of the customer

Several program offices and administrative offices have a similar need to view all SBA interactions with a customer throughout that customer's lifecycle. This is currently not possible given the disconnected and disparate systems used across the Agency. While security and privacy requirements would need to be met, many Agency processes would be streamlined by the existence of a (secure) single view of the customer. This would improve response time to customers, reduce the number of times and places a customer would have to contact SBA to

provide or receive information, and would allow SBA to track accurate metrics, enterprise-wide, around customer service. Improving SBA’s ability to consolidate and centralize client data is the key to developing or changing ongoing program policy to make it more effective and customer-centric.

The OCIO will utilize its emerging data management program to identify appropriate data subject areas, business owners for each area, and identify appropriate applications as “books of record” for each subject area (primary source of that subject area). The OCIO will identify, design, and build common services, where possible, for each data subject area and make those services available for re-use by applications outside that data subject area. These common services would enforce appropriate security and privacy mandates ensuring that data is shared appropriately.

During this process, the OCIO will continue to work with the relevant offices within the SBA to ensure that any issues related to providing a single view of the customer are addressed.

This initiative is highly interconnected with the initiatives in Section 2.4.

2.1.7. Support the implementation of Entrepreneurial Development Management Information System (EDMIS II)

In addition to the Objectives and Strategies described in Section 2.1, this initiative will support:

- **Strategic Goal 2, all objectives: Increase small business success by bridging competitive opportunity gaps facing entrepreneurs.**
 - ***Strategy: Increasing SBA’s ability to obtain client data is the key to developing or changing ongoing program policy to make it more effective and customer-centric. To that end, the Agency will continue to improve integration of business management assistance programs in SBA.***

EDMIS is the system to help to track, manage and analyze the activities associated with the OED’s clients, collected from resource partners. It is OED’s major reporting system. SBA will continue to upgrade EDMIS as needed to ensure proper data collection so that OED can measure performance, determine how well SBA is serving clients, and determine if SBA is meeting its targets.

2.1.8. Improve HUBZone

In addition to the Objectives described in Section 2.1, this initiative also supports the following strategy under Objective 2.1:

- **Strategic Objective 2.1: Increase the positive impact of SBA assistance upon the number and success of small business start ups.**
 - ***Strategy: Improvements will be sought in the HUBZone compliance program by adding program examination, recertification, and reporting functionalities to the existing HUBZone application processing system.***
 - ***Strategy: The award of Federal requirements to HUBZone firms will be increased through development of an electronic process for researching and reviewing procurement and sources-sought opportunities posted to FedBizOpps.***

The HUBZone system provides online application processing, reporting, certification, and administration of the HUBZone Empowerment Contracting Program. Complete workflow is captured and controlled within the system. OCIO support enhancements to the HUBZone system to provide the desired additional functionality.

2.1.9. Continue to support and implement ePCR

In addition to the Objectives described in Section 2.1, this initiative also supports the following strategy under Objective 2.1:

- **Strategy: SBA is working with the Integrated Acquisition Environment (IAE) to develop the online screening process for Procurement Center Representatives (PCRs) to receive planned procurement during the acquisition planning process.**

Federal acquisition volume has grown dramatically over the last several years, while SBA resources to oversee small business set asides have remained constant. A key tool to help drive efficiency in this process is the Electronic Procurement Center Representative (ePCR), an application for automatically receiving solicitation information from Federal acquisition agencies. It will provide for early submission of requirements for procurement review, workflow management, and decision support for the PCRs. The ePCR initiative will enhance PCR effectiveness by increasing the number of Federal agency procurements reviewed by each PCR and thereby increase the number of contract opportunities for small businesses.

OCIO will support SBA and the Office of Government Contracting and Business Development (OGCBD) in the implementation of ePCR.

2.2. Enable employees through enterprise-wide process automation, web-enablement and system upgrades

Fulfilling SBA's mission and more and more ambitious goals, while budgets shrink and operations are streamlined will require that employees have the tools to automate time-consuming, inaccurate manual processes.

The initiatives in this section support the following objectives and related strategies:

- **Strategic Objective 1.4: Simplify the interaction between small businesses and the federal government through the use of the Internet and information technology.**
 - **Strategy: Re-engineer the way SBA manages information to harmonize and streamline information collection and dissemination of services to the small business community.**
- **Strategic Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**

2.2.1. Digital data storage and workflow

The OCIO will support the program offices in selecting a comprehensive document management and workflow solution. Current disparate document management systems used in SBA program offices do not meet business requirements and do not allow for collaboration, particularly

between headquarters and field office staff or between different field offices. In addition, artifacts associated with a loan record as part of an electronic case file cannot be used throughout the loan cycle. For example, documents created during origination can only be used during origination, and documents received during servicing cannot be seen across different processing centers.

The lack of electronic records management creates vulnerabilities for SBA. Core business and administrative processes are mostly paper-driven with limited electronic copy of vital records. Borrower records have a great number of paper artifacts that SBA will not be able to recover in case of a disaster. Personnel records are stored in paper format, leading some individuals to maintain their own back up copies.

OCIO will define a strategic vision for digital data storage and workflow that will support various content types and formats over their entire lifecycle. The solution will address scanning, electronically storing, managing, and routing documents and artifacts. The solution will address data interchange by linking content with back-end databases and support document or content-centric collaboration, as well as integrate with 8(a), LAS (and its potential future version, LMAS), and DCMS systems for status certification and loan application/processing.

2.2.2. Support implementation of the Contract Management System

The Contract Management System (CMS) will allow the Agency to perform end-to-end electronic processing of contracts and bring the Agency into conformance with OMB e-Procurement guidance. Currently, SBA business processes do not provide the capability for end-to-end automated electronic processing of contracts of the over 1,500 contracts and 2,000 purchase orders handled each year. Today, a combination of manual processing and standard government forms are implemented, and tracking is done via manual data entry.

The delivery of an improved system to manage SBA's contracts and procurement process will enable the organization to increase efficiency in awarding, processing, tracking and evaluating the agency's contracts. The current manual process results in delays and errors, and no system exists to evaluate the entire procurement lifecycle. CMS will also bring SBA into compliance with OMB requirements and allow for integration into government-wide procurement systems. Automation of payments will also improve the agency's cash flow and overall financial resources.

2.2.3. Support implementation of a Knowledge Management Solution

In addition to the goals and objectives described in Section 2.2, this initiative supports:

- **Objective 4.2: SBA will recruit, sustain and effectively deploy a skilled, knowledgeable, diverse workforce and executive cadre capable of executing high-quality programs and activities that meet the current and emerging needs of its customers.**
 - ***Strategy: SBA will transition from a manual to an automated Knowledge Management System to track employee skills and competencies and link them to the skills needed in the new SBA.***

The implementation of a knowledge management (KM) solution would allow SBA to leverage its organizational knowledge so every employee, customer or partner could maximize

participation with the agency. A KM solution would also be an agency clearinghouse for certification levels and skill explanations. Program offices could use the KM solution to find a specific project manager or to determine which level of manager would best suit an investment. (See Section 3.2.1 “Implement a Knowledge Management Solution.”)

2.2.4. Examine the feasibility of a Customer Relationship Management (CRM) System

A CRM system would give SBA the ability to manage, track and analyze all customer interactions, and understand how each program is utilized by its customers. This would give SBA visibility into a host of customer-oriented information, including how programs are functioning, which programs are commonly used together, which market sectors are being served, or are underserved, lifecycle-related status. The CRM system would also help to store customer data in an electronic format, which would permit extensive analysis using data mining. The CRM system could also contribute many types of data for scorecard analysis, as well as be flexible to accommodate new scorecard items.

Customers would also see an advantage, as their information would be stored in a single location and be available throughout the agency. Customers would not have to duplicate applications, inquiries or requests for every program office they interact with.

However, CRM implementations can be expensive, complicated projects, so OCIO will examine the feasibility of a CRM solution within the timeframe of this IT Strategic Plan and available resources at SBA.

Also see, section 2.1.6 Provide a single view of the customer.

2.2.5. Additional automation opportunities

A number of functions within SBA’s program and support offices should be automated to improve quality of data and service levels to SBA customers.

Grants Processing

One example is the process of initiating, paying, reporting, and tracking results of SBA grants to resource partners for the services they provide through Small Business Development Centers, Women’s Business Resource Centers, and other SBA resource partners. This process involves SBA program and support staff from ED, OPGM, Finance, and other offices, and is largely a manual process. With an automated grants process, Agency and partner resources could be freed to create targeted development opportunities for priority groups and increase the value of the Agency’s partnerships. The OCIO will work with all offices involved in the process to explore options and evaluate the feasibility of automating back office grants management and reporting as well as integrating with the Federal wide e-Government Grants initiative.

Safety and Health Operations Monitoring System (SHOMS)

SHOMS is another opportunity to improve services to better support SBA employees is the This system will allow SBA to capture and track occupational and non-occupational injuries and illnesses as well as provide reporting capabilities to support Occupational Safety and Health Administration (OSHA) regulations and Worker's Compensation requirements.

Implementation of this system will reduce claims processing and servicing timeframes along with associated labor costs.

Additional opportunities identified by the Agency which may require analytical and/or operational support from the OCIO include:

District Office Tracking System (DOTS)

Upgrade DOTS to include sufficient data to fully meet business requirements.

Automated SF 52 process

Automate SF 52 (Request for Personnel Action) and alternate worksites for field offices.

Enhanced OGC case system

Enhance OGC case system to support centralized information repository accessible by the field staff, to enable all district offices to be served by a common resource “pool.”

Upgraded correspondence tracking system

Upgrade correspondence tracking in Executive Secretariat to manage review, clearance, circulation, and archiving of all Agency correspondence; handle submission of Congressional and OMB reports; and administer public email accounts.

Automate lease management and property portfolio tracking

Automate these functions for the Office of Management and Administration (M&A).

Implement a fleet management system

Implement fleet management to track all Agency vehicles for M&A.

2.3. Improve IT infrastructure

The IT Infrastructure, also known as the Technology Architecture, defines the IT needed to provide a functional and efficient environment for existing and future applications and information. The infrastructure is the bottom layer in the architectural hierarchy, and is the foundation on which all the other IT architectures are built. The infrastructure must be driven by business needs communicated by the design of the three higher architectural layers (Business Architecture, Data Architecture, and Application Architecture). The infrastructure includes the network environments (LAN and WAN), telecommunications environment, the hardware, and the network operations center.

Over the last three years, SBA has made significant upgrades to its infrastructure, including upgrading all desktop hardware and software throughout headquarters. These upgrades will continue according to the following initiatives.

The initiatives in this section support:

- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**

2.3.1. Conduct a comprehensive infrastructure assessment and develop an upgrade strategy as necessary

As the SBA and the OCIO move toward a more customer-centric organization, the OCIO will ensure that all SBA offices and programs have secure, reliable IT services, such as telecommunications, internet access, and e-mail, which are mandatory for doing business. Providing a solid infrastructure is also necessary for the OCIO to continue to establish and maintain trust with the SBA office and programs.

The OCIO will analyze the current infrastructure for reliability, collect requirements and identify opportunities to upgrade, and identify redundancies so that operations can be rationalized and consolidated. The OCIO will work with the field offices to consolidate server management and related hardware purchases under the responsibility of OCIO. The IT infrastructure must adapt to serve the changing needs of the business, while remaining cost efficient. In that vein, SBA will examine opportunities for re-use, and is looking to increase the use of open source solutions and define and implement a service-oriented architecture (see Section 2.6.4) as ways to drive down infrastructure costs.

There are several specific IT infrastructure sub-initiatives:

- **Headquarters Rewiring:** the SBA Headquarters building in Washington, DC will be rewired to accommodate growing network and bandwidth needs.
- **Data Center Analysis:** SBA has multiple data centers across the country that require rationalization and upgrading. Several centers are inadequate to continue to serve SBA needs, and some are facing environmental issues – such as insufficient cooling and ventilation. Other sites have no back up or continuity of operations plans. Also, SBA continues to heavily rely on COBOL-based mainframe services that are becoming obsolete, expensive, and difficult for which to find support. OCIO will conduct an analysis of all data centers and identify rationalization efforts that could improve the centers such as server consolidation, server virtualization, and even the consolidation of centers.
- **Telecommunication Upgrade and Consolidation:** Currently each of SBA’s field offices procures its own telecommunications services from whichever local service provider it chooses. OCIO will conduct an assessment of its telecom services and spending, and determine what upgrades and consolidation are necessary. Additionally, OCIO will expand the availability of wireless networks.

2.3.2. Coordinated infrastructure purchasing and inventory

In order to maintain control of the IT infrastructure, and for OCIO be able to support the entire SBA infrastructure, policies for IT purchases by non-OCIO groups will be clearly defined, implemented and enforced so that any non-OCIO hardware and software applications are inventoried and managed centrally.

This initiative is closely related to Section 1.1, “Alignment via coordinated IT planning.” While the planning process may only occur at regularly scheduled intervals (i.e. annually), coordinated purchases and a centrally managed inventory would be maintained on an ongoing basis.

2.3.3. Provide the tools and technical assistance to support telework and mobile computing

SBA made significant improvements in supporting telework and the ability to support portable and mobile work in the last several years. However, the response to the Gulf Coast hurricanes underscored the need for SBA employees, especially in ODA and field offices, to be able to fully access SBA knowledge, resources, and systems at anytime from anywhere. SBA must better support mobile computing if it is to fulfill its goal of providing timely and efficient disaster assistance, which, by its nature, requires SBA resources to process loans in a disaster area.

SBA will continue to upgrade the technology to support mobile employees in support of SBA's goal of increasing telecommuting participation and more efficiently supporting mobile computing. OCIO will enable employees to use, within security and enterprise architecture constraints, laptops, personal digital assistants (e.g. Blackberries), access via virtual private network (VPN), wireless access, audio and video conferencing and other devices and technologies as they emerge.

There are infrastructure constraints, such as bandwidth, that will have to be addressed as they emerge.

2.3.4. Continue to support the transition to IPv6

Internet Protocol version 6 (IPv6) is a network layer protocol for packet-switched networks. It is the successor of IPv4, the current version of the Internet Protocol.

OMB Memorandum 05-22 requires all federal agencies' network backbone⁷ to be capable of transmitting both IPv4 and IPv6 traffic and receiving IPv4 and IPv6 transmissions by June 30, 2008. This would allow the government to take advantage of the expanded IP address space, and embrace future-oriented networking capabilities such as converged communications, IP-aware remote sensors and others.

IPv6 has the potential to impact agency decisions about business performance, business processes, IT infrastructure, and security and will therefore be included in the enterprise architecture development activities. IPv6 analysis will include updating the current architecture, the target architecture, and the transition strategy.

OCIO will use the guidance published by the Federal CIO Council and develop a plan to determine the network infrastructure acquisitions, address plans, test and evaluations, security and application transition.

2.3.5. Implement an integrated tracking tool and supporting processes for tracking and managing physical and software IT assets

OCIO is responsible for operating a number of business applications that support the programs. But without complete visibility into all of SBA's hardware and software assets, OCIO is hampered in its efforts to manage IT operations effectively. An IT asset management (ITAM) system should enable, support and optimize the agency's IT portfolio and use throughout the full life cycle of all assets. It contains a history of the asset characteristics and configuration data, including all the contracts relating to the asset. This repository of IT asset information should

⁷ Network backbone includes the WAN core up to the LAN point of demarcation

include four types of key data – characteristics of hardware, configuration of software, contracts and costs. Asset management is dependent on asset management technologies and asset management organization and processes. Implementing an ITAM will help the OCIO to:

- Uncover savings through process improvement and support for strategic decision making;
- Gain control of inventory;
- Increase accountability;
- Enhance performance of assets and the life cycle management; and
- Reduce risk through standardization, proper documentation, loss detection.

2.4. Improve data integrity and provide an authoritative access point for data from disparate data sources across the SBA

One of the single biggest barriers to service delivery, accurate performance measurement, and internal collaboration at SBA is the quality and inaccessibility of data. OCIO will promote an integrated, enterprise-wide view of data through the development of formal data management capabilities.

The initiatives discussed in this section support the following business objectives and strategies:

- **Objective 1.1: Minimize the regulatory burden on small businesses**
 - *Strategy: Continue to work with data collection agencies such as the Census Bureau and Bureau of Labor Statistics to improve the amount and quality of small business data needed for its economic research.*
- **Objective 1.4: Simplify interaction with the government**
 - *Strategy: Re-engineer the way SBA manages information to harmonize and streamline information collection and the dissemination of services to the small business community.*
- **Objective 2.1: Increase the positive impact of SBA assistance upon the number and success of small business start ups**
 - *Strategy: Increasing SBA's ability to obtain client data is the key to developing or changing ongoing program policy to make it more effective and customer-centric.*
- **Objective 2.2: Maximize the sustainability and growth of existing small businesses assisted by SBA.**
 - *Strategy: OLO's organization will be restructured to reflect the new operating model and to integrate the new data and information management tools available for lender oversight and portfolio monitoring purposes.*
- **Objective 4.3: Financial management systems will support both SBA strategic management and financial accountability by providing financial information that is useful, relevant, timely and accurate.**
 - *Strategy: Organize and provide resources to continually improve SBA's financial reporting process to provide accurate and timely*

financial data.

- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**

2.4.1. Create a formal data management program

The OCIO will define and publish common data definitions for enterprise data by establishing a formal data or Enterprise Information Management program. The consistent use of data elements will result in increased data integrity, better and more consistent reporting, and the ability to use existing infrastructure components rather than creating new components.

The OCIO will work with internal and external subject matter experts to address the people, processes and technology required to manage data across the Agency. The formal data management program will work collaboratively with OCIO's operation managers, Program and Administrative Offices to ensure the enforcement and development of data standards and policies for:

- **Data strategy** - transactional versus operational versus analytical (e.g. Executive Information System – EIS), synchronization, summarization and consolidations across the different data stores;
- **Data quality** – attributes such as accuracy, integrity, timeliness, access, availability, authenticity, completeness;
- **Redundancy** – data backups, failover policies;
- **Data modeling standards** – semantics, normalization, classifications, meta models;
- **Security and privacy** of data;
- **Industry reference** data;
- **Data retention** policies;
- **Legal implications** – audit trails, non-repudiation, archiving requirements; and
- **Enterprise Information Management.**

2.4.2. Create an enterprise-wide metadata repository

Given the amount and diversity of data and metadata at SBA, tools are needed to properly manage and maintain such an environment. Metadata is information that describes or provides context for data (or content, business processes, services) that support an organization's information system.⁸ A sound metadata model will improve data integration, improve data quality and improve analysis and reporting. The first step in creating the metadata repository is to create the data dictionary. FEA Data Reference Model (DRM) should be used for providing the context, description and categorization for the data elements. A standardized method for data description and categorization facilitates data discovery and sharing. It also enables repeatable data sharing processes to be established within and across the agency.

⁸ Karel, Rob. "Getting Your Arms around Metadata." Forrester Research. July 11, 2006.

A typical metadata repository should contain the data repository, a data registry, a data directory, and a library of data models.

- The data repository will contain composite metadata of interest to the enterprise from multiple sources, and it will contain items such as the enterprise information model, data element definitions and format, data structures, authoritative source systems, data extraction processes and data standards for use by data cleansing processes;
- The registry will provide a centralized authoritative source for semantics, structures and interchange formats for all data types;
- The information directory will provide a descriptive inventory of the SBA's information resources, providing a business description, contact, or steward identity, and access information; and
- The information model will provide a graphic representation of the various types of information that are required within the business area being designed.

2.4.3. Create an enterprise-wide data warehouse, or its equivalent

An enterprise data warehouse provides a unified view of enterprise information entities and enables the user to turn data and information into business knowledge. A data warehouse is a single, integrated store of data obtained from multiple sources, and made available to end users in a way that they can understand and use in a business context.

A data warehouse supports a broad range of strategic decision support and analytical processing needs across functional areas of the enterprise. These data structures are optimized for analytical processing. An enterprise data warehouse consists of three major components: a central data warehouse, data replication tools, and data marts and distributed warehouses.

An SBA data warehouse will allow:

- ODA to perform proactive event management using predictive analytics;
- OLO and OCA to conduct analysis on loan behavior and demographic characteristics to manage servicing efforts and default risk;
- OED to analyze trends to better understand the small business community
- OED to determine training requirements based on customer behavior; and
- OFO to help field analysts of all types better serve the public, by having a fuller organizational view of the services a customer may have with SBA when conducting annual reviews, referencing for business development, etc.

2.5. Promote internal and external collaboration

SBA will establish an IT environment that promotes both internal and external connectivity and data sharing. This draws on the concepts of the e-Government initiatives, supporting both delivery of services and administrative processes. (See Section 2.7 "Realize the benefits of E-Government" below.) The Agency will provide IT support to internal and external collaboration and coordination in the development of government contracting opportunities for small

businesses, the delivery of financial and technical assistance, and the provision of disaster assistance.

The Agency must collaborate and requires connections with:

- The Federal Emergency Management Agency (FEMA) for the coordination of disaster assistance;
- State and local agencies for the coordination of disaster assistance;
- The Internal Revenue Service (IRS) to verify loan application information and to certify businesses as small and/or disadvantaged; and
- Other agencies and entities across the public and private sectors.

IT has also facilitated interactions between SBA and all other Federal agencies for the purposes of promoting opportunities for small business to compete for Federal contracts. The OCIO will continue to support this type of collaboration and the shift to automated interaction. For example, the Agency has identified a need to integrate with the Department of Commerce so that the Agency can leverage their databases. The OCIO will work with the programs to move this initiative forward.

Internally, OCIO will continue to support and promote the use of collaboration tools, such as SharePoint and intranet portals, to promote knowledge sharing across programs and administrative functions. The OCIO will continue to support key infrastructure investments to enable further normalization and collaboration to provide a logical view of information across programs and between headquarters and field offices.

The initiative to centralize data (see Section 2.4) will also allow for improved integration and collaboration among program offices. SBA's participation in the Federal IT Infrastructure Line of Business effort will also promote interagency collaboration.

The initiative in this section supports:

- **Objective 2.1: Increase the positive impact of SBA assistance upon the number and success of small business start ups.**
 - *Strategy: Explore opportunities to broad access to capital by expanding collaboration with private sector entities to increase funding sources available to small businesses.*
- **Objective 3.1: Restore homes and businesses affected by disaster.**
 - *Strategy: SBA continues to speed up processing of home loan applications*
 - *Strategy: SBA will work in close coordination with FEMA and the IRS in delivering rapid, effective recovery assistance to disaster victims.*
- **Objective 4.3: Financial management systems will support both SBA strategic management and financial accountability by providing financial information that is useful, relevant, timely and accurate.**
 - *Strategy: OCFO will organize and provide resources to continually improve (1) the SBA's financial reporting process to provide accurate and timely financial data, (2) the models used to determine the cost of SBA's credit program, (3) the internal control over program processing,*

and (4) the Loan Monitoring System to provide effective oversight over the SBA's portfolio and lending partners.

- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**

2.5.1. Better integrate ODA, OCA, and OCFO

Both ODA and OCA oversee origination, servicing, and termination of loans, while OCFO monitors SBA's overall portfolio, risk exposure, and financial performance. Yet these offices operate independently for the most part, with separate information systems. OCIO will work with these program offices to blueprint the architecture for these programs and develop a single, integrated architecture that includes the business needs, functions, and system of both programs plus the OCFO to drive integration.

2.6. Leverage and communicate the benefits of EA

The EA is a means of organizing and managing the agency architectural layers (Business Architecture and IT Architecture – data, application and technology). EA plays a critical role when aligning the IT Strategy to the business mission, goals, objectives, and strategies. SBA's EA program should provide a roadmap to how technology can enable the business to achieve its goals. It will also guide the creation of a highly-scalable infrastructure that offers high re-usability, strong security, robust tools and services, and fully developed web capabilities.

EA includes explicit description and documentation of the current and target relationships among business goals and objectives, and information technology. The EA describes the "current" architecture which is a description of the business processes and their relationship and the "target" architecture which is a description of the desired business processes. It also provides a transition and sequencing plan that lists and prioritizes IT projects and programs and includes the rules and standards to optimize and maintain IT investments and portfolios. The EA changes as the Agency business needs and technology changes.

EA can help management make better decisions about technology investments for their business. SBA needs to continue maturing its IT governance and investment processes to ensure the most effective and efficient operational EA practices across the various business domains throughout the SBA.

The following initiatives support:

- **Strategic Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**
 - **Strategy: Continue progressing toward implementing a comprehensive program of IT governance practices, including an Enterprise Architecture aligning Agency program goals with actual and proposed IT systems.**
 - **Strategy: OCIO is moving to the next maturity stage in its Enterprise Architecture and has integrated key decision makers (OCFO, Program Executives) in the formation process.**

2.6.1. Educate key decision makers on the value of EA

EA coordinates the integration of the business vision, principles, standards, and processes to the select, control and evaluation processes (CPIC) of IT systems. This function is essential for improving IT effectiveness and efficiency. However, the value of EA is not understood by the key decision makers at SBA and EA suffers from categorization as a technical function.

EA value needs to be communicated to the program offices. EA includes target state business architecture, the target state IT architecture, and the roadmap to achieve the target state architecture, which are all critical planning functions. EA's value in planning, decision-making, managing technological complexity and cost needs to be effectively communicated. Regular reporting of key EA metrics should be a key part of communicating the value of EA to the executive stakeholders.

EA also requires a disciplined approach to modeling the as-is (current) to to-be (target) business processes, systems and technologies. Program office and OCIO staff responsible for defining future state business solutions would need to be trained on the usage of the enterprise architecture models and EA tools.

Workshops for decision makers and influencers in definition strategy and planning for the EA area should also be considered.

2.6.2. Continue to mature EA

The purpose of a mature EA goes beyond achieving compliance from OMB. It is an indication of the agency's ability to derive true value from the enterprise architecture. OCIO will continue to mature the enterprise architecture to more tightly integrate it with the CPIC processes and be able to measure cost avoidance and savings year after year.

OCIO will strive to accomplish the following enterprise architecture objectives by the end of FY2008:

- A complete baseline architecture for key business processes, systems, technologies;
- A clear linkage between goals and objectives with target state process, systems, application, data and technology layers of the architecture;
- Identification of performance metrics for each of the architecture layers (business, service component, data, and technology) and link them to the target business and customer outcomes;
- A standard approach for architecture modeling, including standardized architecture deliverables. This will be used across all the program offices;
- Use of Metis to maintain the enterprise architecture model, segment architecture models and for providing linkages between the FEA reference models;
- Engagement of the TRB throughout the CPIC phases;
- Use the online portfolio management tool, eCPIC, to submit all program IT initiatives and EA transition strategy initiatives; and

- Definition of metrics that measure the effectiveness of the EA program along the dimension of business alignment, value creation, operational effectiveness and risk management. Definition of a process to capture and report on these measures.

2.6.3. Fully deploy the EA tool

Utilizing the EA as an input to the governance process is important for decision-making. But to fully understand the impacts of a change to EA, the OCIO will implement a tool that:

- Easily highlights dependencies; and
- Assists in linking architecture components to the objectives and goals that they support. This linkage provides important context to governance decisions such as investment prioritization and software development or COTS / GOTS purchases.

SBA has licensed and installed Metis as the enterprise architecture modeling tool. EA models have been created in Metis to reflect the information in the current EA blueprint. OCIO would need to use Metis as the primary source of enterprise architecture models and perform all modeling and analysis tasks using the tool. OCIO will also promote the tool as the architecture modeling standard to all the program offices. Domain architects at each of the programs will be responsible for the architecture representing that business segment.

- Baseline architecture – a Metis representation of the current business processes, services, systems and technologies
- Target architecture – a Metis representation of the target state business processes, services, systems and technologies
- Analysis tools built into Metis to aid impact analysis, scenario analysis
- Integration with eCPIC – integration with the portfolio management tool, eCPIC, to seamlessly inform portfolio managers and investment decision makers of the investments required to attain target state architecture, and the supporting rationale.

2.6.4. Increase the use of service-oriented architecture

Service-Oriented Architecture (SOA) is an IT systems design principle based on standard, modular design that combines loosely coupled, interoperable services. Currently many applications at SBA are designed as monolithic systems that have complex, tightly-coupled business logic with custom data access mechanisms. Consequently, the applications are inflexible, have weak integration abilities, and are rendered unsuitable for reuse.

Given SBA's budget realities, the use of service-oriented, reusable software components will be crucial as SBA reduces costs as much as possible while improving service delivery. SBA can no longer afford to buy or build software services that can only be dedicated to a single system or purpose.

SOA approaches information systems design using business, infrastructure, and information services as building blocks that can be reused across applications. It enables IT to build applications rapidly by aggregating these services. SOA encourages componentized service definitions that make applications easier to maintain, more flexible and robust. Layering the

architecture into business, enterprise, information, and infrastructure services increases the scope for reuse and drives down cost.

OCIO will work with the programs to identify the programs that can leverage the benefits of SOA architecture and create blueprints to identify core business services. It will define processes and tools to enable SOA.

2.7. Realize the benefits of E-Government

The motivation behind SBA's involvement in E-Government is to use technology to deliver services more effectively and at lower costs. SBA participates in 21 e-Government initiatives and seven Lines of Businesses (LOBs) and is the managing partner for one, Business Gateway.

The following initiatives support:

- **Objective 1.1: Minimize the regulatory burden on small business**
 - **Strategy: Encourage Federal agencies to keep their information updated through Business Gateway since the Small Business Paperwork Reduction Act (SBPRA) requires each Federal agency to designate a small business point of contact for compliance assistance.**
- **Objective 1.4: Simplify interaction with the government**
 - **Strategy: Implement Phase I of the Business Gateway, which has among its primary objectives the reduction of the paperwork burden on small businesses, and the creation of a single portal for all Government to Business transactions to facilitate the interaction between business and government.**
- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**
 - **Strategy: SBA meets key milestones of the PMA E-Government initiatives as evaluated by OMB in quarterly scorecard sessions.**
 - **Strategy: SBA is implementing an OMB-approved E-Government implementation plan for the E-Government initiatives in which SBA is a participating agency.**
 - **Strategy: SBA will continue being the managing partner of Business Gateway initiative that is designed to reduce the regulatory burden on small business.**

2.7.1. Continue to support cross-agency E-Government initiatives

OCIO continues to support those E-Government initiatives that are instrumental in improving customer service, modernizing processes, reducing redundancy, and saving costs. The OCIO has called for an assessment of all SBA E-Government initiatives to allow for initiatives to be prioritized based on cross-Agency impact.

Measurement of the success of the E-Government initiatives has helped SBA to assign value to the initiatives. OCIO continues to implement its E-Government initiatives and meet OMB milestone objectives. Measuring the performance of IT projects is vital to determining whether

the government is receiving the value of its money through implementing E-Government initiatives. SBA will seek to retain its Green rating on OMB's E-Gov scorecard.

SBA participates in several key E-Government initiatives and has achieved cost savings with several efforts. Grants.gov, a shared portal listing all Federal grants, will save SBA nearly \$7 million in start-up and operating costs. The Financial Management LOB will also help SBA shave its budget, although the LOB is not yet fully mature. The E-Travel system, another E-Government initiative, improved the process of managing and tracking SBA travel expenditures.

E-Government initiatives also have an important effect on SBA customers, which is more difficult to assess. Customers continuously rate Grants.gov and the Business Gateway as very useful, and usage increases for both sites every quarter.

The Agency-wide benefits of the E-Government initiatives include:

- Compliance in meeting OMB milestones;
- Compliance in meeting business requirements (i.e. COOP);
- Cost savings; and
- Government transparency.

A complete list of the E-Government initiatives in which SBA participates is included in Appendix B.

2.7.2. Support Business Gateway

The SBA is the managing partner for the Business Gateway initiative (BG), the E-Government initiative that services both businesses and the government. BG's internet portal, Business.gov, was re-launched on September 29, 2006. The Business Gateway initiative consists of three main components, Business.gov, Forms.gov, and data harmonization.

The BG initiative is managed by SBA with contributions from 21 partner agencies. Business Gateway directly benefits SBA's customers who are mostly small businesses and associations.

Looking ahead, there is the potential that Business Gateway will "graduate" out of the E-Government program, and SBA will absorb BG as an internal program. SBA is preparing for this possibility by examining ways to re-architect BG in ways to drive down costs. Strategies such as using open source solutions and service oriented architecture will be key cost levers. OCIO will have to ensure that if BG is brought internal to the Agency that is compliant with the enterprise architecture and that OCIO has the resources to support it.

2.8. Improve IT security and privacy

IT security and privacy, including the protection of personally identifiable information, have been and continue to be a top priority of SBA and OCIO. Security issues have consistently been listed among SBA's top management challenges, a situation OCIO plans to permanently rectify. Security decisions are often policy-based, and should not be made without business input. SBA does and will continue to incorporate security and privacy considerations into the capital planning from the start of an initiative. The Technical Review Board should be responsible, together with the IT Security Program, for ensuring the security requirements of any initiative are met.

The Agency must be ready to take advantage of advances in security technology and practices. Business improvements are driving the need for security solutions. For example, implementation of a truly online loan application, a key element of the business goal of streamlining loan processing, will require a robust policy and solution for digital signatures to allow for the integrity and legality of the electronic application.

The SBA security architecture has established the standard security solutions and modules to be used throughout the Agency. Further use of service-oriented architecture (see Section 2.6.4) will also provide a means by which standard solutions can be implemented.

The following initiatives describe the OCIO's plans to address protection of government technology and data assets. The OCIO will protect and defend information systems by ensuring information confidentiality, privacy, availability, integrity, certification and authentication, and non-repudiation.

The initiatives in this section support the following objectives and strategies:

- **Objective 1.4: Simplify the interaction between small businesses and the Federal government through the use of the Internet and information technology.**
 - ***Strategy: Re-engineer the way SBA manages information to harmonize and streamline information collection and the dissemination of services to the small business community.***
- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**
 - ***Strategy: SBA will implement a comprehensive set of policies and practices aimed at ensuring the integrity, privacy, and security of all electronic data that may contain personally identifiable information.***

2.8.1. Comply with HSPD-12

SBA was one of the Federal agencies that met the Fiscal Year 2006 second (2nd) quarter deadline to have issued Personal Identity Verification (PIV)-compliant ID cards under HSPD-12. SBA will continue to implement its HSPD-12 solutions, with OCIO working closely with the physical security group to ensure that both our physical, and eventually our logical access to SBA resources are HSPD-12 compliant. Under HSPD-12, SBA will implement all aspects of identity management, including authentication, authorization, and access. As part of HSPD-12, SBA will also complete development of its digital signature solution and public key (PKI) infrastructure solution.

2.8.2. Complete development of the Agency's Continuity of Operations Plan (COOP)

The OCIO has developed a COOP that has been approved by the Chief Operating Officer. However, the continually changing threat environment, constantly changing state of SBA's infrastructure, applications, and data require that the COOP be regularly maintained. This plan establishes the roadmap that provides SBA policy guidance for the COOP.

2.8.3. Develop a Public Key Infrastructure plan and an electronic signature policy

A PKI plan and electronic signature capability is crucial to SBA's security compliance, but also for the enablement of advanced electronic commerce, particularly the origination and servicing of SBA-backed loans. For an electronic loan application to be completely electronic, a formal and legal electronic signature must be supported.

The OCIO in collaboration with the various Program and Administrative offices will work with the Office of the General Counsel to develop electronic signature policy and guidance compliant with HSPD-12 and will assist in the determination of target security performance levels. The OCIO will facilitate the determination of security and privacy sensitive services and the appropriate level of security for those services based on the e-Government E-Authorization initiative guidelines.

In support of the overall electronic signature policy, the OCIO is in the process of developing a PKI plan including the objectives, acquisition strategy, responsibilities, schedules, and management controls to manage the PKI effort.

Goal 3: A Skilled and Knowledgeable IT Workforce

OCIO must deploy a skilled, knowledgeable IT workforce capable of executing the IT projects and support required to further the Agency's mission. OCIO needs to align its organizational structure and skills with the needs of the business. In addition, OCIO needs to support the continued development of its workforce to meet SBA needs, but also to promote IT employee learning and satisfaction. The recruitment, maintenance and retention of a skilled workforce is crucial to OCIO's long-term ability to manage its IT operations.

The IT workforce is the backbone upon which all of SBA technical capabilities rest. As the SBA continues to focus on being customer-driven, the OCIO needs to apply that ideal to its internal customers and SBA employees, as well. Despite shrinking budgets and declining numbers of resources, the SBA must ensure that its IT workforce is the best organized and trained to most efficiently and effectively provide the services required to support the Agency.

3.1. Provide excellent technical support

SBA's Help Desk, located within the OCIO, is the first line of support for thousands of SBA employees. OCIO will continue to ensure that its Help Desk resources have the skills and training required to address the needs of SBA employees, that Help Desk calls are routed to the most appropriate resource, and that Help Desk requests are logged, tracked, and followed up on until resolution.

In the Customer Service satisfaction survey conducted by OCIO in July 2006, one of the top areas identified for improvement was technical support in the field. OCIO will examine several areas to address perceived shortcomings including:

- Extending the hours of operation for the Help Desk;
- Staffing and training of Field IT Specialists (FITS); and
- Potential for increased technical training for field staff.

The initiative in this section supports the following objectives and strategies:

- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**
 - **Strategy: OCIO will focus on maximizing service delivery while minimizing the cost of operations.**

3.1.1. Develop Internal "IT Consultants"

The Help Desk developed a reputation throughout the agency for strong customer service, although many program offices would also benefit from an internal IT consultant to provide guidance beyond that of a help desk. Guidance may include questions regarding new technology, what other solutions are in use at other departments or agencies, basic governance, or advice on

IT decision-making. This service may be a web-based service for common questions, with a formal escalation process for more demanding inquiries.

A skills analysis of existing staff skills is an important part of developing internal consultants. Skill levels, along with any skills gaps, must be assessed to properly deploy a team of internal consultants. The configuration of this team may not be limited to a static team, but include different staff members according to their expertise.

3.2. Develop the IT workforce

The initiatives below support the following:

- **Objective 4.2: SBA will recruit, sustain and effectively deploy a skilled, knowledgeable, diverse workforces and executive cadre capable of executing high quality programs and activities that meet the current and emerging needs of all its customers.**
 - **Strategy: SBA will align its human capital strategy with its mission, goals, and objectives.**
 - **Strategy: SBA will develop systems and solutions that support enhanced performance measures, increased core competencies and project management skills.**
 - **Strategy: SBA will integrate performance management changes to ensure that organizational goals are transparently linked to employees' performance goals.**
 - **Strategy: SBA will transition from a manual to an automated Knowledge Management System.**
 - **Strategy: SBA will continue to expand employee's training opportunities.**

3.2.1. Implement a Knowledge Management solution

The implementation of a Knowledge Management (KM) solution will allow the IT workforce to improve skills and education and further develop the competencies required to perform their jobs. A KM solution would also be an agency clearinghouse for certification levels and skill explanations. Technology support staff could consult the KM application when they receive support requests, to search for previous related requests and solutions or to find an OCIO staff member who is knowledgeable about the technology and ask them for help. Program offices who are considering a technology investment could use the KM solution to find an OCIO staff member who is knowledgeable about the technology and ask for their help defining and analyzing their alternatives. (See Section 2.2.3 “Support Implementation of a Knowledge Management Solution.”)

At present, the OCIO provides online Computer Security and Awareness Training (CSAT) to IT staff throughout the agency. This model could be leveraged to provide more required courses to OCIO users, or training in EA required technologies. It could also be used to train end users of applications maintained by OCIO. OCIO should also team with the Office of Field Operations to improve training delivery to field offices, which do not always have reliable access to the SBA web site. By 2011, OCIO should conduct a feasibility study for implementing a learning management solution that could be leveraged for internal and external users. The system would

provide access to online training courses, track completion and certification, and “push” tailored training to employees based on their position descriptions and skill levels. (See Section 2.1.5 “Improve distance learning and counseling.”)

3.2.2. Develop a Project Management (PM) training and classification program

An important part of developing a workforce that can successfully manage day-to-day operations, implement new solutions or respond to unforeseen events is a workable, SBA-centric PM training program. A solid PM program will help the IT department evolve into a skills-based, responsive workforce geared toward serving its internal customers. The Office of Procurement and Grants Management (OPGM) is leading the effort to define the Agency’s requirements to have certified project managers lead certain large IT implementation programs. The Project Management Office (PMO) has coordinated with OPGM to define tiered qualification requirements for project managers linked to the size and complexity of investments they manage (see Section 4.1.2). To make the most efficient use of available resources, the Agency will leverage free training in general IT investment and program management, currently available from GoLearn.gov and soon to be offered by the Federal Acquisition Institute (FAI). The PMO will develop tailored courses to supplement this training with SBA-specific content.

A tiered classification program, with a clear progression, will encourage staff members to increase their skill level. The OCIO will establish a framework for an agency-wide project management classification program based on recognized PM certifications from organizations such as the Project Management Institute (PMI) or the Defense Acquisition University (DAU). The SBA’s regulations, policies and processes provide further structure for PM criteria. The size and complexity of investments should also be linked to the tiered classification structure. As a project manager’s skills increase, their responsibilities should likewise expand to include more complex, visible and costly investments. Most of SBA’s IT projects are carried out by contractors, so the tiered structure may also include skills to manage increasingly complex contracts. The PMO will continue to coordinate with OPGM to build upon FAI certification standards for acquisition managers, Contracting Officer’s Technical Representatives (COTRs) and program managers, and customize them for use in the SBA.

These well-trained project managers will, of course, become very valuable members of the staff, so the OCIO’s human capital plan should be updated to include maintenance and retention of these individuals. Performance measures, tied to success of the project as well as participation in accepted processes, will also be an important component of the certification process.

An agency-wide knowledge management (KM) solution could contain the certification levels of all PMs, for use by authorized staff to find a project manager with the associated competency level.

3.2.3. Identify and use project management performance measures

The inclusion of project success measures in individual performance plans will also contribute to the long-term success of the IT workforce, particularly those who function outside the auspices of the OCIO. Accountability for specific, critical project milestones will give the IT staff a clear understanding of their role, and help highlight any gaps in metrics. Additionally, performance measures can contribute to the analysis of overall project health. (See Section 4.1.2 for further discussion.)

EA maturation metrics should also be included in Business and IT executives' Personal Business Commitment Plans, as well as those of their subordinate staff. As EA matures throughout the agency, participation in these processes should also be a component of performance plans. This will help those affected understand their role, the importance of their project within the EA, as well as help EA gain credibility throughout the agency.

3.3. Improve the IT Organization

The IT workforce is not confined to the OCIO, since the majority of IT resources actually reside in other program and support offices. To improve IT throughout the Agency, SBA must look beyond just the OCIO.

The initiatives below support the following:

- **Objective 4.2: SBA will recruit, sustain and effectively deploy a skilled, knowledgeable, diverse workforce and executive cadre.**
 - **Strategy: SBA will optimize its existing organizational structure from a service and cost perspective to ideally position its workforce, both geographically and organizationally, to serve its customers.**

3.3.1. Improve collaboration of IT human capital resources throughout SBA

IT human capital resources within SBA do not reside solely in the OCIO. As of January 2007, the SBA has 235 employees classified as IT staff (2210 series, 343 series, 335 series, and 391 series). Only 52, or 22 percent, report to OCIO, with the remaining 183, or 78 percent, reporting to offices outside the OCIO.⁹ The prevalence of IT resources outside OCIO significantly reduces OCIO's participation in IT-related activities and decisions in the program offices and remote locations, especially when they do not rise to the level of mandatory BTIC review.

The OCIO will work with OFO, OCA, OGC, OCFO, and all other offices which support IT personnel to more closely collaborate and coordinate IT decisions. OCIO will work with the program offices to ensure that non-OCIO IT resources know the basic IT operating policies and processes that are standard throughout the SBA enterprise as part of the IT Strategic Plan communications effort (see Section 1.1.1), EA outreach, and project management training. This will help ensure uniformity in decision making that should improve efficiency throughout the Agency.

SBA should analyze whether a centralized or decentralized model of IT operations is most effective. SBA needs to select the model that will best ensure continuous alignment of IT capabilities with business needs and would provide the OCIO the business insight necessary to adequately support the program offices.

⁹ Office of Human Capital Management, January 31, 2007.

Goal 4: Effective and Efficient Management of IT Resources and Operations

SBA must manage its scarce IT resources and operations in such a way as to ensure effective and efficient support of business and financial goals.

Fiscal prudence takes on a critical level of importance in an environment characterized by doing more with less. The OCIO, in accordance with the Clinger-Cohen act, has increased its emphasis on the IT investment decision-making process to ensure that budgeted dollars are being spent in those areas that support the strategic direction of the Agency. The OCIO must leverage existing IT resources where possible; avoid redundant projects; focus on cross-Agency improvements; and implement the tools and processes necessary to achieve more effective and efficient IT portfolio management.

The Agency will continue to progress in its capital planning and investment control process, the practices and methods by which proposed IT projects are developed, approved and reviewed for performance. It will also progress in processes for approval and evaluation of projects to apply the proper controls over any potential expenditure. Furthermore, once expenditures have been approved, checkpoints will be enforced to allow for fiscal management and project accountability throughout the project lifecycle. SBA has taken initial steps toward a portfolio approach to managing IT projects, enabling a comprehensive view of all Agency concurrent and completed IT investments, bringing logic and structure to IT investment decisions, and improving the OCIO dialogue with the business. The Agency must continue to develop the skills and tools necessary to manage these projects to their business objectives or goals.

Business-aligned IT management and governance will not only ensure business-focused IT investments, but it will also contribute to operational improvements resulting in a lower fixed cost structure.

The initiatives in this section will enable the following objectives:

- **Objective 4.1: SBA’s general planning and management will result in clearly defined goals and effective strategies, and the coordination of operational support systems, so as to maximize the Agency’s mission performance through a comprehensive performance management system.**
 - *By FY 2008 through effective policy guidance ensure that SBA regularly achieves at least 90 percent of its Annual Performance Goals.*
 - *By FY 2008 lead SBA to achieving/maintaining a rating of “Green” on each of the eight initiatives on the PMA.*
 - *By FY 2011 all major programs rated by OMB will receive a PART evaluation of “Effective”. By FY 2010, SBA will ensure that at least 60 percent of major SBA programs rated by OMB receive a PART evaluation of “Effective” and that none is rated less than “moderately effective”.*
 - *By 2008 and each year thereafter, SBA district offices’ goals will consistently, directly and measurably support the strategic goals and long term objectives of the Agency, as established in the Strategic Plan.*
- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**
 - *Measure 4.4.2: By FY 2008, standardized Information Technology (IT) portfolio selection, control, and evaluation processes and performance metrics will be developed and used to gauge the progress of investments and their contribution to program outcomes.*

4.1. Enable proactive performance management (including advanced analytics)

The Performance Management initiatives support the OMB’s Program Assessment Rating Tool (PART) assessments as well as the PMA. Together, these legislative actions specify that budget and performance results should link to strategic goals and align with strategic plans, and they specify requirements to evaluate program effectiveness.

4.1.1. Implement an enterprise-wide performance management system

This initiative will support the following strategies under Strategic Goal 4:

- **Strategy: An intranet based performance management system called the Execution Scorecard has been developed and is used on a daily basis to monitor progress toward achieving each office's strategic goals.**
- **Strategy: The Office of the Administrator will lead SBA offices in meeting the key milestones contained in the plan it submitted to OMB for making PMA progress.**
- **Strategy: The Office of the Administrator will lead SBA offices in meeting all of the Core Criteria for "Green" on each of the initiatives on the PMA.**
- **Strategy: The OCFO's Office of Analysis, Planning, and Accountability will continue to help promote budget and performance integration within the OCFO and throughout SBA.**

"Since 2001, SBA has made tremendous progress in becoming more efficient. Salaries and expenses are down 31 percent while at the same time our core lending, contracting and counseling programs have grown dramatically. It's an impressive story of improving stewardship of taxpayer dollars while continuing to expand critical services. While SBA will continue to improve efficiency going forward, I would say we are shifting to a heavier focus on effectiveness to ensure that we maximize the impact of our programs. So, we are focusing hard on both product design and process simplification; understanding what motivates engagement is critical. However, success requires managing the internal shop to achieve those external results."

-- Steven C. Preston, Administrator

February 1, 2007

The SBA for several years has used an internal scorecard to monitor and evaluate performance. However, this tool is being upgraded, and an agency Performance Management Framework (PMF) is being defined in an effort led by the newly named Associate Administrator for Performance Management (AAPM). This effort will enable SBA to change the way business is done within the Agency to better serve its customers, allowing the SBA and its program offices to be more accountable, performance-oriented, transparent, and customer-focused. The process will align performance measures with customers' needs starting with identifying and documenting all processes in all program offices, and tying them to performance requirements, which will be prioritized. Once the program offices have prioritized their processes, new goals and performance metrics will be created and populated into a new performance scorecard and a Metrics Book, to be published regularly to all staff within the Agency. The PMF is intended to increase Agency flexibility by allowing prioritization of scarce resources to best fit the needs of the customer.

The OCIO is identifying its performance requirements and prioritizing the processes that meet them to support the Agency's Performance Management requirements. Business-related performance indicators are identified within the SBA's Agency Strategic Plan. The OCIO is in the process of identifying technical performance indicators and customer service indicators that support those business-related indicators. The set of linked technical and customer service indicators will be reviewed and updated on a periodic basis, at least as often as the Agency Strategic Plan is updated.

Once the framework has been created, OCIO will work closely with the OCFO and the AAPM to help promote budget and performance integration throughout the SBA. The OCIO will support updating the SBA Execution Scorecard, which tracks individual SBA Office performance as it relates to SBA Management Goals for the year. This intranet-based performance management system is used on a daily basis to monitor progress toward achieving each office's strategic goals, and it will be updated to support the PMF. OCIO will also support information collection, analysis, and distribution of the new Metrics Book.

The Agency will require robust, enterprise-wide, and trustworthy data in order to evaluate performance against the indicators identified in the PMF. See Section 2.4 for a discussion of the need for improved data integrity and a single point of access for data from across the SBA.

4.1.2. Continue to improve the Agency's project management capabilities (tools, training, and structures)

The OCIO measures IT project spending and value delivery through earned value management (EVM). By applying EVM, the Agency will continue to work to ensure that major IT projects are within cost, schedule and performance objectives and that all SBA IT systems are certified and accredited.

As the central group responsible for IT services and delivery, the OCIO will leverage its skills and project management experience to monitor and assist all SBA groups in the completion of IT projects. The OCIO's Project Management Office (PMO) serves as the "center of excellence" for project management best practices as outlined in SBA's Project Management and Best Practices Guide and the Guide to the Project Management Body of Knowledge. The PMO has the following responsibilities.¹⁰

- Develop and implement a consistent and standardized project management methodology across the Agency, to include repeatable project processes and metrics;
- Provide oversight of project management activities in SBA program and support offices to ensure compliance with project management standards;
- Maintain a library of project management documents, reference materials, templates and job aids for use by Agency project managers;
- Advise employees about project management best practices and described in SBA's Project Management and Best Practices Guide and the Guide to the Project Management Body of Knowledge;
- Recommend project management tools, including desktop and enterprise software, to facilitate effective project management across the Agency;
- In coordination with Office of Human Capital Management (OHCM) and OCIO's Office of Planning and Technology Assets Management, develops project management requirements (training and tools) to facilitate effective project management across the agency;

¹⁰ SBA OCIO Organizational Standard Operating Procedure, June 2004.

- Manage the Agency configuration management (CM) program for Agency systems and applications, including change control governance, CM policies and procedures, and IT product release controls, as defined by OCIO's SBA's Enterprise Configuration Management Plan; and
- Develop and maintain the Agency's quality assurance (QA) program to manage programming, design, testing, and maintenance efforts for Agency programs and projects. Develops, publishes and maintains written QA procedures. Ensures development efforts within SBA follow required policies and procedures.

The OCIO provides Microsoft Project and Earned Value reporting spreadsheets in Excel for tracking projects and programs' budgeted vs. actual expenditures and projected milestones versus actual schedules. Capital projects are using the EVM tools to report cost and schedule variances. Projects will also be required to update their Exhibit 300s in eCPIC as their business cases change, and the eCPIC tool will be utilized by the OCIO to ensure that cost, schedule and performance variances are documented and addressed, and to perform portfolio management (see Section 4.2.2 "Expand the use of eCPIC" for further discussion).

However, the SBA needs a better-trained cadre of project management professionals in the program offices to measure project and program benefits, track on-time delivery, and report programs' progress toward key objectives, enabling the Agency to more wisely allocate its limited resources across IT investments. OCIO is committed to ensuring that *all* IT initiatives have a Project Manager (PM) assigned with a project management mentality in terms of completing projects on time and on budget (see Section 3.2.2). The project management office (PMO) has followed guidance from the Federal CIO Council's Committee on Workforce and Human Capital for IT in defining 3 types of SBA IT projects and initiatives which require specialized IT project management oversight and experience. The PMO has also coordinated with the Office of Procurement and Grants Management (OPGM) to specify the skill sets required to manage a project of each type. For example, a large, complex, high-risk, and high-visibility initiative (such as LMAS) could be designated a Level 3 initiative, which would require that the project manager be PMI Level 3-certified. A Level 1 initiative, within a program, would require that the project manager be familiar with basic IT project and investment management concepts and practices. The OCIO PMO will work with OPGM to identify appropriate training opportunities for project managers at all skill levels (see Section 3.2 above).

In addition, the PMO will coach SBA employees on EVM, preparation of Exhibit 300's, and the Clinger-Cohen Act project management regulations. The PMO will offer brown bag lunches and train-the-trainer sessions in IT investment and project management throughout the year for members of project teams. Furthermore, the OCIO will utilize the Software Engineering Institute's (SEI's) Capability Management Maturity Model (CMMI) for assessment and guidance on prioritizing and planning increased maturity in project management processes.

Finally, the OCIO recognizes that holding project managers accountable for IT project results is a critical element in delivering promised benefits and managing the risks inherent in large-scale IT implementations. Therefore, when an OCIO project will cover more than 6 months in a review period and the project manager is identified at the beginning of the period, the critical milestones and success measures for the project will be added to the project manager's Personal

Business Commitment Plan. It is the OCIO's intent to pilot this practice within the Agency and report on its impact on both project success rates and the employees' performance ratings.

4.2. Continue to improve the Agency's capital planning and IT governance processes

The OCIO believes that an increased emphasis must be placed on the decision-making process to ensure that budgeted dollars are being spent in those areas that support the strategic direction of the Agency. SBA has made significant progress since 2004 in institutionalizing its capital planning and IT governance processes, with significant senior executive support and sponsorship. The SBA will continue progressing toward implementing a comprehensive program of IT governance practices.

The initiatives in this section will enable the following strategies:

- **Objective 4.4: Information and related technology will be managed effectively and securely through SBA leveraging data and systems to support program execution and promote cost efficiency.**
 - **Strategy: Continue progressing toward implementing a comprehensive program of IT governance practices.**
 - **Strategy: Continue developing higher levels of expertise and results in SBA's Capital Planning and Investment Control process.**

4.2.1. Continue to improve the CPIC processes across SBA

The Agency will continue developing higher levels of expertise and results in its CPIC process as part of maintaining an active portfolio of key investments.

The Agency has implemented a CPIC process which provides a coherent and collaborative framework for approval and evaluation of projects. Business and IT executives meet in the Business Technology Investment Council (BTIC) and its Advisory Council (BTIAC) to select and oversee Agency IT investments. All major investments are required to produce a business case to show the value proposition of the investment, and eCPIC, an electronic reporting system, is used for documenting Exhibit 300s. Communication has improved between the business and the IT organization within the Agency through these governing bodies and the CPIC process.

This process must continue to be linked to the Enterprise Architecture policies, project management practices and the Agency's Strategic Plan, so the theory and results of IT planning achieve the best practical results for the Agency when measured by cost and performance. In general, the CPIC process must be applied with equal rigor to all proposed capital investments, and all parts of the process—Pre-Select, Select, Control, and Evaluate—must be enforced for SBA to be sure it is wisely choosing its IT investments.

- The BTIC will have clearly defined policies that explicitly state the minimum requirements for investments. These policies will include templates for documenting the investment analysis in sufficient detail to allow the BTIC to decide whether to recommend the investment to the Administrator. These policies will be communicated throughout the Agency and made available on the OCIO website. Investments that do not meet the BTIC criteria will not progress through the capital planning process. The BTIC and BTIAC need to consider the IT Strategic Plan when

evaluating potential investments, to determine if an infrastructure investment has been defined as strategic to the Agency's target performance goals and objectives.

- Projects must be held accountable for delivering their promised results throughout the project lifecycle once expenditures have been approved. The impact to the EA must be considered not just during the project initiation, but during implementation as well. Projects must demonstrate compliance with the EA or obtain waivers, and EA status must be reviewed during the CPIC Control and Evaluate phases. OCIO projects will include project success measures in project managers' Personal Business Commitment Plans to support delivery of promised benefits and limit the Agency's exposure to risks of project failure (see Section 4.1.2 "Continue to improve the Agency's project management capabilities").
- Exhibit 300s will be prepared for infrastructure systems currently in O&M and the BTIC will review them at least yearly to determine whether steady-state systems continue to support the Agency's mission in a cost-effective manner. All employees responsible for business case development will go through the proper training to make certain the proper skills are in place for business case preparation and investment justification.
- The impact of a proposed investment, in the IT investment management process, is assessed and options are developed to achieve the needed functionality in a cost-effective way, while considering the tradeoffs with other proposed and existing investments. The Agency also needs to have similar discussions on a functional level. The owners of all affected systems can learn about any needed change and analyze options for delivering the needed functionality, while considering the impact on other affected systems. Currently, Change Control Boards (CCBs) are conducting these discussions for major systems such as DCMS and LMAS (the LMAS CCB includes representatives of OCA, OCFO, and ODA). The remaining major systems in OED and OGCBD will establish change control boards which will govern smaller investments throughout their lifecycles and route high-dollar, high-risk and/or high-impact investments to the CPIC process as needed. The Enterprise CCB will provide a forum, at the highest level, to assess the impact of functional changes across the Agency, and manage the risk of one system's change adversely affecting other systems.

4.2.2. Expand the use of eCPIC

eCPIC is being used to document Exhibit 300s for major projects. However, it does not currently contain the integrated and up-to-date set of status, planning, and management artifacts that would allow eCPIC to be used to manage major projects, and no other tool is currently available to monitor and control the projects across program offices. Without appropriate controls, momentum is lost, money is wasted, and resources are applied inefficiently.

The OCIO will expand the use of eCPIC to include EVM, and continue to work to ensure that major IT projects are within cost, schedule and performance objectives and that all SBA IT systems are certified and accredited. OCIO will set up eCPIC as a portfolio management tool, by utilizing its capabilities to:

- Provide critical project-level information across the major Agency projects, such as start date, end date, cost, benefit, percent complete, and status, utilizing data uploaded to eCPIC from Microsoft Project and Earned Value reporting spreadsheets;
- Update program Exhibit 300s with new business case and funding information;
- Tie project plans directly to the Business Architecture metrics and goals; and
- Enable tracking of portfolio performance.

OCIO staff will train project managers across the agency to use eCPIC as their primary tool for reporting project status, progress, issues, and risks. eCPIC will be utilized to monitor projects in process, as well as aid the BTIC to monitor and prioritize projects in the pipeline. As programs enter information in eCPIC about their proposed investments, they will gain the ability to look across multiple proposed projects to identify redundancies.

VI Conclusion

This document outlines IT initiatives across four IT goals:

- Business and IT Strategic Alignment
- The Right Technology Solutions, Infrastructure, and Architecture
- A Skilled and Knowledgeable IT Workforce
- Effective and Efficient Management of IT Resources and Operations.

As these IT initiatives are implemented over the next five years, OCIO will continue to evolve into a world-class support organization, capable of supporting the Agency's mission, goals, objectives, and strategies. OCIO will have contributed significantly to SBA's Reform Agenda and, together with the program and other support offices, enabled the Agency to have dramatically improved disaster assistance; provided more resources to underserved markets; and made SBA an efficient, accountable, and transparent organization. Customers and partners will have more of the tools they need to easily access SBA products and services, and employees will have more of the tools that enable them to best serve those customers and partners. In addition, internal collaboration will enable SBA to share data and information across the enterprise and accurately measure performance.

Collaboration between the business and OCIO will continue to grow, ensuring the ongoing alignment between business and IT that would allow OCIO to adapt to and address changes in SBA's strategic direction. OCIO will also have made significant progress in maturing the enterprise architecture; developed an appropriately-skilled, highly-motivated and responsive IT workforce; evolved its investment and governance processes; maximized the performance of the Agency's applications and infrastructure; and strengthened IT security and privacy.

Many steps are necessary to arrive at that future. This document represents part of a continual process that requires collaboration and communication across the Agency, and serves as the updated baseline for guiding IT decisions in support of the Agency.

The immediate next steps to begin executing against this baseline include:

- Beginning the capital planning process and development of the business cases to support these initiatives;
- Developing an operating plan with performance indicators, milestones, and key dates, and a corresponding scorecard/dashboard to report and monitor progress;
- Prioritizing competing business and IT demands in a resource-constrained environment, which includes gaining agreement of priorities from key stakeholders;
- Integrating those priorities into the IT governance processes; and
- Analyzing the path forward toward an infrastructure that can meet or exceed performance metrics at all levels of delivery.

VII Acknowledgements

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Appendix A – Mapping of IT Initiatives

The tables below detail the following:

1. Mapping of IT initiatives to SBA’s Agency Strategic Goals and Objectives
2. Mapping of the Administrator’s Nine Initiatives to the Agency Strategic Goals and Objectives

Mapping of the Agency Strategic Goals and Objectives¹¹ to the Administrators Nine Initiatives

Initiative/ Rapid Improvement Campaign	Strategic Goal 1: Improve the economic environment for small business	Strategic Goal 2: Increase small business success by bridging opportunity gaps	Strategic Goal 3: Restore homes and businesses affected by disaster	Strategic Goal 4: Ensure all programs operate at maximum efficiency and effectiveness
1: Increase loan volume by 15%		An indicator of accomplishment for all objectives		
2: Leverage ED technical assistance partners for SBA Programs		A strategy to achieve all objectives		
3: Improve contract opportunities for small businesses	Objective 1.5: increase the effectiveness of the Federal agencies to provide opportunities to small business			
4: Increase throughput in all financial assistance centers by 25%		Strategy and indicator to achieve all objectives	Strategy and indicator to achieve all objectives	An indicator of accomplishment for all objectives
5: Improve service delivery in Disaster			Objective 3.1: Help restore homes and businesses affected by disaster	Objective 4.1: General Agency management Objective 4.2: Human capital management
6: Support increased use of services		Strategy to accomplish all objectives	Strategy to accomplish all objectives	
7: Drive greater resources to small businesses	Objective 1.5: increase the effectiveness of the Federal agencies to provide opportunities to small business	All objectives	All objectives	
8: Internal Scorecard				All objectives
9: IG/Compliance and controls				All objectives

¹¹ “Enabling the Establishment and Vitality of Small Businesses.” U.S. SBA Strategic Plan, FY 2006 – 2011.

Appendix B – SBA Participation E-Government Initiatives

Initiative Status Definitions:

- **Planning:** A capital project (investment) in the process of being coordinated and estimated for timing, cost, feasibility, benefits, etc., but has not started development
- **Post Planning/Partnering:** A capital project (investment) has completed planning and is in the process of partnering with other agencies.
- **Initiation/Pilot:** A capital project (investment) that has been implemented for a subset of users for a specific duration usually prior to a full implementation.
- **Development:** A capital project (investment) that has commenced but has not reached implementation
- **Mixed Lifecycle:** A capital project (investment) that spans multiple capital programming phases, i.e. has both planning and development/modernization/enhancement (DME) or steady state components
- **Steady State:** A capital project (investment) that has been completed and is being maintained

OMB E-Government Project	SBA Role	Description	Status	Next Steps
Business Gateway	Managing Partner	Business.gov and Forms.gov - Reduces the burden on businesses by making business compliance and federal forms easy to find, understand, and comply (including submitting forms) with relevant laws and regulations at all levels of government.	Steady State. No outstanding milestones.	Business Gateway is considering the possibility of moving the application inside the SBA.

OMB E-Government Project	SBA Role	Description	Status	Next Steps
Budget Formulation & Execution LOB	Partner	Modern, interoperable, flexible, cost effective, and optimized solutions supporting all phases of the formulation and execution of the Federal Budget and linking budget formulation, execution, planning, performance, and financial information.	Initial. No outstanding milestones.	
Disaster Management	Partner	Disasterhelp.gov - The single access point to obtain disaster information in an easy to use and customer friendly location. Further, the site will help users obtain disaster related information from the first responders phase to the recovery phase.	Steady State. No outstanding milestones.	
E-Authentication	Customer	Minimizes the burden on businesses, the public, and government when obtaining services online by providing a secure infrastructure for online transactions, eliminating the need for separate processes for the verification of identity and electronic signatures.	Steady State. There is an outstanding milestone to market which is to be undertaken by Capital Access.	
E-Clearance	Customer	Streamlines and improves the quality of the current security clearance process.	Steady State. No outstanding milestones.	Implemented in January 2003.
EHRI	Customer	EHRI is a key electronic government (e-Gov) initiative directed and led by the Office of Personnel Management (OPM). By developing a common data repository for personnel data that are currently stored in an assortment of non-integrated legacy systems of varied functionality, EHRI will permit a level of planning and analysis that, up to now, has not been possible.	Development/ Implementation. No outstanding milestones.	SBA currently uses the NFC as a solution provider. SBA requested an extension on the EHRI Training milestone and was granted an extension until December 31, 2007. SBA is in the process of procuring a Learning Management System (LMS) through GoLearn.gov. SBA has until the end of this year to complete the training milestone.

OMB E-Government Project	SBA Role	Description	Status	Next Steps
E-Loans	Partner	Provides a single point of access for federal loan program information on the web, GovLoans.gov.	Steady State. No outstanding milestones.	OMB graduated E-Loans on September 30, 2004, and the initiative transitioned to the Federal Interagency Credit Council (chaired by OMB) on March 1, 2005. The E-Loans initiative will not have any future requirements for SBA and the agency is minimally involved with this initiative. However, the Credit Council may have future requirements for SBA. SBA is a member of both the Credit Council and the Credit Council's Working Group.
E-Payroll	Customer	Consolidates 22 federal payroll systems to simplify and standardize federal human resources/payroll policies and procedures to better integrate payroll, human resources, and finance functions.	Steady State. No outstanding milestones.	SBA is using NFC as a payroll provider.
E-Records Management	Customer	The E-Records initiative will help agencies to better manage their electronic records, so that records information can be effectively used to support timely and effective decision making, enhance service delivery, and ensure accountability.	Development/Implementation. No outstanding milestones.	
E-Rulemaking	Customer	Regulations.gov – posts regulations and provides the public with a website to comment on the numerous proposed federal regulations.	Steady State. Implemented in November 2006.	
E-Training	Customer	Provides a single point of access for online training and strategic human capital development solutions for all federal employees, reducing instructor and travel costs and improving human capital management.	Steady State. No outstanding milestones.	SBA currently uses NFC as a solution provider.

OMB E-Government Project	SBA Role	Description	Status	Next Steps
E-Travel	Customer	Provides a government-wide Web-based service that applies world-class travel management practices to consolidate Federal travel, minimize cost and produce superior customer satisfaction.	Initiation/ Pilot. No outstanding milestones.	GSA initially regulated that E-Travel be implemented by October 2006, however, an extension was granted to October 2008.
Expanding Electronic Tax Products for Businesses	Partner	Reduces the number of tax-related forms that businesses must file, provides timely and accurate tax information to businesses, increases the availability of electronic tax filing, and models simplified federal and state tax employment laws.	Steady State. Implemented in December 2004.	
Federal Asset Sales	Partner	The Federal Asset Sales initiative provides is a portal, Govsales.gov, for federal agencies to sell underutilized, non-utilized, seized, or forfeited assets. Citizens and businesses can locate federal assets available for sale through this website.	Steady State	In FY07 Q4, report performance data on real property from the portal. For real property SBA only has a few properties left to sell. Once those properties are sold, SBA may want to petition OMB to be relieved from quarterly reporting.
Financial Management LOB	Partner	The FM LOB utilizes Centers of Excellence (COEs) to provide FM information technology (IT) hosting, while leveraging Government-wide standardized business processes.	Planning. No outstanding milestones.	SBA is currently using IBM / Corio to provide financial management services. The FM LOB MP would like SBA to encourage IBM / Corio to work on establishing themselves as a certified COE for the FM services. The SBA project manager is in the process of determining whether to use a shared services provider or private vendor.
Geospatial LOB	Partner	The Nation's interests are served, and the core missions of Federal agencies and their partners are met, through the effective and efficient development, provision, and interoperability of geospatial data and services.	Initial. No outstanding milestones.	

OMB E-Government Project	SBA Role	Description	Status	Next Steps
Geospatial One-Stop	Customer	Provides federal and state agencies with single-point of access to map-related data enabling consolidation of redundant data.	Implementation. No outstanding milestones.	
GovBenefits.gov	Customer	GovBenefits (originally named Eligibility Assistance Online) provides a single point of access for citizens to locate and determine potential eligibility for government benefits and services.	Steady State. No outstanding milestones.	SBA provides loan program content to GovBenefits.gov and ensures that the content is updated and accurate.
Grants.gov	Partner	Grants.gov - The single access point for grant makers and grant applicants/awardees to enter, receive and administer grant related activities.	Steady State. No outstanding milestones.	The Grants.gov initiative is at risk due to lack of funding.
Grants Management LOB		The GM LoB recognizes that several agencies have developed successful grants management systems which can be leveraged across the government. The GM LoB is focusing on a consortium approach, where successful agencies will act as lead solution providers with other agencies connecting to their hardware and software as customers. All front-office capability will be handled by Grants.gov.	Post Planning/ Partnering	SBA is the top performing agency participating in Grants.gov which is closely related to the GM LOB. Since the SBA GM LOB Project Manager (Sharon Gurley) is a member of the Grants Executive Board (and Project Manager for Grants.gov) it is anticipated that SBA will be able to perform at a high level with GM LoB. The GM LoB initiative is at risk due to lack of funding.
HR LoB	Customer	The goal of the HR LoB is to support the strategic management of Human Capital. These common solutions will enable departments and agencies to work more effectively to meet the human capital goals of the President's Management Agenda.	Implemented. SBA migrated to NFC as a shared services provider in 1989.	

OMB E-Government Project	SBA Role	Description	Status	Next Steps
International Trade Process Streamlining	Partner	Export.gov - Makes it easy for Small and Medium Enterprises (SMEs) to obtain the information and documents needed to conduct business abroad. SBA's role is to implement a cross-Agency content management system for export.gov.	Steady State. No outstanding milestones.	
Integrated Acquisition Environment	Partner	The single access point of registration and validation of supplier data accessed by all agencies; central point for the consolidated collection and the access of procurement information. Reduced costs/increased visibility of intergovernmental transactions. Comprised of several smaller subsystems that collectively make up the IAE.	Steady State. No outstanding milestones.	SBA has a representative on the IAE steering group the ACE (Acquisition Committee for eGov) which falls under the CAOC and they serve as the Project Manager for the eSRS application.
Information Systems Security LOB	Partner	The Federal Government's information systems security program enables agencies' mission objectives through a comprehensive and consistently implemented set of risk-based, cost-effective controls and measures that adequately protects information contained in Federal Government information systems.	Initial	Security Awareness Training and the FISMA Report are mandatory.
IT Infrastructure Optimization LOB	Partner	An effective and efficient IT infrastructure enabling government-wide customer-centric services.	Implementation. No outstanding milestones.	
Recruitment One-Stop	Customer	An effective and efficient IT infrastructure enabling government-wide customer-centric services. Outsources delivery of USAJOBS Federal Employment Information System to deliver state-of-the-art online recruitment services to job seekers including intuitive job searching, online resume submission, applicant data mining, and online feedback on status and eligibility.	Implementation. No outstanding milestones.	

OMB E-Government Project	SBA Role	Description	Status	Next Steps
USA Services	Customer	USAservices.gov provides citizens with information about and from all levels of government through an array of integrated information channels including, USA.gov, telephone and email inquiry response from the GSA, National Contact Center, and printed materials.	Steady State. Milestone exists to complete the USA Services Government-wide Assessment of Citizen Service Activities.	SBA has also been asked to consider using the FirstContact contract vehicle for all future contact center procurements.
WinZip SmartBUY	GSA	Leverages the government's purchasing power by achieving cost savings on government-wide enterprise licenses for WinZip software.	Steady State. No outstanding milestones.	The next milestone is FY09 for enterprise purchase of WinZip software through GSA SmartBUY.

Appendix C – Status of SBA's 2004 IT Strategy Initiatives

Init #	Initiative	Status	Reference in new ITSP	Comment
5.1.1.1	Institute a timely, recurring process for assisting in the refresh of the SBA's Agency Strategic Plan	Ongoing		The process still needs to be defined
5.1.1.2	Develop a plan for communicating the IT Strategic Plan across the Agency	Ongoing	1.1.1 Communicate the IT Strategic Plan throughout the Agency	The plan still needs to be developed
5.2.1.1	Establish the EA governance process, including the Technology Review Board (TRB) and associated groups	On 2007 ITSP Plan	4.2.1 Continue to improve the CPIC processes across SBA	The EA Governance process has been established and the TRB has been chartered. In practice the TRB and the EA Governance bodies are not sufficiently active to be able to provide the full value to the EA program
5.2.1.2	Define and implement an actionable Agency plan for continuing maturation of the EA	On 2007 ITSP Plan	2.6.2 Continue to mature EA	The EA plan has been defined that calls for a bi-annual update of the EA to continue the maturation. But due to lack of funds the communication process and the EA document update is not being performed to a satisfactory level
6.1.1.1	Continue transition to the restructured OCIO organization	On 2007 ITSP Plan	3.3.1 Consolidate and standardize IT human capital resources throughout SBA	The CIO has a new draft plan, and it would need to be approved and implemented
6.2.1.1	Deploy IT staff strategically	On 2007 ITSP Plan	3.3.1 Consolidate and standardize IT human capital resources throughout SBA	Over 80% of the IT resources resides outside of OCIO. This continues to be a problem that needs to be addressed
6.2.1.2	Work with HR to develop an IT Workforce Plan designed to assess the workforce competencies necessary to	Ongoing		The assessment still needs to be done

Init #	Initiative	Status	Reference in new ITSP	Comment
	support the Agency's goals and day-to-day operations			
6.2.1.3	Hold IT Supervisors accountable for goal and objective attainment and tie performance to personal commitment plans	On 2007 ITSP Plan	3.2.3 Identify and use project management measures	This is in place in OCIO and should continue, because it's effective.
6.2.1.4	Work with HR to develop a performance evaluation system for all IT employees with criteria tied directly to the Agency's goals	On 2007 ITSP Plan	4.1.1 Enable proactive performance management	
6.2.1.5	Redefine IT workforce roles and responsibilities	Ongoing		
6.2.1.6	Support the continued development of IT managers, staff, and professionals in functional training areas cited in the Federal CIO core competencies	On 2007 ITSP Plan	4.1.2 Continue to improve agency's project management capabilities	Inadequate funding for training is preventing the training for the IT managers, staff and professionals
6.3.1.1	Support efforts to move more sourcing coordination to the internet	On 2007 ITSP Plan	2.1.9 Continue to support and implement ePCR	ePCR (Electronic Procurement Center Representative) initiative is planned to be implemented to make this sourcing co-ordination process more efficient
6.3.1.2	Support the Office of Management & Administration (M&A) to identify commercially performed functions for inclusion in the Federal Activities Inventory Reform (FAIR) Act inventory submission (OMB Circular A-76)	Ongoing		
6.3.1.3	Support the Office of Management & Administration (M&A) in the identification of specific Agency functions that should be subject to the competitive sourcing process	Ongoing		
7.1.1.1	Maximize the Agency's mission performance by supporting a comprehensive performance management system	On 2007 ITSP Plan	Enable proactive performance management	The comprehensive performance management system still needs to be defined

Init #	Initiative	Status	Reference in new ITSP	Comment
7.1.1.2	Support the alignment of the Performance Plan and Budget Request with program goals and full costing	On 2007 ITSP Plan	Enable proactive performance management	OED has refined and performance measurements for its programs in response to the PMA objective of improving performance and budget integration
7.1.1.3	Provide tool sets that will assist program management in tracking investments, performing Return on Investment (ROI), applying Earned Value Management (EVM), risk analyses, and developing measurable performance goals and metrics.	On 2007 ITSP Plan	Expand the use eCPIC	EVM and some performance goals and metrics are tracked and reported. However, there is no ROI tracking and risk analysis is not consistently completed
7.2.1.1	Investigate shared contract vehicles and Federal e-Government initiatives for obtaining IT products and services	Completed		This is in place and should continue.
7.2.1.2	Support the implementation of performance-based contracting	Ongoing		SBA does do some - clarify with M&A. However, SBA is primarily uses small/disadvantaged businesses, and does not enforce the performance penalties - because they are counter to promoting small businesses.
7.2.1.3	Support the implementation of a Contracts Management System (CMS)	On 2007 ITSP Plan	Support implementation of CMS	The CMS (Prism) has been approved
7.2.1.4	Support the expanded use of electronic tools to process applications, conduct program reviews and facilitate other business processes related to a determination of eligibility under procurement preference programs.	On 2007 ITSP Plan	Simplify 8(a) and Small Disadvantaged Business application, certification, and review	BDMIS II system is envisioned to meet this requirements and is currently in the planning stage
7.2.1.5	Assist in the development of online training to support contract management.	Ongoing		
7.3.1.1	Improve the quality and the consistency of capital planning processes across the SBA	Completed		BTIAC has been established as an advisory board to the BTIC. BTIC and the BTIAC are

Init #	Initiative	Status	Reference in new ITSP	Comment
				scheduled to meet regularly. Meeting minutes are captured and published
7.3.1.2	Develop value propositions for all major infrastructure technology investments, using the documents and process required by the Business Technology Investment Council (BTIC) and the Clinger-Cohen Act	Completed		Business cases are written for all major infrastructure technology investments
7.3.1.3	Assist project teams in increasing the performance of major IT system development projects within budget and schedule	Completed		Program Management Office has been established. The PMO monitors EVM for major projects, reports on progress, issues and risks of major programs to the boards
7.3.1.4	Implement an Enterprise IT Project/Portfolio Management Solution	On 2007 ITSP Plan	Expand the use eCPIC	eCPIC exists for submitting investments to OMB. This needs to be used more effectively for Enterprise IT Portfolio Management
7.3.1.5	Continue to develop project management skills	On 2007 ITSP Plan	Continue to improve agency's project management capabilities	PMO is developing a class for project management
7.4.1.1	Identify short-term opportunities to improve the transparency, timeliness, and cross-Agency usefulness of reporting data	On 2007 ITSP Plan	Create an enterprise data warehouse	There has been discussion of an enterprise wide data warehouse. Richard coffee believes this should still be a goal, but we should discuss with Christine Liu about whether it can be done within the 5 year window of the IT strategic plan. There may be value in just improving the data architecture.
7.4.1.2	Continue supporting mission critical systems	Eliminate		Mission critical systems continue to supported
7.4.1.3	Implement a physical IT and software asset inventory	On 2007 ITSP Plan	Develop an integrated and comprehensive	There exists some rudimentary tools for tracking physical IT assets.

Init #	Initiative	Status	Reference in new ITSP	Comment
	methodology		process and supporting tool for tracking and managing physical and software IT assets	But will continue to be a priority
7.4.1.4	Support the implementation of the Loan Monitoring System	On 2007 ITSP Plan	Improve loan processing and servicing (LMAS)	This requirement will be incorporated in the planned LMAS system (Loan Management and Accounting System)
7.4.1.5	Support efforts to comply with laws and regulations	Eliminate		SBA continues to comply with the laws and regulations
7.4.1.6	Support efforts to automate the monthly close-out	Eliminate		This no longer is an issue. The monthly close-out is completed in 1-2 days
8.1.1.1	Implement an Agency-wide EA tool	On 2007 ITSP Plan	Fully deploy the EA tool	SBA does have Metis, but they need to continue to populate it and need a strategy for how to use it. What Richard would like is an executive communication tool - to explain the EA and its impacts outside OCIO.
8.1.1.2	Publish and maintain information about the EA on the OCIO web site	Completed		The enterprise architecture blueprints and related documents have been published in the OCIO website
8.1.1.3	Participate in the Federal CIO Council initiatives and committees and provide feedback on the Federal Enterprise Architecture Reference Models	Completed		OCIO does this effectively
8.2.1.1	Identify a more integrated solution to the Loan Accounting System and its related subsystems	On 2007 ITSP Plan	Improve loan processing and servicing (LMAS)	LMAS has been defined as an integrated solution for loan management and accounting
8.2.1.2	Support efforts to improve the systems/mechanisms that commercial Federal credit lending partners currently use to meet Federal reporting requirements during the loan	Ongoing		An e-gov initiative was started to standardize lender interfaces, but is no longer active. This initiatives still needs to be

Init #	Initiative	Status	Reference in new ITSP	Comment
	lifecycles			prioritized
8.2.1.3	Develop requirements and acquire an electronic records management system	On 2007 ITSP Plan	Digital data storage and workflow	Acquisition of an electronic records management system continue to be a priority
8.2.1.4	Provide systems to support an increase in the rate of teleworking to mandated levels	On 2007 ITSP Plan	Provide tools and technical assistance to support telework and mobile computing	OCIO continues to support teleworking by providing laptops and VPN access. The challenges observed were around training and technical assistance about using VPN connection
8.2.1.5	Implement a web content management tool to allow for more autonomy over internet updates for programs and offices	Completed		Stellent has been selected and implemented as the web content management tool. But the content updates are still done by the OCIO staff. The responsibility of maintaining the content should reside with the programs
8.2.1.6	Analyze the infrastructure needs across the SBA network, including telecommunications upgrades in field offices and server consolidation	Ongoing	Conduct a comprehensive infrastructure assessment and upgrade and consolidate as necessary	This analysis still needs to be conducted
8.3.1.1	Provide a single view of the customer	On 2007 ITSP Plan	Create a formal data management program	This still needs to be accomplished incrementally, started with the data dictionary and an enterprise wide data repository
8.3.1.2	Establish a formal data management program	On 2007 ITSP Plan	Create a formal data management program	A preliminary data management strategy has been developed. The data management program needs to be created
8.4.1.1	Develop an SBA enterprise security architecture	Ongoing		There is a security architecture in the blueprint, but EA needs increased participation from OIS to refresh it.
8.4.1.2	Fully implement an effective cyber-security management	Completed		There is a fully functioning IT Security Program. HSPD-12 needs to be

Init #	Initiative	Status	Reference in new ITSP	Comment
	program			added to the EA Blueprint - will be added next quarter.
8.4.1.3	OCIO will ensure that all SBA IT systems are certified and accredited	Completed		84 systems are already certified. The remainder are awaiting signoff and should be completed by March 1, 2007.
8.4.1.4	Complete development of the Agency's Continuity of Operations Plan (COOP)	Completed		Complete. signed off by OCOO August 2006.
8.4.1.5	Expand charter of the IT Security and Privacy Council	Eliminate		No longer applicable.
8.4.1.6	Develop a Public Key Infrastructure (PKI) plan and an electronic signature policy	On 2007 ITSP Plan	Develop a Public Key Infrastructure plan and an electronic signature policy	
8.5.1.1	Support program offices in the facilitation and collection of data through annual customer satisfaction surveys	Ongoing		
8.5.1.2	Expand the use of electronic counseling	On 2007 ITSP Plan	Improve distance learning and counseling	Integrating the counseling programs with the loan programs will continue to be a strategic priority
8.5.1.3	Participate in cross-Agency e-government initiatives	On 2007 ITSP Plan	Continue to support cross-agency E-Government initiatives	Cross-agency e-government initiatives continue to be supported
8.5.1.4	Support internal e-government initiatives	On 2007 ITSP Plan	Support Business Gateway	E-Government initiatives continue to be supported