



Small Business Administration

SBA Enterprise Architecture Transition Plan

Version 3.00

March 2009



Revision History

Version No.	Date	Revision Description
3.00	2/28/09	Updated from 2008 to address completed segment architectures, new investments and initiatives, and updated OMB guidance

The SBA Chief Architect maintains this document and can make administrative changes, such as error correction or editorial changes, without approval. BTIC members must approve all non-administrative changes to this document. Version numbers for non-administrative revisions is of the whole number form n.00 and for administrative revisions is of the decimal number form _.nn.

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1. Introduction

The SBA Enterprise Architecture Transition Plan (EATP) for the United States Small Business Administration (SBA) is a high-level strategic roadmap for information technology (IT) modernization. The foundation for the Plan is SBA's Target Enterprise Architecture (EA) and the complete segment architectures, including target performance goals, business processes, applications and services, technology, data, and security. Investment information from the notional (lowest level of maturity with limited information) and planned (next level of maturity with additional, but not extensive information) segments are also described in the EATP. The EATP defines and sequences the transition activities to close performance gaps and reach the desired future state, in light of relevant priorities, dependencies, and constraints. The SBA EATP evolves with an annual update to accommodate SBA's continuously changing business environment, the capital planning cycle, and other architectural drivers including relevant cross-agency initiatives.

The Clinger-Cohen Act (formerly known as the Information Technology Management Reform Act of 1996), 40 U.S.C. § 11101 et seq., requires that the Agency Chief Information Officer (CIO) develop, maintain, and facilitate the implementation of a sound, secure, and integrated information technology architecture [the Enterprise Architecture] for the executive agency, 40 U.S.C. § 11315(b)(2). In addition, and among other things, the CIO must promote the effective and efficient design and operation of all major information resources management processes for the executive agency, including improvements to work processes of the executive agency, Id. § 11315(b)(3).

In addition, the Office of Management and Budget's (OMB's) Circular A-130, "Management of Federal Information Resources," requires that each agency document and submit their initial and updated EA to OMB. Per the circular, the EA is the explicit description and documentation of the current and desired relationship among business and management processes and information technology. The EA must describe the "current architecture" and "target architecture" and must also provide a strategy that will enable the agency to support its current state that also acts as the roadmap for transition to its target environment. These transition processes will include an agency's capital planning and investment control processes, agency EA planning processes, and agency systems life cycle methodologies.

Consequently, the EATP is mandated by statute and OMB. However, it also serves as a sound tool for business transformation and IT modernization.

1.1. Purpose

This EATP updates the Agency's February 2008 version based on new or revised architectural drivers and new guidance from OMB. It updates the Agency's EA transition activities and sequencing plan. The intended near-term uses and affects of the EATP include:

1. Providing a roadmap for the transition to SBA's Target EA to close performance gaps
2. Identifying and prioritizing segment architectures for core mission, business service, and enterprise service areas

3. Supporting SBA's IT Investment Management (ITIM) process and improving the efficiency and effectiveness of SBA's IT investment portfolio. This plan details major and non-major investments required to reach the target state and SBA's Business Technology Investment Council (BTIC) will validate proposed investments against this Plan. Investments not included in the EATP will require additional explanation of expected mission performance improvements from the originating Office.
4. Measuring progress toward achieving SBA's target EA and closing its performance gaps. The summary of performance improvement milestones included in this document will enable better management and reporting of progress against agency-wide plans.

1.2. Audience

This Transition Plan is applicable to all SBA Offices, representing a high-level roadmap for moving SBA toward the Target EA. The primary focus for specific SBA stakeholder groups is summarized below:

1.2.1. SBA Executives

As the primary force within SBA responsible for ensuring that the agency fulfills its business mission and progresses toward its vision, SBA executives must understand and use the EATP as primary guide in the Agency Capital Planning and Investment Control (CPIC) process. The SBA program office executives are chartered members of the BTIC, which has the responsibility for approving the EATP, and is part of the CPIC process.

1.2.2. Office of the Chief Information Officer (OCIO) Staff

All OCIO staff must be familiar with the EATP. As the Office with primary responsibility for deploying technology in support of the agency's mission, OCIO staff must understand the transition activities required to move SBA to the Target EA. This includes the Productivity Enhancement Staff (PES) responsible for capital planning and investment control, who must enforce compliance with the EATP during CPIC processes and be able to apply that understanding in the evaluation of SBA's IT investment portfolio.

1.2.3. Program/Project Managers

Program and project managers responsible for IT initiatives must ensure that the initiatives are associated to the transition activities in the EATP and that performance goals and milestones are aligned.

1.2.4. Business Managers

Managers within SBA's mission areas should understand the transition activities and how they relate to their business needs. They should closely review those activities that address their mission areas.

1.2.5. OMB

As part of the budget submission process, SBA will submit the EATP and other EA work products to OMB. OMB will use the Plan to determine whether SBA has a cohesive roadmap to shift SBA to the Target EA.

1.3. Update Overview

This transition plan contains several changes from the baseline 2008 report. As expected, a year of IT development and operation and the completion of several new segment architectures ended some initiatives, started others, and changed milestones or metrics.

Additionally, this plan lists investments according to the status of each segment analysis, the primary mechanism for EA planning within a program or line of business. Investments described in detail are “major investments,” large enough to require an Exhibit 300 or “non-major” investments requiring an Exhibit 53. Other initiatives, recommended during the course of the segment architecture analysis, are also listed but not described in detail.

Complete segments include:

- Business Gateway
- Government Contracting and Business Development
- Human Capital Management
- Information Technology Infrastructure
- Procurement and Grants Management

Planned (not complete; additional, but limited information) segments include:

- Disaster Assistance
- Financial Management

Notional (not complete; lowest level of maturity and limited information) segments include:

- Financial Assistance
- Management and Technical Assistance

One segment under discussion, but not yet approved as notional, is Information Sharing.

Initiatives that have been added to the plan are listed in Appendix A; retired initiatives are in Appendix B.

2.SBA's Enterprise Architecture

2.1. Mission and Goals

The SBA's mission is "to maintain and strengthen the Nation's economy by enabling the establishment and vitality of small businesses and by assisting in the economic recovery of communities after disasters."

Table 1: SBA Strategic Goals and Objectives

Goal#	Goal	LTO#	Long Term Objective
1	Expand America's ownership society, particularly in underserved markets	1.1	Improve access to SBA programs and services by small businesses to drive business formation, job growth, and economic activity
		1.2	Support entrepreneurship in markets with higher poverty and unemployment, and in our military community
		1.3	Ensure stewardship and accountability over taxpayer dollars through prudent financial portfolio management and oversight
2	Provide timely financial assistance to homeowners, renters, nonprofit organizations and businesses affected by disaster	2.1	Respond quickly, efficiently and effectively to disaster applicants
3	Improve the economic environment for small business	3.1	Protect, strengthen and effectively represent the Nation's small businesses to minimize the regulatory burden
		3.2	Foster a more small-business friendly environment
4	Ensure management and organizational excellence to increase responsiveness to customers, streamline processes, and improve compliance and controls	4.1	Deploy a skilled workforce capable of executing high-quality programs
		4.2	Provide a safe and secure information system environment to support business decisions and Agency operations
		4.3	Provide financial and performance management services to support efficient and effective program delivery

Metrics used to measure the success of the agency as a whole can be found online at <http://www.sba.gov/aboutsba/budgetsplans/>.

2.2. Modernization and Change Drivers

The globalization of markets, the effects of a long-term economic downturn, explosive growth in technology and increased competition among small businesses drive the need for change. Additionally, policy-makers are changing the landscape of financial interactions and regulatory compliance. The following list identifies the major forces for change that affect the SBA's decision making.

2.2.1. Executive Drivers

The new Administration entering office in 2009 will identify new priorities and a new Small Business Agenda. These changes are not yet reflected in the EATP since new SBA leadership is not yet in place and new priorities are not finalized.

2.2.2. Legislative Drivers

- Clinger-Cohen Act
- Financial Management Legislation
 - Chief Financial Officer Act
 - Government Management Reform Act
 - Federal Financial Management Improvement Act (FFMIA)
- Government Paperwork Elimination Act (GPEA)
- Small Business Act
- Government Management Reform Act
- E-Government Act
- Prompt Pay Act
- The recent passage of the American Reinvestment and Recovery Act of 2009 is likely to have a significant impact on SBA operations although the full impact is not yet known at the release of this document and are not reflected in the architecture.

2.2.3. SBA-Specific Drivers

- The transformation of the SBA workforce in recent years, resulting in functions being centralized and many roles and responsibilities being realigned.
- Substantial growth in the SBA's outstanding loan portfolio over the past five years, resulting in increased demands upon the SBA in maintaining its operations and fulfilling its oversight responsibilities.
- Natural disasters of significant magnitude during recent years, resulting in heightened demand for immediate disaster response.

- An aging workforce, with 34 percent being eligible for retirement by 2009, and muted employee morale revealed from employee surveys, resulting in focus on improved communication, training opportunities, and recruiting.

2.2.4. External Drivers

- The banking and credit market downturn, which has seriously restricted the availability of credit.
- Globalization of markets
- Increasing numbers of minority- and women-owned small businesses
- Unpredictability of disasters
- New FEA guidance

2.3. SBA Baseline Architecture

The SBA maintains a detailed documentation of its baseline architecture in the document entitled *SBA Enterprise Architecture Blueprint*. Analysis indicated that baseline architecture is characterized by stove-piped systems, data that cannot or is not reused or shared, and a number of manual processes.

- **Performance:** the baseline architecture did not include a performance architecture with clear line of sight between IT investments and actual results in meeting SBA's strategic goals and objectives. The baseline was also missing the tools and processes for tracking and reporting results and performance improvements.
- **Business:** the baseline business architecture has clear line of sight from mission to goals to objectives and the strategies to achieve them.
- **Data:** the baseline data environment is complex, with access to and sharing of data difficult. Data standards were not consistent across the Agency.
- **Applications:** SBA has over 200 line-of-business applications. It is mainframe-based for legacy applications, with a growing number of web enabled applications. The baseline had no service architecture, and very limited reuse of services.
- **Technology:** The baseline technical architecture is characterized by a lack of standardization and limited integration, though SBA is making progress with advancing and maturing its technical architecture.

Modernization activities have been underway for several years, so many improvements have already been made.

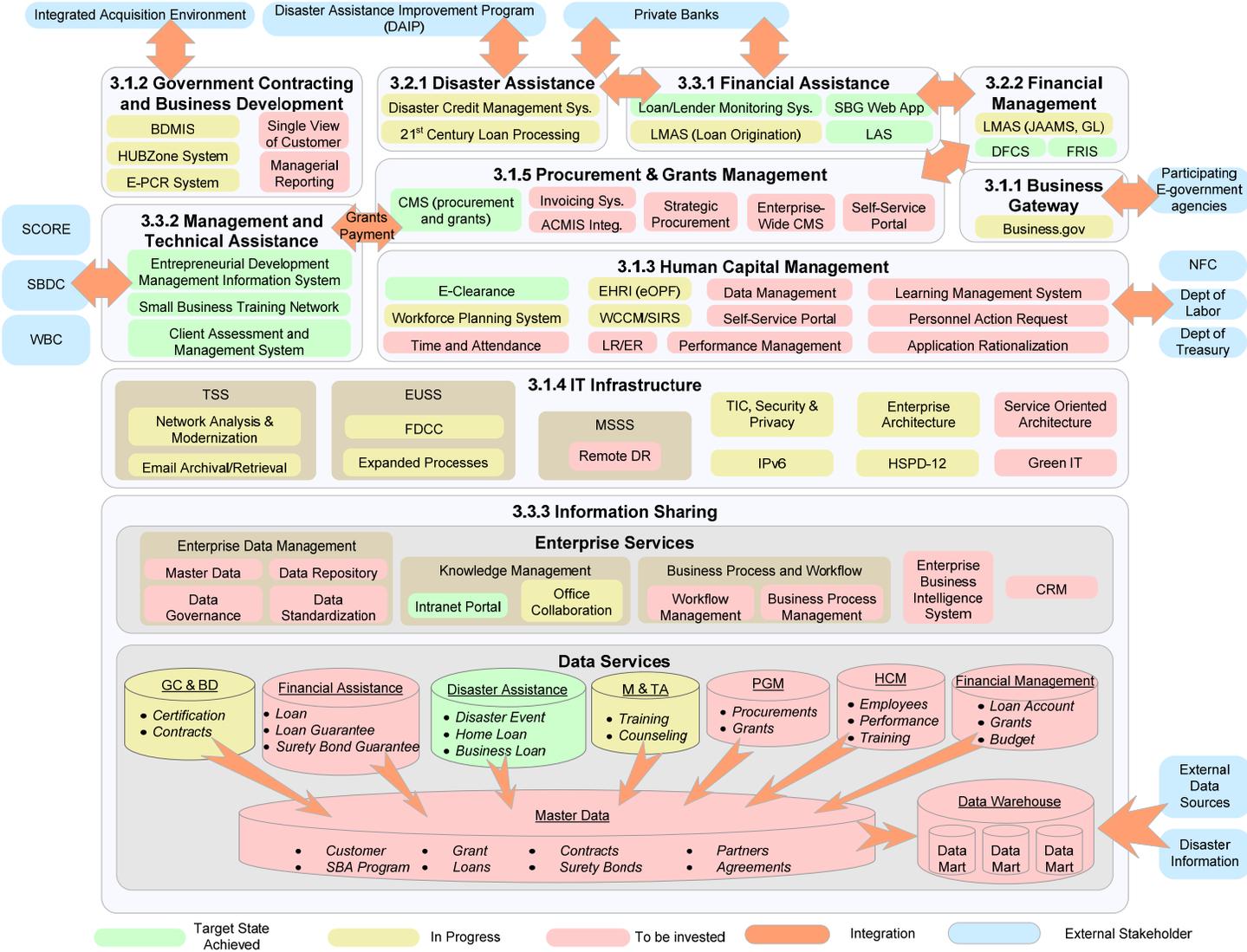
2.4. Target State Architecture

The target state is a business driven architecture, characterized by integrated systems, shared data, reused services, and a robust infrastructure designed to improve the overall performance of the Agency and achieve measurable business outcomes. The target state includes nine segments, across core mission, business service, and enterprise service types:

- **Core Mission Segments:** these segments represent the major mission areas of the SBA, as defined by the Agency business model. They include:
 - Business Gateway (BG) (Complete)
 - Government Contracting and Business Development, managed by the Office of Government Contracting and Business Development (GC&BD) (Complete)
 - Disaster Assistance, managed by the Office of Disaster Assistance (ODA) (Planned)
 - Financial Assistance, managed by the Office of Capital Access (OCA) and the Office of the Chief Financial Officer (OCFO) (Notional); also used by ODA
 - Management and Technical Assistance, managed by the Office of Entrepreneurial Development (OED) (Notional)
- **Business Service Segments:** these segments represent common business services that support the core mission areas. SBA's business service segments include:
 - Financial Management, managed by the OCFO (Planned)
 - Human Capital Management, managed by the Office of Human Capital Management (OHCM) (Complete)
 - Procurement and Grants Management, managed by the Division of Procurement and Grants Management (DPGM) (Complete)
- **Enterprise Service Segment:** these segments represent shared IT services that support both core mission and business service segments. The SBA's only identified enterprise service segment is IT Infrastructure (Complete), managed by the OCIO. However, discussions are underway regarding an Information Sharing segment, though it has not been finalized or approved.

The target state illustrates how all the segments fit together in an integrated and standardized way. The target state will move toward a service oriented approach, focused on re-use, performance improvement, and cost savings.

Figure 1: SBA Target State



3.SBA Architectural Segments

The SBA has adopted the Federal Enterprise Architecture (FEA) Practice Guidance¹ and Federal Segment Architecture Methodology (FSAM) in pursuing a segmented approach to agency-wide enterprise architecture development. To date, the agency has analyzed two core mission segments, two business service segments, and one enterprise service segment in detail and produced segment architectures, including strategic roadmaps. The target state will be developed as each segment is analyzed. The status of each segment is shown below in Table 2.

Table 2: SBA Segments

Segment Name	Office / Program	Segment Type	Priority Segment
Complete Segments			
Business Gateway	BG	Core Mission	Yes
Government Contracting and Business Development	GC & BD	Core Mission	Yes
Human Capital Management	OHCM	Business Service	No
IT Infrastructure	OCIO	Enterprise Service	Yes
Procurement and Grants Management	DPGM	Business Service	No
Planned Segments			
Disaster Assistance	ODA	Core Mission	Yes
Financial Management	OCFO	Business Service	No
Notional Segments			
Financial Assistance	OCA/OCFO/ ODA	Core Mission	Yes
Management & Technical Assistance	OED	Core Mission	Yes

¹ A full description of the FEA Practice Guidance is documented in *FEA Practice Guidance, November 2007*, from the Federal Enterprise Architecture Program Management Office of OMB. More information about FEA can be found at <http://www.whitehouse.gov/omb/e-gov/fea/>.

An information sharing segment is under consideration but has not been approved. Segments and initiatives are described in Section 3.1 with specific information on each segment's:

- **Scope** - a brief explanation segment architecture activities
- **Vision** - the ultimate target state performance environment
- **Drivers** - the factors driving change
- **Segment Performance** - the metrics used to evaluate progress toward the target state
- **Funding Strategy** – the budgeting/funding approach along with business cases to support an investment
- **Investments, Initiatives, and Milestones** - the projects used by programs to reach the target state

Each investment within the segment description is depicted in a table and includes an overview based on the type of funding request. Major investments are characterized by an Exhibit 300, for those initiatives requiring an investment of more than \$500,000. Non-major investments are in the Exhibit 53, but require less detail. The segment descriptions reflect the information available based on the level of investment and include:

- **Investments** – the name of the major investment, as shown on an Exhibit 300 or a non-major investment, as noted on an Exhibit 53, plus any related projects
- **Cross Agency Initiatives** – Identifies the Federal Transition Framework (FTF) Cross-Agency Initiative associated with this initiative.
- **Dependencies** – lists the other initiatives which this initiative needs or is impacted by.
- **Architecture** – the architecture is conveyed using the FEA architectural layers:
 - Business Architecture: impacts to lines of business, business sub-functions, and/or business processes
 - Service Component Architecture: impacts to applications, software components, and/or units of technology that provide business-level information or perform processing
 - Data Architecture: impacts to data storage, exchange, and sharing
 - Technical Architecture: impacts to technology standards, services, and products used to deliver and support IT services.
- **Performance Goals** – describes the performance gaps the initiative will address. When specific metrics and targets have been defined in an Exhibit 300, those performance metrics are included.
- **Implementation Plan/Milestones** – list the planned activities and milestones. Specific milestones in an Exhibit 300 are included, as well as associated performance improvements.

Descriptions of the complete segments are much more detailed, as analysis has been completed. As such, the segments are divided by complete, planned, or notional maturity status.

3.1. Complete Segments

3.1.1. Business Gateway

Scope

BG is the federal E-Government (E-Gov) initiative that provides a one-stop resource (www.business.gov) for compliance information, forms, and government contacts to help the nation's businesses comply with federal, state, and local laws and regulations. Currently, SBA is the managing partner for this initiative and BG has the potential to "graduate" out of its current E-Gov status to become a fully SBA-owned program.

Vision

BG plans to increase available site content in order to move from being a "links site" to becoming a "content destination site." It is investigating how to leverage Web 2.0 technology to increase collaboration with and among businesses and the federal government.

Drivers

- Program maturity – the program is maturing into operations and maintenance (O&M)
- Reduction in resources – budget will be reduced in coming years
- Customer input – the program closely adheres to feedback from customers
- E-Gov graduation – BG has the potential to become an SBA program
- Rising customer expectations – result of having an online customer base

Segment Performance

As an e-Gov initiative, performance goals for BG relate directly to helping businesses navigate Federal compliance issues. The business improvements expected are:

- Hours saved by business owners searching for compliance or regulatory information
- Improved results on customer service surveys
- Decreased referrals to other federal sites

Funding Strategy

Business Gateway is currently an E-Government initiative and is funded through contributions from 22 different government agencies. Its FY2007 budget was \$7.89M, with largest contributions coming from the Department of Agriculture, Department of Health and Human Services, Department of Homeland Security, Department of Labor, Department of Transportation, and Treasury. In the coming year, Business Gateway hopes to graduate from being an E-Gov initiative to becoming an operational program within the SBA, thereby receiving all of its funding from the SBA budget.

Investments, Initiatives, and Milestones

BG has no additional investments, although the initiatives in development include:

- Social collaboration
- Social network
- Site redesign
- New content features
- New content areas

Table 3: BG Investment

Initiative:	Business Gateway
Investments	E-GOV Business Gateway (Exhibit 300)
Cross Agency Initiatives	Business Gateway <i>(Any Federal agency can contribute to BG)</i>
Dependencies	None
Owning Programs	Business Gateway/OCIO
Architecture	<p>See <i>BG Segment Architecture</i>, February 2008 and EASR submission for more details.</p> <ul style="list-style-type: none"> • Business Architecture: collaboration will be embraced as a way of conducting business. Greater focus will be on creating partnerships, content outsourcing, analyzing its customer base, monitoring & facilitating discussions, and communicating partner messages. • Service Component Architecture: new collaboration service components • Data Architecture: new data assets containing customer feedback, partner information, and social collaboration artifacts. • Technical Architecture: SBA uses a Google search appliance for search services within BG and potentially other systems

Performance Goals				
BG Investment Metric¹	FY2009³ Target	FY2010³ Target	FY2011 Target	Strategic Outcome Supported²
Hours saved (#) finding compliance information on	2.9M	3.4M	TBD	<ul style="list-style-type: none"> • Hours saved

Performance Goals				
BG Investment Metric¹	FY2009³ Target	FY2010³ Target	FY2011 Target	Strategic Outcome Supported²
Business.gov				
ForeSee Scores	73	74	TBD	<ul style="list-style-type: none"> • Customer satisfaction
Referrals to partner sites	27%	25%	TBD	<ul style="list-style-type: none"> • Referrals to partner sites per month
<p>1 Source: FY10 Exhibit 300 2 Source: PAR</p>				

Investment Plan/Milestones				
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported¹	
Program management support	Ongoing	BG 300	<ul style="list-style-type: none"> • Customer satisfaction • Hours saved • Cost per hours saved 	
Marketing/outreach support	Ongoing	BG 300	<ul style="list-style-type: none"> • Customer satisfaction • Referrals to partner sites per month • Cost per hours saved 	
Development support	Ongoing	BG 300	<ul style="list-style-type: none"> • Customer satisfaction • Hours saved • Cost per hours saved 	
Product management support	Ongoing	BG 300	<ul style="list-style-type: none"> • Customer satisfaction • Hours saved • Cost per hours saved 	
Customer satisfaction survey	Ongoing	BG 300	<ul style="list-style-type: none"> • Customer satisfaction 	
Site redesign launched	3/09	EASR	<ul style="list-style-type: none"> • Customer satisfaction • Hours saved • Referrals to partner sites per month 	

Investment Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported¹
Customer service support forum launched	05/09	EASR	• Customer satisfaction
New content areas (state and local additions) launched	6/09	EASR	• Customer satisfaction
Social collaboration platform launched	6/09	EASR	• Customer satisfaction
Hosting migration planning kicked-off	06/09	EASR	• Hours saved
Workflow for content platform launched	09/09	EASR	• Hours saved
Social network launched	12/09	EASR	• Referrals to partner sites per month
Web services planning kicked-off	06/10	EASR	• Customer satisfaction • Hours saved
Community facilitation capability launched	12/10	EASR	• Referrals to partner sites per month

¹ Source: FY10 Exhibit 300/PAR

3.1.2. Government Contracting and Business Development Segment

The segment architecture for this segment was completed in September 2007 and revisited in January 2009 to update the Enterprise Architecture Segment Report.

Scope

This core mission segment covers programs operated by GC&BD, including the Section 8(a) Business Development Program and the HUBZone program. GC&BD's mission is to assist small businesses, including small disadvantaged businesses, HUBZone, Women-Owned Small Businesses, and Service-Disabled Veteran Owned Small Businesses, in obtaining Federal procurement opportunities. This segment currently includes two major investments:

- Business Development Management Information System (BDMIS)
- HUBZone System

It also has one non-major investment:

- Electronic Procurement Center Representative (ePCR)

Vision

The GC&BD target state leverages automation and technological advances to improve system functionality, drive efficiency, reduce fraud, standardize and integrate disparate data. The innovations will provide a single view of the customer and enable automated analytics and reporting, as well as information sharing. A new e-PCR system will manage set-aside procurements and serve set-aside details to stakeholders.

Drivers

GC&BD modernization is driven by

- Reduction in resources
- Growing contracting portfolio
- Regulatory compliance
- Federal small business contracting standards
- A GAO report citing widespread fraud in the HUBZone program, which caused program-wide changes in operations.

Segment Performance

GC&BD performance goals are business improvements expected from transition efforts. The list below offers a sample of expected business results from these initiatives:

- Increased number of small businesses assisted
- Increased value of federal contracting dollars award to small or disadvantaged businesses
- Increased percentage of businesses still in business three years after graduation from a certification program
- Reduced fraud in certification applications

Funding Strategy

GC&BD has its own line item in the SBA budget and will develop business cases as necessary to support projects.

Investments, Initiatives, and Milestones

GC&BD modernization will be accomplished through the following Agency initiatives, in coordination with referenced cross-agency initiatives:

- BDMIS/HUBZone enhancements (major investments)
- ePCR (non-major investment)
- Single view of the customer (future)
- Managerial reporting (future)

Milestone and metric details are included for initiatives that affect a major investment. Full details are available in the Segment Architecture for all initiatives, including non-major and planned initiatives.

Table 4: Business Development and Certification Enhancement Investment Detail

Initiative:	Business Development and Certification Enhancements
Investments	<ul style="list-style-type: none"> • Business Development Management Information System (BDMIS) (Exhibit 300) • HUBZone System (Exhibit 300)
Cross Agency Initiatives	Leverages the Geospatial LOB (FTF Catalog)
Dependencies	None
Owning Programs	Section 8(a) Business Development HUBZone
Architecture	<ul style="list-style-type: none"> • See GCBD Segment Architecture, September 2007 and EASR submission for more details. • Service Component Architecture: In the future, there are potential areas for these two separate systems to share and reuse common service components, including a unified web portal, and common security, workflow, business rules engine, and document management. • Data Architecture: There is the potential to consolidate data into one logical data source for business certifications.

Performance Goals				
BDMIS Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
Number of electronic applications	25% increase	25% increase	25% increase	<ul style="list-style-type: none"> • Number of small businesses assisted • Annual value of federal contracts awarded
Percent of electronic annual reviews done on time	75% from baseline	100%	100%	<ul style="list-style-type: none"> • Number of small businesses assisted

Performance Goals				
BDMIS Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
Number of 8(a) applications processed	25% increase	25% increase	25% increase	<ul style="list-style-type: none"> • Number of small businesses assisted
<p>Note: One current metric, time to load a web page, is being phased out 1 Source: : FY10 Exhibit 300 2 Source: PAR</p>				

Performance Goals				
HUBZone Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
Total amount of contract dollars going to HUBZone firms	In review	In review	In review	<ul style="list-style-type: none"> • Annual value of federal contracts awarded
Number of jobs reported in HUBZone communities	In review	In review	In review	<ul style="list-style-type: none"> • Number of small businesses assisted • Jobs created/retained
Amount of time an individual spends reviewing an individual application	In review	In review	In review	<ul style="list-style-type: none"> • Number of small businesses assisted
Number of certification-related automated processes	In review	In review	In review	<ul style="list-style-type: none"> • Number of small businesses assisted
<p>1 Source : FY10 Exhibit 300 2 Source: PAR</p>				

Investment Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported¹
Complete conversion of 8(a) application to Java	9/09	BDMIS 300	<ul style="list-style-type: none"> • Number of electronic applications
HUBZone development and maintenance	9/09	HUBZone 300	<ul style="list-style-type: none"> • N/A
BDMIS and HUBZone enhancement completed	12/09	EASR	<ul style="list-style-type: none"> • Number of electronic applications • Annual value of federal contract dollars awarded
Design, develop and deploy further 8(a) enhancements	12/09	BDMIS 300	<ul style="list-style-type: none"> • Number of electronic applications • Percent electronic annual reviews done on time • Annual value of federal contract dollars awarded
BDMIS O&M	9/10	BDMIS 300	<ul style="list-style-type: none"> • N/A

Investment Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported¹
Unified portal implemented for BDMIS and HUBZone	9/10	EASR	<ul style="list-style-type: none"> • Number of electronic applications • Annual value of federal contract dollars awarded
HUBZone dev & maintenance	9/10	HUBZone 300	<ul style="list-style-type: none"> • N/A
Integrated customer view available	12/10	EASR	<ul style="list-style-type: none"> • Percent annual reviews done on time • Amount of time an individual spends reviewing an application • Annual value of federal contract dollars awarded
BDMIS O&M	9/11	BDMIS 300	<ul style="list-style-type: none"> • N/A
HUBZone development and maintenance	9/11	HUBZone 300	<ul style="list-style-type: none"> • N/A
Common data mart implemented	9/11	EASR	<ul style="list-style-type: none"> • Amount of time an individual spends reviewing an individual application • Percent of electronic annual reviews done on time • Annual value of federal contract dollars awarded
Managerial reports completed	3/12	EASR	<ul style="list-style-type: none"> • Amount of time an individual spends reviewing an individual application • Percent of electronic annual reviews done on time • Annual value of federal contract dollars awarded
Enterprise services implemented for BDMIS and HUBZone	9/13	EASR	<ul style="list-style-type: none"> • Annual value of federal contract dollars awarded
1 Source: FY10 Exhibit 300/PAR			

Table 5: ePCR Investment detail

Initiative:	Business Development and Certification Enhancements
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Initiative:	Business Development and Certification Enhancements
Investments	ePCR (Exhibit 53) <ul style="list-style-type: none"> Note: Funding was not received this fiscal year. Awaiting next budget cycle.
Cross Agency Initiatives	Leverages the Integrated Acquisition Environment, including FPDS, CCR, and FedBizOpps.
Dependencies	Integrated Acquisition Environment. ePCR depends on some decisions to be made by and in cooperation with GSA.
Architecture	See the GC&BD Segment Architecture, September 2007 and EASR submission. <ul style="list-style-type: none"> Business Architecture: ePCR will automate contract review processes currently performed by the procurement center representatives. Data Architecture: ePCR will seek to identify federal contracting opportunities earlier in the contracting process.
Performance	Strategic outcomes supported: <ul style="list-style-type: none"> Jobs created/retained Annual value of federal contract dollars awarded
Milestones	FY2010: <ul style="list-style-type: none"> Business case analysis/requirements complete (3/10) Data exchange with procurement complete (9/10)

3.1.3. Human Capital Management Segment

The segment architecture analysis for HCM was completed in November 2008. Updates were made in the course of preparing this plan.

Scope

OHCM supports the Agency’s mission by providing the processes and systems that deliver, sustain and manage the human side of all Agency goals. OHCM participates in e-Government (e-Gov) initiatives in the President’s Management Agenda (PMA) and shares data and systems with other federal shared service providers.

HCM did not request FY2010 funding a major investment, but did complete an Exhibit 53 for three non-major investments for

- Electronic Official Personnel File (e-OPF)
- Worker’s Compensation Case Management/Safety Incident Reporting Systems (WCCM/SIRS)
- Workforce Planning System (WPS)

Vision

HCM's segment architecture will contribute to plans to modernize all aspects of HR functions at SBA, meeting the Agency's strategic goal to provide efficient services.

Drivers

- Need for automated or online processes – HCM is freeing up resources in a transition from paper-based to electronic processing.
- Increased emphasis on performance measures – Federal entities like OPM have increasingly recommended performance-based investments and HCM will have to adapt its metrics to show the need for future investments.
- Delivery of personnel – ODA is particularly driven to deliver a large number of staff to specific areas in the US for disaster response, which HCM must support.
- E-Government – Many of the federal e-Gov initiatives are targeted at human resources functions and consolidating them across agencies. SBA's HCM functions have been and will be required to comply with or to use many e-Gov solutions.

Segment Performance

As a business service segment, HCM's business performance supports SBA's fourth strategic goal, as shown in Table 1. The investments and initiatives HCM has scheduled will

- Improve workforce strategic planning, which will improve all aspects of the HR lifecycle
- Shorten the average time to hire
- Increase employee satisfaction with training, case tracking and better forecasting
- Automate time and attendance processes, allowing staff to concentrate on non-administrative tasks

Funding Strategy

HCM has its own line item in the SBA budget and will develop business cases as necessary to support projects.

Investments, Initiatives, and Milestones

HCM investments and initiatives support SBA's fourth strategic goal, an efficient workforce. Other initiatives recommended in the segment architecture analysis will move HCM toward its target state, including:

- Data management
- HR LOB preparation
- Learning Management System
- Personnel Action Request processing
- Labor relations management
- Performance management
- Self service portal

Specifics on HCM's non-major investments are shown in Tables 6-8.

Table 6: E-OPF Investment Detail

Initiative:	Electronic Official Personnel File (e-OPF)
Investments	e-OPF (Exhibit 53) <i>Note: This request is for the last phase of the project</i>
Cross Agency Initiatives	Leverages the Enterprise Human Resource Integration e-Gov initiative and HR Line of Business (FTF Catalog)
Dependencies	<ul style="list-style-type: none"> • Completing e-OPF requires funding to be released • Complete automation requires integration with PAR and the data management initiatives although not required for system use.
Architecture	<p>See the HCM Segment Architecture, November 2008 and EASR submission.</p> <ul style="list-style-type: none"> • Service Component Architecture: new services for personnel administration and education / training. • Data Architecture: new data repository containing electronic personnel files, training information, and training content. • Technical Architecture: new standards for learning content
Performance	Percentage of HR tasks completed online
Milestones	<ul style="list-style-type: none"> • FY2009: <ul style="list-style-type: none"> – Planning and assessment completed (02/09) • FY2010: <ul style="list-style-type: none"> – System implemented (09/10) • FY2014: <ul style="list-style-type: none"> – Integration with self-service portal completed (08/14)

Table 7: WCCM/SIRS Investment Detail

Initiative:	Worker's Compensation Case Management/Safety Incident Reporting System
Investments	WCCM/SIRS (Exhibit 53)

Initiative:	Worker's Compensation Case Management/Safety Incident Reporting System
Cross Agency Initiatives	None
Dependencies	None
Architecture	<p>See the <i>HCM Segment Architecture</i>, November 2008 and EASR submission.</p> <ul style="list-style-type: none"> • Business Architecture: formalize the processes for workers' compensation case management and define the requirements for safety incident reporting processes. • Service Component Architecture: potentially reuse the case management and reporting services • Data Architecture: new data repository containing workers' compensation and safety incident records, new data sharing with external data sources.
Performance	Reduce overage grievance cases
Milestones	<ul style="list-style-type: none"> • FY2009 <ul style="list-style-type: none"> – Planning and assessment completed (07/09) • FY2010: <ul style="list-style-type: none"> – System implemented and integration with Department of Labor completed (03/10)

Table 8: WPS Investment Detail

Initiative:	Workforce Planning System
Investments	WPS (Exhibit 53)
Cross Agency Initiatives	Human Resources Line of Business (HR LOB)
Dependencies	Complete automation requires integration with e-OPF, PAR and the data management initiatives although not required for system use.

Initiative:	Workforce Planning System
Architecture	<p>See the <i>HCM Segment Architecture</i>, November 2008 and EASR submission.</p> <ul style="list-style-type: none"> • Business Architecture: formalize the human capital strategy development, evaluation, and execution processes. • Service Component Architecture: new applications / components for Workforce Management functions • Data Architecture: new data repository containing workforce planning data, new data sharing with external workforce data sources.
Performance	<ul style="list-style-type: none"> • HCM investments support SBA Strategic Goal 4, and WPS will assist the SBA in addressing its talent gaps while improving its employee accretion, attrition, and retention rates.
Milestones	<ul style="list-style-type: none"> • FY2009: <ul style="list-style-type: none"> – Planning and assessment completed (07/09) • FY2010: <ul style="list-style-type: none"> – System implemented (01/10)

3.1.4. Information Technology Infrastructure

The segment architecture for this segment was completed in February 2009.

Scope

The SBA’s Office of the Chief Information Officer (OCIO) manages the information technology services and support that enable the Agency’s mission, including the information technology infrastructure. SBA’s IT infrastructure is made up of the following components, as defined by the ITILOB:

- End User Services and Support (EUSS);
- Mainframe and Server Services and Support (MSSS); and
- Telecommunications Services and Support (TSS).

In addition, this segment architecture will explore the component of Enterprise Application Support Services (EASS) as it relates to service oriented architecture (SOA) and the IT infrastructure.

This segment currently includes only one major investment:

- OA/T/I Consolidated Exhibit 300, covering the steady state EUSS, MSSS, and TSS operations and maintenance (O&M).

Other investments may include infrastructure components, such as outsourced hosting services.

Vision

The target state for the SBA Infrastructure envisions an efficient and effective infrastructure that fully supports the Agency's business operations. It will drive down costs and promote reuse and collaboration internally and with external partners. The target state includes a modernized network with proactive bandwidth management, a "next generation" data center with full security, environmental and capacity requirements, complete remote disaster recovery (DR) capabilities, formal and standardized infrastructure management processes, a focus on reuse and collaboration through SOA, and full compliance with federal cross-agency IT initiatives.

Drivers

IT infrastructure modernization is driven by the following issues:

- Lack of identification and collection of performance metrics for the segment
- Ability of the infrastructure to meet the targets for certain performance metrics
- Alignment with Information Technology Infrastructure Library (ITIL) standards
- Provision of the IT infrastructure that encourages common components sharing and re-using
- Improvement opportunities presented by ITILOB
- Compliance with mandates – Networx contract, Trusted Internet Connection (TIC), IPv6, and HSPD-12
- Continuous modernization of IT infrastructure and services to improve operational reliability and efficiency

Segment Performance

IT infrastructure is one of the enterprise services segments, and, as such, performance goals focus on the quality and cost of services, rather than customer-facing services. The list below offers a sample of expected results from these initiatives:

- Improved or consistent IT systems availability
- Zero or reduced occurrences of unauthorized network or data breaches
- Improved or consistent service availability
- Reduced or consistent service restoration time after incident
- Reduced or consistent cost per user served
- Reduced or consistent cost per type of hardware or services

This segment will also strive to meet the IT performance benchmarks outlined by the IT Infrastructure Line of Business.

Funding Strategy

OCIO has its own line item in the SBA budget and will develop business cases as necessary to support projects.

Investments, Initiatives, and Milestones

SBA's IT infrastructure functions and investments support common user systems, communications, and the computing infrastructure. These investments are integrated in the OA

/T/ I Consolidated Exhibit 300 but each function and investment is individually managed. The majority of these investments are in the steady state/O&M lifecycle phase, consisting of continuous control phase activities for ongoing oversight of legacy IT systems and services. However, OA /T/ I is a mixed lifecycle investment due to the planning and acquisition efforts associated with initiatives such as IPv6 and HSPD-12.

IT Infrastructure segment has identified these transition initiatives for the next five years:

- Network analysis and modernization (ongoing)
- Archive and retrieval system for email (ongoing)
- Federal Desktop Core Configuration (FDCC) (ongoing)
- Expanded processes (ongoing)
- Trusted Internet Connection (TIC) and IT security program (ongoing)
- Remote disaster recovery (DR) infrastructure (ongoing)
- HSPD-12 infrastructure (ongoing)
- IPv6 transition (ongoing)
- Service Oriented Architecture (SOA) preparation and planning (future)
- Green IT (ongoing)

Milestone and metric details are included for initiatives that affect an investment. Full details are available in the Segment Architecture for all initiatives, including non-major investments and planned initiatives. Metrics from the OA/T/I 300s, which cover EUSS, MSSS, TSS and a consolidated MSSS document, are consolidated in Table 9. Some metrics were duplicated between the four budget requests and have been consolidated in the list below. Other metrics, included in the 300s, were duplicated by the ITILOB metrics and will be phased out of the 300s. New metrics were developed during the segment analysis and will be added to the OA/T/I 300 in 2011 as noted.

Table 9: IT Infrastructure Investment Detail

Initiative:	IT Infrastructure
Investments	<ul style="list-style-type: none"> • OA /T/ I Consolidated, steady state (Exhibit 300 for EUSS, MSSS and TSS) • IT Security Program (Exhibit 53) • Enterprise Architecture (Exhibit 53)
Cross Agency Initiatives	<ul style="list-style-type: none"> • Information Technology Infrastructure Line of Business (FTF Catalog) • HSPD-12 (FTF Catalog) • IPv6 (FTF Catalog) • SmartBuy (FTF Catalog) • Information Systems Security LOB (FTF Catalog)
Dependencies	None
Owning Programs	OCIO
Architecture	<ul style="list-style-type: none"> • See IT Infrastructure Segment Architecture, February 2009 and EASR submission for more details. • Business Architecture: New business processes will be included in the target state: Service Catalog Management, Service Lifecycle Portfolio Management, Metric Management, and SOA Governance. • Service Component Architecture: In the future, the service components for the management of process, investment, supply chain, knowledge, development and integration will be included.

Performance Goals				
OA /T/ I Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
Percent of tickets closed by in-house clerks	80%	80%	80%	• N/A
Timeliness of backups	95%	95%	95%	• IT systems availability
Timeliness of root cause analysis of outages	48 hrs	48 hrs	48 hrs	• IT systems availability
Load test for concurrent system users (not reported on after FY2008)	N/A	N/A	N/A	• IT systems availability

Performance Goals				
OA /T/ I Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
IT Security recommended patches (not reported on after FY2008)	N/A	N/A	N/A	<ul style="list-style-type: none"> Unauthorized network or data breaches
Percent of HQ SBA employees served by Telecom	99.99%	99.99%	N/A	<ul style="list-style-type: none"> IT systems availability
Percent of network infrastructure up to date	100%	100%	N/A	<ul style="list-style-type: none"> IT systems availability
Percent of hardware updated annually	25%	25%	25%	<ul style="list-style-type: none"> IT systems availability
*Percentage of SLAs met			TBD	<ul style="list-style-type: none"> IT systems availability
*Number of internal applications with customer service level agreements			TBD	<ul style="list-style-type: none"> IT systems availability
*Power usage effectiveness (PUE)			TBD	<ul style="list-style-type: none"> IT systems availability
*Carbon footprint			TBD	<ul style="list-style-type: none"> IT systems availability
*Percentage of standard (pre-approved/defined) changes			TBD	<ul style="list-style-type: none"> Unauthorized Network or Data Breaches
†Percent answered in less than 15 minutes	80%	80%	80%	<ul style="list-style-type: none"> N/A
†Percent of calls resolved on first attempt	80%	80%	80%	<ul style="list-style-type: none"> N/A
†Average number of complaints per month per 100 users	2	2	2	<ul style="list-style-type: none"> N/A
†Minutes of downtime per month	120 Max	120 Max	120 Max	<ul style="list-style-type: none"> IT systems availability
†Mainframe and servers will be available for use 99% of the time, excluding periods of scheduled maintenance	100%	100%	100%	<ul style="list-style-type: none"> IT systems availability
†Server uptime	99%	99%	99%	<ul style="list-style-type: none"> IT systems availability
†Infrastructure downtime	99% available	99% available	99% available	<ul style="list-style-type: none"> IT systems availability

Performance Goals				
OA /T/ I Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
1 Source: FY10 Exhibit 300 2 Source: PAR * New Metric, baseline in 2011 † Not recorded on EASR and will not be mapped to a milestone, duplicate of ITILOB metric				

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
Green IT: Green IT policies and procedures introduced	3/09	EASR	<ul style="list-style-type: none"> IT systems availability
Archive and Retrieval System for Email: System deployed	3/09	EASR	<ul style="list-style-type: none"> IT systems availability
Expanded Processes: Process Review & Formalization - 50% of Directors/Managers ITIL certified	3/09	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of tickets closed by in-house clerks Timeliness of root cause analysis of outages
Expanded Processes: HQ/Field Office incident management Integration completed	3/09	EASR	<ul style="list-style-type: none"> IT systems availability Timeliness of root cause analysis of outages
Remote DR Infrastructure: Short-term Solution - Business case analysis completed	3/09	EASR	<ul style="list-style-type: none"> IT systems availability
Federal Desktop Core Configuration: 100% compliant	6/09	EASR	<ul style="list-style-type: none"> Unauthorized network or data breaches Timeliness of backups
Expanded Processes: Change management implementation completed	6/09	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Timeliness of root cause analysis of outages
Remote DR Infrastructure: Short-term Solution - Technical architecture completed	6/09	EASR	<ul style="list-style-type: none"> IT systems availability
IPv6: Transition plan published	6/09	EASR	<ul style="list-style-type: none"> Unauthorized network or data breaches Percent of HQ SBA employees served by Telecom Percent of network infrastructure up to date
Green IT: Enterprise power management software deployed	9/09	EASR	<ul style="list-style-type: none"> IT systems availability

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
IPv6: Business case submitted	9/09	EASR	<ul style="list-style-type: none"> IT systems availability Percent of HQ SBA employees served by Telecom Percent of network infrastructure up to date
SOA: Business case submitted	9/09	EASR	<ul style="list-style-type: none"> N/A
EUSS: Review FY09 Contract Performance	9/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability
EUSS: Complete FY09 contract deliverables and perform close out operations	9/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability
EUSS: Approve FY09 Contract Performance	9/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability
Telecom: FY09 O&M activities and program review	9/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches
MSSS: Complete contract deliverables and perform close out operations	9/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Timeliness of backups Timeliness of root cause analysis of outages
DCMS Hosting: Equipment Lease	9/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Percent of network infrastructure up to date
DCMS Hosting: O&M Review & exercise option	9/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Timeliness of root cause analysis of outages
EUSS: Exercise Infrastructure Support Contract for FY10 option year	10/09	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Percent of tickets closed by in-house clerks
TIC: Compliant	12/09	EASR	<ul style="list-style-type: none"> Unauthorized network or data breaches Percent of network infrastructure up to date
HSPD-12: PIV Credentials - Windows logon with PIV complete	12/09	EASR	<ul style="list-style-type: none"> Unauthorized network or data breaches Percent of tickets closed by in house clerks
HSPD-12: Logical Access Infrastructure Deployment - 1st phase of integration with high impact systems complete	12/09	EASR	<ul style="list-style-type: none"> Unauthorized network or data breaches Percent of tickets closed by in-house clerks
Network Analysis & Modernization: Network Health - Network health assessment and process	12/09	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of network infrastructure up to date Percent of hardware updated annually

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
formalization for on-going network health assessment & transition complete			
Expanded Processes: Process Review & Formalization - 100% of Directors/Managers ITIL certified	12/09	EASR	<ul style="list-style-type: none"> IT systems availability Percent of tickets closed by in-house clerks Timeliness of root cause analysis of outages
Expanded Processes: Process Review & Formalization - 65% of ITIL processes adopted	12/09	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches
Expanded Processes: SLA/Performance Management - Quarterly review complete	12/09	EASR	<ul style="list-style-type: none"> Percentage of SLAs met Percentage of standard
Remote DR Infrastructure: Short-term Solution – Short term solution implemented	12/09	EASR	<ul style="list-style-type: none"> IT systems availability
SOA: Planning and vision complete	12/09	EASR	<ul style="list-style-type: none"> N/A
Expanded Processes: SLA/Performance Management - Quarterly review complete	3/10	EASR	<ul style="list-style-type: none"> IT systems availability
Network Analysis & Modernization: Network - Transition to Network complete	6/10	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of HQ SBA employees served by Telecom Percent of network infrastructure up to date
Network Analysis & Modernization: Next Generation Data Center - Business case analysis complete	6/10	EASR	<ul style="list-style-type: none"> N/A
Expanded Processes: SLA/Performance Management - Quarterly review complete	6/10	EASR	<ul style="list-style-type: none"> IT systems availability
Green IT: Server support technicians telework started	6/10	EASR	<ul style="list-style-type: none"> IT systems availability Percent of tickets closed by in-house clerks Timeliness of root cause analysis of outages
Expanded Processes: Process Review & Formalization - 100% of ITIL processes adopted	9/10	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of tickets closed by in-house clerks Timeliness of backups

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
			<ul style="list-style-type: none"> • Timeliness of root cause analysis of outages • Percent of HQ SBA employees served by Telecom • Percent of network infrastructure up to date • Percent of hardware updated annually
Expanded Processes: SLA/Performance Management - Quarterly review complete	9/10	EASR	<ul style="list-style-type: none"> • IT systems availability
Green IT: 25% of users are educated on IT computer greening efforts	9/10	EASR	<ul style="list-style-type: none"> • IT systems availability
EUSS: Review FY10 Contract Performance	9/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability
EUSS: Complete FY10 contract deliverables and perform close out operations	9/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability
EUSS: Approve FY10 Contract Performance	9/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability
Telecom: FY10 O&M activities and program review	9/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability • Unauthorized network or data breaches
MSSS: Complete contract deliverables and perform close out operations	9/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability • Timeliness of backups • Timeliness of root cause analysis of outages
DCMS Hosting: Equipment Lease	9/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability • Percent of network infrastructure up to date
DCMS Hosting: O&M Review & exercise option	9/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability • Unauthorized network or data breaches • Timeliness of root cause analysis of outages
EUSS: Exercise Infrastructure Support Contract for FY11 option year	10/10	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability • Percent of tickets closed by in-house clerks • Percentage of SLAs met
Network Analysis & Modernization: Network Health - Identified network health improvements/upgrades implemented	12/10	EASR	<ul style="list-style-type: none"> • IT systems availability • Unauthorized network or data breaches • Percent of hardware updated annually

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
Network Analysis & Modernization: Next Generation Data Center - Technical architecture complete	12/10	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Timeliness of backups Timeliness of root cause analysis of outages Percent of hardware updated annually
Expanded Processes: SLA/Performance Management - Quarterly review complete	12/10	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements Percentage of standard changes
Remote DR Infrastructure: Long-term Solution - Business impact and case analysis complete	12/10	EASR	<ul style="list-style-type: none"> IT systems availability
Network Analysis & Modernization: Next Generation Data Center - Transition planning complete	3/11	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of network infrastructure up to date Percent of hardware updated annually
Expanded Processes: SLA/Performance Management - Quarterly review complete	3/11	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements Percentage of standard changes
Remote DR Infrastructure: Long-term Solution - Technical architecture complete	3/11	EASR	<ul style="list-style-type: none"> IT systems availability Timeliness of backups Timeliness of root cause analysis of outages Percent of network infrastructure up to date Percent of hardware updated annually
IPv6: IPv6 circuit modernization plan complete	3/11	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of hardware updated annually
IPv6: IPv6 infrastructure implementation plan complete	3/11	EASR	<ul style="list-style-type: none"> Percent of hardware updated annually
IPv6: IPv6 security device implementation plan complete	3/11	EASR	<ul style="list-style-type: none"> Unauthorized network or data breaches Percent of hardware updated annually
Expanded Processes: SLA/Performance Management - Quarterly review complete	6/11	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements Percentage of standard changes

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
IPv6: Workstation and desktop application modernization planning complete	6/11	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of hardware updated annually Percentage of standard changes
SOA: Projects funded	6/11	EASR	<ul style="list-style-type: none"> N/A
Expanded Processes: SLA/Performance Management - Quarterly review complete	9/11	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements Percentage of standard changes
SOA: SOA governance, service lifecycle, and service catalog processes adopted and operational	9/11	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements
Green IT: 60% of users are educated on IT computer greening efforts	9/11	EASR	<ul style="list-style-type: none"> IT systems availability Power usage effectiveness (PUE) Carbon footprint
EUSS: Review FY11 Contract Performance	9/11	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met
EUSS: Complete FY11 contract deliverables and perform close out operations	9/11	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met
EUSS: Approve FY11 Contract Performance	9/11	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met
Telecom: FY11 O&M activities and program review	9/11	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches
MSSS: Complete contract deliverables and perform close out operations	9/11	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Timeliness of backups Timeliness of root cause analysis of outages Percentage of SLAs met
DCMS Hosting: Equipment Lease	9/11	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met
DCMS Hosting: O&M Review & exercise option	9/11	OA/T/I 300	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Timeliness of root cause analysis of outage Percentage of SLAs met
Expanded Processes: SLA/Performance Management - Quarterly review complete	12/11	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements Percentage of standard changes
IPv6: Projects funded	12/11	EASR	<ul style="list-style-type: none"> N/A

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
Expanded Processes: SLA/Performance Management - Quarterly review complete	3/12	EASR	<ul style="list-style-type: none"> • IT systems availability • Percentage of SLAs met • Number of internal applications with customer service level agreements • Percentage of standard changes
SOA: SOA development processes and roles adopted	3/12	EASR	<ul style="list-style-type: none"> • N/A
Network Analysis & Modernization: Next Generation Data Center - Transition to next generation data center complete	6/12	EASR	<ul style="list-style-type: none"> • IT systems availability • Unauthorized network or data breaches • Timeliness of backups • Timeliness of root cause analysis of outages
Expanded Processes: SLA/Performance Management - Quarterly review complete	6/12	EASR	<ul style="list-style-type: none"> • IT systems availability • Percentage of SLAs met • Number of internal applications with customer service level agreements • Percentage of standard changes
Expanded Processes: SLA/Performance Management - Quarterly review complete	9/12	EASR	<ul style="list-style-type: none"> • IT systems availability • Percentage of SLAs met • Number of internal applications with customer service level agreements • Percentage of standard changes
Remote DR Infrastructure: Long-term Solution - Long-term solution implemented	9/12	EASR	<ul style="list-style-type: none"> • IT systems availability • Unauthorized network or data breaches • Timeliness of backups • Timeliness of root cause analysis of outages
IPv6: Enterprise dual stack equipment implemented	9/12	EASR	<ul style="list-style-type: none"> • Unauthorized network or data breaches • Percent of hardware updated annually
SOA: Identification and decomposition of common infrastructure services along with standards completed and updated in the service catalog/portfolio	9/12	EASR	<ul style="list-style-type: none"> • Percentage of SLAs met
Green IT: Number of physical servers is reduced	9/12	EASR	<ul style="list-style-type: none"> • Carbon footprint • Power usage effectiveness (PUE)
Green IT: 100% of users are educated on IT computer greening efforts	9/12	EASR	<ul style="list-style-type: none"> • Carbon footprint • Power usage effectiveness (PUE)
Telecom: FY12 O&M activities and program review	9/12	OA/T/I 300	<ul style="list-style-type: none"> • IT systems availability • Unauthorized network or data breaches • Percentage of SLAS met

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported¹
MSSS: Complete contract deliverables and perform close out operations	9/12	OAT/I 300	<ul style="list-style-type: none"> • IT systems availability • Timeliness of backups • Timeliness of root cause analysis of outages • Percentage of SLAS met
DCMS Hosting: O&M Review & exercise option	9/12	OAT/I 300	<ul style="list-style-type: none"> • IT systems availability • Unauthorized network or data breaches • Timeliness of root cause analysis of outages • Percentage of SLAs met
Expanded Processes: SLA/Performance Management - Quarterly review complete	12/12	EASR	<ul style="list-style-type: none"> • IT systems availability • Percentage of SLAs met • Number of internal applications with customer service level agreements • Percentage of standard changes
HSPD-12: Logical Access Infrastructure Deployment - Complete	12/12	EASR	<ul style="list-style-type: none"> • Unauthorized network or data breaches • Percentage of tickets closed by in-house clerks • Percentage of standard changes
IPv6: IPv6 circuit modernization complete	12/12	EASR	<ul style="list-style-type: none"> • Unauthorized network or data breaches • Percent of hardware updated annually
IPv6: IPv6 infrastructure implemented	12/12	EASR	<ul style="list-style-type: none"> • Unauthorized network or data breaches • Percent of hardware updated annually
IPv6: IPv6 security devices implemented	12/12	EASR	<ul style="list-style-type: none"> • Unauthorized network or data breaches • Percent of hardware updated annually
Expanded Processes: SLA/Performance Management - Quarterly review complete	3/13	EASR	<ul style="list-style-type: none"> • IT systems availability • Percentage of SLAs met • Number of internal applications with customer service level agreements • Percentage of standard changes
SOA: Analysis of business processes and services complete and updated in the service catalog/portfolio	3/13	EASR	<ul style="list-style-type: none"> • Percentage of SLAS met
SOA: Technical and reference architecture for the foundational SOA platform completed	3/13	EASR	<ul style="list-style-type: none"> • IT systems availability • Percentage of SLAS met

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/Strategic Outcome Supported ¹
Expanded Processes: SLA/Performance Management - Quarterly review complete	6/13	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements Percentage of standard changes
IPv6: Server and desktop application modernization complete	6/13	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of hardware updated annually
IPv6: ODA enterprise dual stack equipment implemented	9/13	EASR	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percent of hardware updated annually
Expanded Processes: SLA/Performance Management - Compliance achieved	9/13	EASR	<ul style="list-style-type: none"> IT systems availability Percentage of SLAs met Number of internal applications with customer service level agreements Percentage of standard changes
Telecom: FY13 O&M activities and program review	9/13	OAT/I 300	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Percentage of SLAs met
DCMS Hosting: O&M Review & exercise option	9/13	OAT/I 300	<ul style="list-style-type: none"> IT systems availability Unauthorized network or data breaches Timeliness of root cause analysis of outages Percentage of SLAs met
1 Source: FY10 Exhibit 300/PAR			

3.1.5. Procurement and Grants Management

The segment architecture for this segment was completed in September 2008.

Scope

PGM is primarily responsible for the Procurement and Grants management segment. This segment initiates grants via the e-Gov mandated Grants.Gov system. The back-end steps of reviewing, underwriting, and disbursing different types of grants are left to each agency to determine best practice. Implementation is already underway for a Contract Management System (CMS) to handle procurement and grants management to support PGM's processes and to improve process transparency to program offices. PGM is also evaluating the shared services, such as the Center of Excellence (COE) operated by the Department of Health and Human Services (HHS) and other service centers, to support the procurement and grants invoicing.

This segment currently includes one major investment:

- Contract Management System (CMS)

Vision

The immediate goal for the CMS implementation is a single system to support both the procurement and grants management process. The follow-up enhancements to CMS may include the implementation of invoicing systems, the integration between CMS and invoicing systems, and the integration with financial systems. After a data strategy and enterprise services such as business intelligence are implemented, other initiatives such as strategic procurement, self-service portal, and the integration with ACMIS could be implemented to provide better service quality with lower operational and maintenance costs.

Drivers

PGM serves internal customers as the main acquisition channel for goods and services. Additionally, PGM makes sure grant moneys are disbursed. Improvements to these functions are driven by:

- Improving customer service
- Reducing interest payments by SBA
- Increasing efficiency in payment processing, particularly for contracts under \$100,000

Segment Performance

PGM performance goals are business improvements expected from transition efforts. The list below offers a sample of expected business results from these initiatives:

- Reduce processing time per procurement or grant action
- Reduce average age of unobligated requisitions
- Reduce time between receiving invoices and sending out for payment processing
- Increase percentage of awards to small business (woman owned, 8(a), HUBZone, service disabled veteran owned)
- Increase percent of contracts and purchase orders awarded competitively

Funding Strategy

PGM has its own line item in the SBA budget and will develop business cases as necessary to support projects

Investments, Initiatives, and Milestones

The CMS project is PGM's only major investment and no non-major investment request were made for FY10. The segment architecture also generated several projects:

- ACMIS integration
- Invoicing
- Enterprise-wide access to CMS
- CMS self service portal
- Strategic procurement

Table 10: CMS Investment Detail

Initiative:	Procurement and Grants Management
Investments	<ul style="list-style-type: none"> Contract Management System (CMS) (Exhibit 300)
Cross Agency Initiatives	<ul style="list-style-type: none"> Interfaces with Integrated Acquisition Environment (IAE) (FTF catalog). Must comply with Federal Funds Accountability and Transparency Act (FFATA) compliance. Grants.gov and Grants Management LOB (FTF catalog)
Dependencies	None
Owning Programs	<ul style="list-style-type: none"> Procurement Management Grants Management
Architecture	<p>See <i>PGM Segment Architecture, September 2008</i> and EASR submission for more details.</p> <ul style="list-style-type: none"> Business Architecture: currently, procurement involves a combination of manual processing and standard government forms, and tracking is done via manual data entry. CMS will support managing the award and modification of all types of contract vehicles; additionally, the system will provide for receiving, inspection, acceptance, invoicing, closeout and archiving of contracts and purchase orders. The system will also support the grants management process Service Component Architecture: PRISM system to come online and provide support for acquisition and grants management Data Architecture: Procurement and Grants data to be stored in Oracle relational database

Performance Goals				
Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
Purchase order Procurement Administrative Lead Time (PALT)	40 days	35 days	TBD	• N/A
Number of processing errors	0	0	TBD	• N/A
Ratio of contracts and POs processed per FTE	16 person/month	20 person/month	TBD	• N/A
% of contracts and POs managed through CMS	80%	95%	TBD	• N/A

Performance Goals				
Investment Metric¹	FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
1 Source: FY10 Exhibit 300 2 Source: PAR				
Implementation Plan/Milestones				
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported¹	
FY2009 O&M	9/09	CMS 300	<ul style="list-style-type: none"> • Purchase order Procurement Administrative Lead Time (PALT) • Number of processing errors • Ratio of contracts and POs processed per FTE • % of contracts and POs managed though CMS 	
Interfaces with JAAMS completed	10/09	EASR	<ul style="list-style-type: none"> • Ratio of contracts and POs processed per FTE 	
HHS COE shared service invoicing system for Office of Women-Owned Businesses completed	10/09	EASR	<ul style="list-style-type: none"> • Ratio of contracts and POs processed per FTE 	
Pilot procurement invoicing process completed	10/09	EASR	<ul style="list-style-type: none"> • Ratio of contracts and POs processed per FTE • Average time between receiving invoices and sending out for payment processing 	
FY2010 O&M	9/10	CMS 300	<ul style="list-style-type: none"> • Purchase order Procurement Administrative Lead Time (PALT) • Number of processing errors • Ratio of contracts and POs processed per FTE • % of contracts and POs managed though CMS 	

Performance Goals					
Investment Metric¹		FY2009 Target	FY2010 Target	FY2011 Target	Strategic Outcome Supported²
FY2011 O&M	9/11	CMS 300			<ul style="list-style-type: none"> • Purchase order Procurement Administrative Lead Time (PALT) • Number of processing errors • Ratio of contracts and POs processed per FTE • % of contracts and POs managed through CMS
Integration between LMS and ACMIS for procurement personnel training and certificate completed	6/13	EASR			<ul style="list-style-type: none"> • Ratio of contracts and POs processed per FTE • Percentage of contracting staff that are certified
Program office visibility for query/status completed	TBD	EASR			<ul style="list-style-type: none"> • Ratio of contracts and POs processed per FTE

1 Source: FY10 Exhibit 300/PAR

3.2. Planned Segments

3.2.1. Disaster Assistance Segment

ODA’s segment architecture has not been initiated, but modernization efforts have already begun.

Scope

ODA is the primary provider of low interest, long-term loans to renters, homeowners, non-profit organizations, and businesses of all sizes to rebuild after a disaster. ODA classifies loans into physical damage (home and business) or economic injury (business only). ODA uses the Disaster Credit Management System (DCMS) to manage loans.

ODA has one major investment

- Disaster Credit Management Modernization (DCMM)

And one non-major investment

- Disaster 21st Century Loan Processing Solutions

Vision

ODA’s segment architecture is planned, but the technology vision is well-established by funding requests and strategic plans. The program’s performance is vital in achieving SBA’s strategic goal of helping businesses and families recover from disasters and transforming the SBA into a 21st Century leading edge financial Institution.

Drivers

- Unpredictability of disaster situation – responding in disaster areas requires a robust, flexible system, and ODA must constantly update its technology to be as responsive as possible.
- Alignment with SBA technology strategy – after several years of pursuing a more program-oriented technology strategy, ODA is using EA to collaborate more with the OCIO.
- Increased scrutiny on Federal disaster response – Federal disaster response is being closely monitored by the media and Congress, making efficient and effective operations crucial.
- Alignment with ITILOB benchmarks

Segment Performance

ODA directly supports the Agency’s second strategic goal, shown in Table 1 and strategic outcomes including the percentage of:

- Small businesses still in operation after suffering economic injury after a disaster
- Small businesses restored after sustaining physical damage (after the final disaster disbursement)
- Restored homeowners and renters (after the final disaster disbursement)
- Customer service rating

Funding Strategy

ODA has its own line item in the SBA budget and will develop business cases as necessary to support projects.

Investments, Initiatives, and Milestones

This is a planned segment and as such, defined transition projects have not yet been identified. Upon completion of the Disaster Assistance segment, more initiatives with greater architectural detail will become available.

Table 11: DCMM Investment Detail

Initiative:	Disaster Credit Management Modernization (DCMM)
Investments	DCMM (Exhibit 300)

Initiative:	Disaster Credit Management Modernization (DCMM)
Cross Agency Initiatives	Disaster Agency Improvement Plan (DAIP) (E-Gov)
Dependencies	None
Owning Programs	Disaster Assistance
Architecture	The DCMM architecture is to be determined once a segment architecture and blueprint are completed.

Performance Goals				
Investment Metric¹	FY2009	FY2010	FY2011	Strategic Outcome Supported²
ASCI Survey	72%	72%	72%	<ul style="list-style-type: none"> • Customer satisfaction rate
ELA system availability	99.5%	99.5%	99.5%	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)

1 Source: FY10 Exhibit 300
2 Source: PAR

Note: Planning for the Disaster Assistance segment is still ongoing and thus, milestones may change during the planning phase.

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported ¹
DCMM Operations and Maintenance Review	9/09	DCMM 300	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)
DCMM Operations and Maintenance Review	9/10	DCMM 300	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)
DCMM Operations and Maintenance Review	9/11	DCMM 300	<ul style="list-style-type: none"> • SB sustaining economic injury that remain operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)
DCMM Operations and Maintenance Review	9/12	DCMM 300	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported ¹
			(%)
DCMM Operations and Maintenance Review	9/13	DCMM 300	<ul style="list-style-type: none"> • Renters restored within 6 months after final disbursement (%) • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)
Online integration with DAIP	Ongoing	2008 EATP	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)
Potential enhancements resulting from ADRI and 21CDLPS	Ongoing	2008 EATP	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)
Transfer from LAS interface to LMAS interface	Ongoing	2008 EATP	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported ¹
1 FY10 Exhibit 300/PAR			(%) <ul style="list-style-type: none"> • Renters restored within 6 months after final disbursement (%)

Table 12: 21st Century Loan Processing Solutions Investment Detail

Initiative:	Disaster Credit Management Modernization (DCMM)
Investments	Disaster 21st Century Loan Processing Solutions (Exhibit 53)
Cross Agency Initiatives	DAIP
Dependencies	None
Architecture	The 21st Century Solutions architecture is to be determined once a segment architecture and blueprint are completed.
Performance	The 21st Century Solutions performance metrics will to be determined once a segment architecture and blueprint are completed.
Milestones	<ul style="list-style-type: none"> • Planning and procurement <ul style="list-style-type: none"> – Ongoing • Enhancements (also reported in the DCMM 300) <ul style="list-style-type: none"> – Ongoing

3.2.2. Financial Management Segment

Financial management is a planned business segment closely tied to the mission-oriented Financial Assistance segment.

Scope

The Financial Management Segment, housed in the Office of the Chief Financial Officer, manages the disbursements of loans and grants as well as SBA’s payroll and other payments. The Joint Administrative Accounting Management System (JAAMS) system is used to manage transactions, with input from several systems.

The CFO requested two major investments for FY10:

- JAAMS
- Loan Management and Accounting System (LMAS)

And two non-major investments

- Denver Finance Center System (DFCS)
- Financial Reporting Information System (FRIS)

Vision

The OCFO seeks to use technology to improve the delivery of SBA's mission-critical loans, and improve stewardship of taxpayer dollars. The automation of many financial reporting functions and the integration with the Financial Assistance segment will allow SBA to manage its credit portfolio.

Drivers

- Improved oversight needs, including financial reporting
- Increasing the speed of delivery for SBA's disbursements

Segment Performance

This segment supports the following strategic outcomes:

- Unqualified Opinions for Audit Year
- Number of Material Weaknesses

Funding Strategy

OCFO has its own line item in the SBA budget and will develop business cases as necessary to support projects

Investments, Initiatives, and Milestones

In the target state, the Financial Management segment will be closely linked to LMAS, which will cross both the Financial Assistance and Financial Management segments. LMAS loan origination is within Financial Assistance, with loan servicing and liquidation within Financial Management. Upon completion of the Financial Management segment architecture, more initiatives with greater architectural detail will become available.

Table 13: LMAS Investment Detail

Initiative:	Loan Management and Accounting System
Investments	LMAS (Exhibit 300) – new system
Cross-Agency Initiatives	Financial Management Line of Business
Dependencies	Financial Management Line of Business JAAMS IT Infrastructure
Owning Programs	OCA/OCFO/ODA
Architecture	The LMAS architecture is to be determined once a segment architecture and blueprint are completed.

Performance Goals				
Investment Metric¹	FY2011	FY2012	FY2013	Strategic Outcome Supported²
Percentage of 7(a) lenders that can originate and service loans electronically	25%	50%	75%	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
Percentage of 504 lenders that can originate and service loans electronically	25%	50%	N/A	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
Number of loan programs that are JFMIP compliant (missing FY2012 target in the 300)	1	N/A	3	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
Average servicing time for real-time servicing actions	3 hours	2.5 hours	2 hours	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
Number of loan programs that are completely off the legacy mainframe	1	2	3	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted

Performance Goals				
Investment Metric¹	FY2011	FY2012	FY2013	Strategic Outcome Supported²
Number of loan programs supported by OLTP applications that are fully compliant with Federal security and privacy requirements (missing FY2012 target in the 300)	1	N/A	3	<ul style="list-style-type: none"> • Jobs created/retained • Small businesses assisted
Increase revenue by reducing non-collected fees and collecting fees faster (starts in FY2012)	N/A	\$160K	\$160K	<ul style="list-style-type: none"> • Jobs created/retained • Small businesses assisted
Cost savings through reduced cycle time, reduced error suspense, reduced need for data reconciliations, increased accuracy, and reduced overall loan processing costs (starts in FY2013)	N/A	N/A	\$8.15M	<ul style="list-style-type: none"> • Jobs created/retained • Small businesses assisted
System cost savings by migrating off the legacy mainframe (starts in FY2013)	N/A	N/A	\$3.54M	<ul style="list-style-type: none"> • Jobs created/retained • Small businesses assisted
<p>Note: LMAS will not be operational for several years, so metrics will not be collected until FY2011.</p> <p>1 Source: FY10 Exhibit 300 2 Source: PAR</p>				

Note: Planning is still ongoing for the Financial Assistance segment as it is at notional maturity and thus, milestones may change during the planning phase.

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported¹
Prototype	4/09	300	• N/A
Integrated baseline review	5/09	300	• N/A
Blueprint	5/09	300	• N/A
Complete prep for hosting	9/09	300	• N/A

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported ¹
Planning	2/10	300	<ul style="list-style-type: none"> N/A
Acquire Phase I	10/10	300	<ul style="list-style-type: none"> N/A
Acquire Phase II	12/11	300	<ul style="list-style-type: none"> Percentage of 7(a) lenders that can originate and service loans electronically Number of loan programs that are JFMIP compliant Number of loan programs that are completely off the legacy mainframe
Acquire Phase III	3/12	300	<ul style="list-style-type: none"> Percentage of 7(a) lenders that can originate and service loans electronically
Acquire Phase IV	2/13	300	<ul style="list-style-type: none"> Percentage of 7(a) lenders that can originate and service loans electronically
Acquire Phase V	9/13	300	<ul style="list-style-type: none"> Percentage of 7(a) lenders that can originate and service loans electronically Cost savings through reduced cycle time, reduced error suspense, reduced need for data reconciliations, increased accuracy, and reduced overall loan processing costs Number of loan programs that are JFMIP compliant Number of loan programs that are completely off the legacy mainframe
Acquire Phase VI	9/13	300	<ul style="list-style-type: none"> Percentage of 7(a) lenders that can originate and service loans electronically Cost savings through reduced cycle time, reduced error suspense, reduced need for data reconciliations, increased accuracy, and reduced overall loan processing costs
Project Closure	11/13	300	

Implementation Plan/Milestones			
Milestone	Date	Source	Investment Metric/ Strategic Outcome Supported ¹
Note: The milestone of retiring LAS by 9/12 is not listed in the 300, but was mentioned in a meeting with the Financial Assistance Program Manager.			
1 Source: FY10 Exhibit 300/PAR			

Table 14: JAAMS Investment Detail

Initiative:	Joint Administrative Accounting Management System
Description	JAAMS is SBA’s administration accounting system based on Oracle Financials. It is the system of record for the funding and expenditure of SBA's administrative funds. It is currently in operations and maintenance mode, but will eventually be integrated with LMAS. Steady state
Investments	Joint Administrative Accounting and Management System (JAAMS) (Exhibit 300)
Cross Agency Initiatives	Financial Management Line of Business (FTF Catalog)
Architecture	<p>JAAMS is primarily in operations and maintenance mode, without significant architectural changes required in the near future.</p> <ul style="list-style-type: none"> • Service Architecture: as LMAS is implemented, JAAMS and LMAS will be consolidated and will share many services and service components, including reporting. • Data Architecture: as LMAS is implemented, data across JAAMS and LMAS will be standardized. • Technical Architecture: hosting will be transferred to a new shared service provider. LAS, DFCS and FRIS will be retired with the implementation of LMAS.
Dependencies	Loan Management and Accounting System
Implementation Plan/ Milestones	<ul style="list-style-type: none"> • FY2009: transfer hosting of JAAMS to a shared service provider • FY2012: DFCS and FRIS retired and replaced by LMAS • FY2014: the financial management system will be fully consolidated with the loan management system and all reporting will be able to come from Oracle Financials.
Sponsor	Office of the Chief Financial Officer

Performance Goals				
Investment Metric¹	FY2009	FY2010	FY2011	Investment Metric/ Strategic Outcome Supported¹
Number of material weaknesses	0	0	N/A	<ul style="list-style-type: none"> Number of material weaknesses
% of time help desk tickets are resolved within Service Level Agreement timeframes	92%	91%	N/A	
% of daily interface jobs that process successfully	99.5%	99.5%	N/A	<ul style="list-style-type: none"> Number of material weaknesses
System availability	99.5%	99.5%	N/A	<ul style="list-style-type: none"> Number of material weaknesses

¹ Source: FY10 Exhibit 300/PAR

Table 15: DFCS Investment Detail

Initiative:	Denver Finance Center System (DFCS)
Description	DFCS supports SBA's collection and disbursement functions
Investments	O&M only
Cross-Agency Initiatives	None
Architecture	<p>DFCS, in operations and maintenance mode, has no significant architectural changes required in the near future.</p> <ul style="list-style-type: none"> Service, data and technical architecture: as LMAS is implemented, all architecture DFCS layers will be included in LMAS
Performance	DFCS is in steady state and has no performance improvements or new targets planned.
Dependencies	None
Milestones	DFCS is in steady state O&M. It will be retired in 2013.

Table 16: FRIS Investment Detail

Initiative:	Financial Reporting Information System (FRIS)
Description	FRIS supports SBA general ledger and financial reporting functions. It also creates the financial statements, the SF 224 and supports the reconciliation of the Agency’s fund balance with Treasury accounts.
Investments	O&M only
Cross-Agency Initiatives	None
Architecture	FRIS has only O&M spending and will have no significant architectural changes required in the near future. <ul style="list-style-type: none"> • Service, data and technical architecture: as LMAS is implemented, all architecture FRIS layers will be included in LMAS
Performance	FRIS is in steady state and has no performance improvements or new targets planned.
Dependencies	None
Milestones	FRIS is in steady state O&M. It will be retired in 2013.

3.3. Notional Segments

3.3.1. Financial Assistance Segment

The Financial Assistance segment is still notional, but modernization efforts are already underway, focused primarily on the Loan Modernization Program.

Scope

This segment is primarily owned by the Office of Capital Access with some overlap by the Office of the Chief Financial Officer. It includes the Section 504 Certified Development Company Guaranteed Loan Program, the Section 7(a) Guaranteed Loan Program, Microloan Program, Surety Bond Guaranty Program, and International Loans.

It includes one major investment:

- Loan Accounting System (LAS)

And two non-major investments:

- Loan/Lender Monitoring Systems (L/LMS) – steady state
- Surety Bond Guaranty Web Application- steady state

Vision

Though this segment architecture has not been completed, it is known that the vision for this segment is to be Financial Systems Integration Office (FSIO) and Financial Management Line of Business (FMLOB) compliant, with integrated information systems across financial assistance and financial management functions. The goal is flexible, integrated, and security compliant systems, and the retirement of legacy systems.

The planned Loan Management and Accounting System (LMAS) will support loan origination, servicing, and liquidation and complies with the FMLOB. The system will also eventually integrate with the administrative accounting system for the agency, replacing the existing financial management systems including LAS, DFCS, and FRIS.

Drivers

- Compliance with FSIO and FMLOB requirements
- Market conditions that restrict unguaranteed credit
- Customer pressure for more robust processing

Segment Performance

This segment supports the following strategic outcomes:

- Jobs created/retained
- Small businesses assisted

Funding Strategy

OCFO and OCA have their own line item in the SBA budget and will develop business cases as necessary to support projects.

Investments, Initiatives, and Milestones

In the target state, the Financial Assistance segment will be closely linked to the Financial Management segment and LMAS, which will cross both the Financial Assistance and Financial Management segments. LMAS loan origination is within Financial Assistance, with loan servicing and liquidation within Financial Management. Upon completion of the Financial Assistance segment architecture, more initiatives with greater architectural detail will become available.

Table 17: LAS Investment Detail

Initiative:	Loan Accounting System (LAS)
Description	SBA’s legacy system used to manage SBA’s portfolio of loans. It serves as the principle data processing and collection tool for SBA loan servicing. It is in Steady State, and is scheduled to be phased out as LMAS is phased in. Steady state

Initiative:	Loan Accounting System (LAS)
Investments	Loan Accounting System (LAS) (Exhibit 300)
Cross Agency Initiatives	None
Architecture	<p>LAS does not comply with FSIO’s Core Financial, Direct Loan, and Guaranteed Loan System Requirements. In addition, it is not compliant with federal security requirements. LMAS will address those gaps.</p> <ul style="list-style-type: none"> • Service Architecture: LAS currently services loans, but does not share services. As LMAS is implemented and LAS retired, shared services will expand • Data Architecture: Data will be standardized as LMAS is implemented • Technical Architecture: LMAS will subsume LAS
Performance	LAS is in steady state and has no performance improvements or new targets planned.
Milestones	LAS is in steady state O&M and will be retired in 2012.

3.3.2. Management & Technical Assistance Segment

The M&TA segment is notional at this time.

Scope

Management and technical assistance is provided primarily by programs within the Office of Entrepreneurial Development (OED). It includes several programs, including Small Business Development Centers, Service Corps of Retired Executives, and Women’s Business Development Centers. The mission of this segment is to help small businesses start, grow, and compete in global markets by providing quality training, counseling, and access to resources.

Vision

The target state vision for this segment has not yet been defined.

Drivers

The change drivers for this segment have not yet been defined.

Segment Performance

This segment supports the following strategic outcomes:

- Small businesses created
- Capital infusion

- Jobs created/retained

It does not have any identified high priority performance gaps at this time, so it is a lower priority segment.

Funding Strategy

M&TA has its own line item in the SBA budget and will develop business cases as necessary to support projects

Investments, Initiatives, and Milestones

This is still a notional segment and, as such, defined transition projects have not yet been identified. No development, modernization and enhancement (DME) spending is planned for FY10 in this segment and it has no major investments. It has two non-major investments, which are primarily in steady state.

Table 18: SBTN/CAMS Investment Detail

Initiative:	Small Business Training Network/Client Assessment Management System (SBTN/CAMS)
Description	SBTN/CAMS provides quality and targeted online training to meet the information needs of prospective and existing small business owners. It also captures client registrations and course completion, and provides assessment tools to allow clients to better target the courses they need.
Investments	O&M only
Cross-Agency Initiatives	None
Architecture	SBTN/CAMS has only O&M spending and will have no significant architectural changes within the time described in this Plan. <ul style="list-style-type: none"> • Service, data and technical architecture will be described when the segment analysis is completed
Performance	SBTN/CAMS is in steady state and has no performance improvements or new targets planned.
Dependencies	None
Milestones	SBTN/CAMS is in steady state O&M.

Table 19: EDMIS II Investment Detail

Initiative:	Entrepreneurial Development Management Information System II (EDMIS II)
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Initiative:	Entrepreneurial Development Management Information System II (EDMIS II)
Description	EDMIS II collects performance and impact data from the OED program offices, resource partners, and district offices. It enables SBA to respond to Agency, Congressional, OMB, GAO requests for data and ad hoc reports on OED clients, performance and impact.
Investments	O&M only
Cross-Agency Initiatives	None
Architecture	EDMIS II has only O&M spending and will have no significant architectural changes within the time described in this Plan. <ul style="list-style-type: none"> • Service, data and technical architecture will be described when the segment analysis is completed
Performance	EDMIS II is in steady state and has no performance improvements or new targets planned.
Dependencies	None
Milestones	EDMIS II is in steady state O&M.

3.3.3. Information Sharing Segment

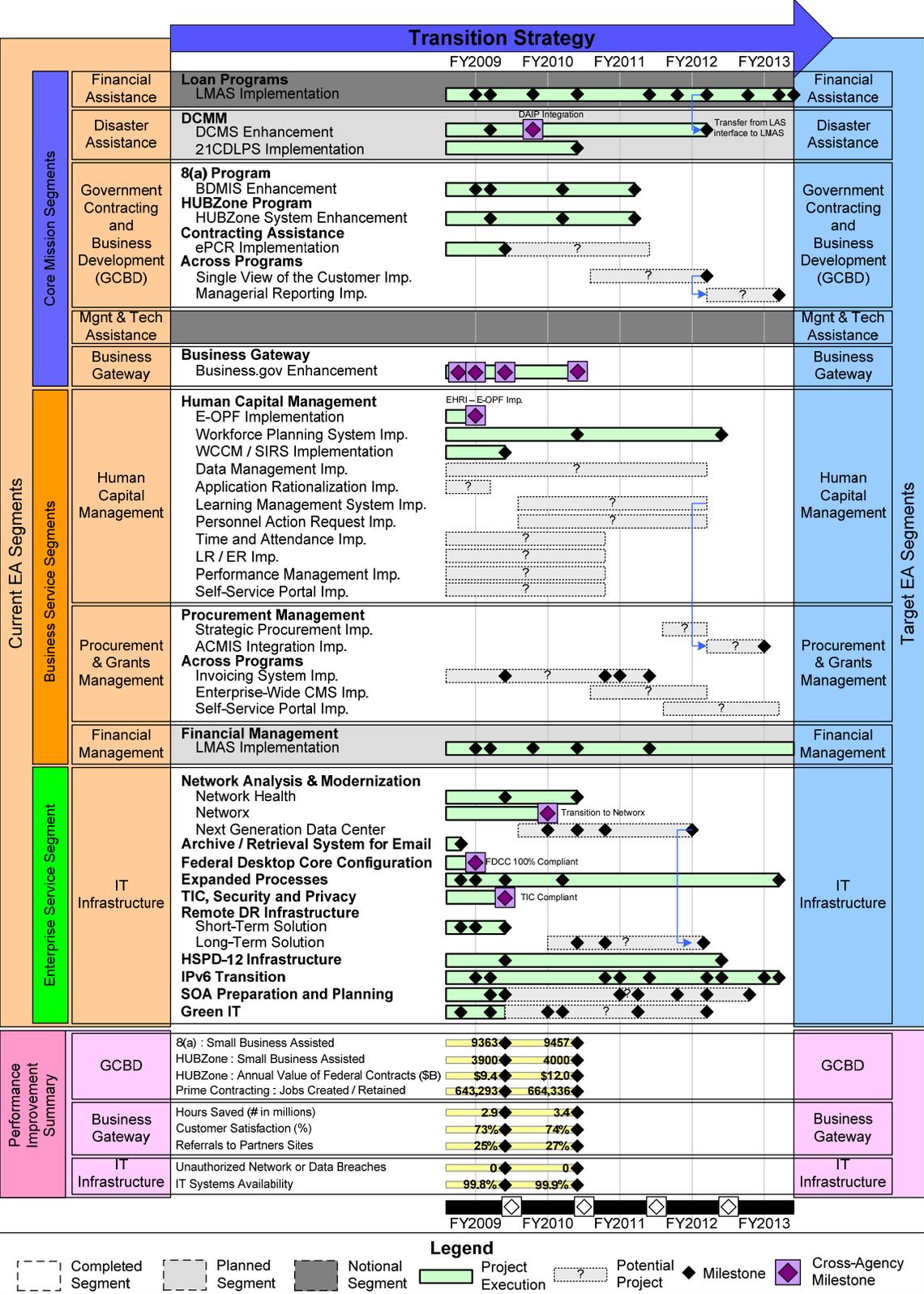
The potential for an Information Sharing segment, owned by the OCIO, remains in the discussion stage. The target state envisions a data strategy available to approved stakeholders throughout the Agency.

4. Enterprise Sequencing Plan

The EATP is a business-driven plan that provides a set of practical investments and transition activities to guide SBA modernization and is supplemented by detailed segment architectures.

Transitional projects are shown in Figure 2, the sequencing diagram below. Investments that have no DME spending are not included, as they are by definition, not transitional. The diagram below provides a high-level view of all transition activities addressed in this EATP as well as a summarized view of the near-term progress towards meeting strategic outcomes aligned to complete, priority segments. Specific details of the implementation milestones are included in the segment descriptions in Section 3.

Figure 2: Enterprise Architecture Sequencing Plan



5. Cross Agency Initiative Integration Summary

Table 20 below references cross agency initiatives and milestones from the E-Gov master list that is currently being tracked by SBA. Please note that the milestones in Table 20 were taken from a point in time and may not be consistent with milestones presented in Section 3 of this document, but are shown here as reference.

Table 20: Cross Agency Initiative Integration Summary

Cross Agency Initiative	Segment	Initiative	Cross Agency Milestones
Business Gateway	Business Gateway	Business Gateway enhancements	<ul style="list-style-type: none"> • Ongoing: Program Management Support • Ongoing: Marketing/Outreach Support • Ongoing: Development Support • Ongoing: Product Management Support • Ongoing: Customer Satisfaction Survey • 6/09: New Content Areas • 12/09: Content Development • 6/09: Social Collaboration • 12/09: Social Network • 12/10: Community Facilitation • 3/09: Site Redesign • 5/09: Customer Service
Disaster Assistance Improvement Plan	Disaster Assistance	Disaster Credit Management Modernization	<ul style="list-style-type: none"> • Ongoing
Enterprise Human Resources Integration/ HR Line of Business	Human Capital Management	Enterprise Human Resources Integration	<ul style="list-style-type: none"> • 6/09: e-OPF Implementation • 9/10: WPS Implementation
E-Training	Human Capital Management	Learning Management System	<ul style="list-style-type: none"> • Monthly report of EHRI training data
Financial Management Line of Business	Financial Assistance/Financial Management	Loan Management & Accounting System	<ul style="list-style-type: none"> • Ongoing

Cross Agency Initiative	Segment	Initiative	Cross Agency Milestones
Grants Management Line of Business	Procurement & Grants Management	Grants Management	<ul style="list-style-type: none"> • Ongoing
Grants.Gov	Procurement & Grants Management	Grants Management	<ul style="list-style-type: none"> • Ongoing
HSPD-12	IT Infrastructure	HSPD-12	<ul style="list-style-type: none"> • 12/1/09: PIV Credentials - Windows logon with PIV complete • 9/30/2009: Complete full inventory of PACS: • 9/30/2009: Full inventory of physical access controls systems, including readers • 9/30/2009: Access points at remaining SBA facilities identified • 12/31/09: Logical Access Infrastructure Deployment - 1st phase of integration with high impact systems complete • 12/31/2009: Provide requirements for GSA PBS plan • 12/31/2009: Windows logon with PIV credential: • 12/31/2009: 1st phase of PIV PACS integration of Level 4 facilities: • 12/31/2012: SBA PACS & LACS complete integration • 12/1/12: HSPD-12: Logical Access Infrastructure Deployment • 12/31/2012: PIV credentials access to Level IV facilities • 12/31/2012: Identify all high, medium and low impact systems (based on FIPS 199 and SP 800-63) which will require access using the electronic capabilities of the PIV credentials
Information Systems Security Line of Business	IT Infrastructure [TBD Information Sharing]	Build E-Government and E-Commerce Security and Privacy Methodology	<ul style="list-style-type: none"> • Ongoing
Integrated	Government	Contract	<ul style="list-style-type: none"> • Ongoing

Cross Agency Initiative	Segment	Initiative	Cross Agency Milestones
Acquisition Environment (IAE)	Contracting and Business Development Procurement	Management System ePCR	
Information Technology Infrastructure Line of Business	IT Infrastructure	Enterprise Network Management and Desktop, Networkx	<ul style="list-style-type: none"> 6/9/09: Federal Desktop Core 12/9/09: Configuration: 100% compliant 6/1/10: Networkx - Transition to Networkx complete 9/3/09: SmartBuy: DCMS Hosting Equipment 12/9/09: SmartBuy: Remote DR Infrastructure: short-term solution implemented 3/1/11: SmartBuy: Remote DR Infrastructure: long-term solution implemented
IPv6			<ul style="list-style-type: none"> 9/9/09: Business case submitted 3/1/11: IPv6 circuit modernization plan complete 3/1/11: IPv6 infrastructure implementation plan complete 3/1/11: IPv6 security device implementation plan complete 6/1/11: Expanded Processes: SLA/Performance Management - Quarterly review complete 6/1/11: Workstation and desktop application modernization planning complete 12/1/11: Projects funded 9/1/12: Enterprise dual stack equipment implemented 12/1/12: IPv6 circuit modernization complete 12/1/12: IPv6 infrastructure implemented 12/1/12: IPv6 security devices implemented 6/1/13: Server and desktop application modernization complete 9/1/13: ODA enterprise dual stack equipment implemented
Hosting			<ul style="list-style-type: none"> Ongoing

6. Performance Improvement Summary

The EA transition initiatives will help the SBA achieve its mission by supporting the achievement of its intended performance targets. Table 21 shows the relationship between specific investments, performance indicators from an Exhibit 300 or 53, and the outcomes supported by each investment.

Table 21: Performance Improvement Summary

Investment	Performance Indicators	Strategic Outcomes
Loan Management and Accounting System	Percentage of 7(a) lenders that can originate and service loans electronically	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	Percentage of 504 lenders that can originate and service loans electronically	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	Number of loan programs that are JFMIP compliant	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	Average servicing time for real-time servicing actions	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	Number of loan programs that are completely off the legacy mainframe	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	Number of loan programs supported by OLTP applications that are fully compliant with Federal security and privacy requirements	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	Increase revenue by reducing non-collected fees and collecting fees faster	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	Cost savings through reduced cycle time, reduced error suspense, reduced need for data reconciliations, increased accuracy, and reduced overall loan processing costs	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted
	System cost savings by migrating off the legacy mainframe	<ul style="list-style-type: none"> Jobs created/retained Small businesses assisted

Investment	Performance Indicators	Strategic Outcomes
Disaster Credit Management Modernization	American Customer Satisfaction Index Score	<ul style="list-style-type: none"> • Customer satisfaction rate
	ELA system availability	<ul style="list-style-type: none"> • SB sustaining economic injury that remains operational 6 months after final disbursement (%) • SB sustaining physical damage restored within 6 months after final disbursement (%) • Homeowners restoring their homes within 6 months of final disbursement (%) • Renters restored within 6 months after final disbursement (%)
Business Development and Certification	Number of electronic applications	<ul style="list-style-type: none"> • Number of small businesses assisted • Annual value of federal contracts awarded
	Percent of annual review done on time	<ul style="list-style-type: none"> • Number of small businesses assisted
	Number of 8(a) applications processed	<ul style="list-style-type: none"> • Number of small businesses assisted
	Total amount of contract dollars going to HUBZone firms	<ul style="list-style-type: none"> • Annual value of federal contracts awarded
	Amount of time an individual spends reviewing an individual application	<ul style="list-style-type: none"> • Number of small businesses assisted
Business Gateway	Number of certification-related automated processes	<ul style="list-style-type: none"> • Number of small businesses assisted
	Hours saved (#) finding compliance information on Business.gov	<ul style="list-style-type: none"> • Hours saved (millions)
	ForeSee scores	<ul style="list-style-type: none"> • American Customer Satisfaction Index Score
Contract Management System	Referrals to Partner Sites	<ul style="list-style-type: none"> • Referrals to partner sites per month
	Purchase order Procurement Administrative Lead Time (PALT)	<ul style="list-style-type: none"> • N/A
	Number of processing errors	<ul style="list-style-type: none"> • N/A

Investment	Performance Indicators	Strategic Outcomes
	Ratio of contracts and POs processed per FTE	• N/A
	% of contracts and POs managed through CMS	• N/A
Joint Administrative Accounting Management System	Number of material weaknesses	• Number of material weaknesses
	% of time help desk tickets are resolved within service level agreement timeframes	• N/A
	% of daily interface jobs that process successfully	• Number of material weaknesses
	System availability	• Number of material weaknesses
OAT/I Consolidated	Timeliness of backups	• IT systems availability
	Timeliness of root cause analysis of outage	• IT systems availability
	Percent of HQ SBA employees served by Telecom	• IT systems availability
	Percent of network infrastructure up to date	• IT systems availability
	Percent of hardware updated annually	• IT systems availability
	Percentage of SLAs met	• IT systems availability
	Number of internal applications with customer service level agreements	• IT systems availability
	Power usage effectiveness (PUE)	• IT systems availability
	Carbon footprint	• IT systems availability
Percentage of standard (pre-approved/defined) changes	• Unauthorized network or data breaches	

7. Documents Reviewed

The following documents were reviewed in authoring this Enterprise Architecture Transition Plan:

Strategy

- SBA Strategic Plan FY 2008-2013
- SBA IT Strategic Plan FY 2007-2011
- SBA Enterprise Architecture Blueprint v2.04
- SBA EA Migration and Sequencing Plan v1.03

Budgeting

- FY 2010 Performance Budget (2010 Budget Request & Performance Plan, SBA Congressional Budget Submission Fiscal Year 2010)
- Exhibit 300 for
 - BDMIS
 - HUBZone
 - Business Gateway
 - OA/T/I
 - Disaster Credit Management Modernization
 - Contract Management System
 - Loan Management and Accounting System
 - Loan Accounting System
 - Joint Administrative Accounting Management System
- Exhibit 53 for
 - E-Procurement Center Representative
 - Loan/Lender Monitoring System
 - Denver Finance Center System
 - Financial Reporting Information System
 - Enterprise Architecture
 - IT Security Program
 - Productivity Enhancement Staff Program

- Disaster 21st Century Loan Processing Solutions
- SBTN-Client Assessment Management System
- EDMIS-2
- Electronic Official Personnel File
- Worker's Compensation Case Management and Safety Incident Reporting System
- Workforce Planning System
- Surety Bond Guarantee Web Application

Federal Enterprise Architecture Guidance

- FEA Practice Guidance, November 2007
- FEA Consolidated Reference Model, October 2007
- FEA Data Reference Model 2.0
- Enterprise Architecture Segment Report, December 2008
- Enterprise Architecture Assessment Framework, December 2008
- Federal Transition Framework (FTF), January 2008

8. Appendix A: Initiatives Added

Table 22: Initiatives Added to 2009 EA Transition Plan

Segment	Initiative	Comment
Financial Assistance	Loan Accounting System (LAS)	Based on Exhibit 300, to show it retiring at 2012.
Financial Assistance	Surety Bond Guarantee Web App	Based on Exhibit 53, steady state investment.
Financial Assistance	Loan/Lender Monitoring System	Based on Exhibit 53, steady state investment.
Management & Technical Assistance	EDMIS-2	Based on Exhibit 53.
Human Capital Management	Workers' Compensation Case Management & Safety Incident Reporting System (WCCM/SIRS)	Based on Exhibit 53.
Financial Management	Denver Finance Center System (DFCS)	Based on Exhibit 53, to show it retiring at 2012.

Segment	Initiative	Comment
Financial Management	Financial Reporting Information System (FRIS)	Based on Exhibit 53, to show it retiring at 2012.
IT Infrastructure	Network Analysis & Modernization (including Network Health, Networx, and Next Generation Data Center)	Based on initiative from segment architecture and <i>SBA Consolidated 5-year Optimization Report</i> .
IT Infrastructure	Archival/Retrieval System for Email	Based on initiative from segment architecture and <i>SBA Consolidated 5-year Optimization Report</i> .
IT Infrastructure	FDCC	Based on initiative from segment architecture and <i>SBA Consolidated 5-year Optimization Report</i> .
IT Infrastructure	Expanded Processes and PES	Based on initiative from segment architecture and Exhibit 53 and <i>SBA Consolidated 5-year Optimization Report</i> .
IT Infrastructure	TIC, Security and Privacy	Based on initiative from segment architecture and Exhibit 53 and <i>SBA Consolidated 5-year Optimization Report</i> .
IT Infrastructure	Remote DR Infrastructure	Based on initiative from segment architecture and <i>SBA Consolidated 5-year Optimization Report</i> .
IT Infrastructure	Service Oriented Architecture	Based on initiative from segment architecture and <i>SBA Consolidated 5-year Optimization Report</i> .

Segment	Initiative	Comment
IT Infrastructure	Green IT	Based on initiative from segment architecture and <i>SBA Consolidated 5-year Optimization Report</i> .

9. Appendix B: Initiatives Removed

Table 23: Initiatives Removed from 2009 EA Transition Plan

Segment	Initiative	Comment
Financial Assistance	SBIC Liquidation System	No longer exists in Exhibit 300 or Exhibit 53.
Government Contracting and Business Development	eSRS	eSRS has been integrated with the IAE and is not being pursued as a separate initiative.
Human Capital Management	Learning Management System	No longer exists in Exhibit 300 or Exhibit 53.
Human Capital Management	Learning Content System	No longer exists in Exhibit 300 or Exhibit 53.
IT Services	Help Desk	The initiative is subsumed under "Expanded Processes".
IT Services	Enterprise Network Management & Desktop	The initiative is subsumed under "FDCC".
IT Services	Network	The initiative is subsumed under "Network Analysis & Modernization".
IT Services	Security and Privacy	The initiative is subsumed under "TIC, Security and Privacy".
IT Services	Data Center Operations	The initiative is subsumed under "Network Analysis & Modernization".
IT Services	Enterprise Data Management	The initiative is not being formally pursued at this time with supporting business cases and investments."

Segment	Initiative	Comment
IT Services	Knowledge Management	The initiative is not being formally pursued at this time with supporting business cases and investments.”
IT Services	Business Process & Workflow Management	The initiative is not being formally pursued at this time with supporting business cases and investments.”
IT Services	Customer Relationship Management	The initiative is not being formally pursued at this time with supporting business cases and investments.”
IT Services	Enterprise Business Intelligence	The initiative is not being formally pursued at this time with supporting business cases and investments.”
Management and Technical Assistance	SBA University	No longer exists in Exhibit 300 or Exhibit 53.
Procurement and Grants Management	Correspondence Management	The initiative is not being formally pursued at this time with supporting business cases and investments.”

10. Appendix C: FY2010 Investments

Table 24: FY2010 SBA Budget Requests

Investment	Level	Owning Program	Segment	EATP Section
Business Gateway	300	BG	BG	3.1.1
Business Development Management Information System (BDMIS)	300	GC&BD	Government Contracting & Business Development	3.1.2
HUBZone	300	GC&BD	Government Contracting & Business Development	3.1.2
Electronic Procurement Center Representative	53	GC&BD	Government Contracting & Business Development	3.1.2
Electronic Official Personnel File (e-OPF)	53	OHCM	Human Capital Management	3.1.3
Worker's Compensation Case Management/Safety Incident Reporting Systems (WCCM/SIRS)	53	OHCM	Human Capital Management	3.1.3
Workforce Planning System (WPS)	53	OHCM	Human Capital Management	3.1.3
OA/T/I Consolidated Exhibit 300, (EUSS, MSSS, and TSS)	300	OCIO	IT Infrastructure	3.1.4
IT Security Program	53	OCIO	IT Infrastructure	3.1.4
Productivity Enhancement Staff Program	53	OCIO	IT Infrastructure	3.1.4
Enterprise Architecture	53	OCIO	IT Infrastructure	3.1.4
Contract Management System	300	PGM	Procurement & Grants Management	3.1.5
Disaster Credit Management Modernization	300	ODA	Disaster Assistance	3.2.1
Disaster 21st Century	53	ODA	Disaster	3.2.1

Investment	Level	Owning Program	Segment	EATP Section
Loan Processing Solutions			Assistance	
Loan Management and Accounting System	300	OCFO	Financial Assistance	3.2.2
Loan Accounting System	300	OCIO	Financial Assistance	3.2.2
Loan/Lender Monitoring System	53	OCA	Financial Assistance	3.2.2
Surety Bond Guarantee	53	OCA	Financial Assistance	3.2.2
Oracle Administrative Accounting/Joint Administrative Accounting Management System 1.0	300	OCFO	Financial Management	3.2.3
Denver Finance Center System	53	OCFO	Financial Management	3.2.3
Financial Reporting Information System	53	OCFO	Financial Management	3.2.3
Small Business Training Network/Client Assessment Management System	53	OED	Management and Technical Assistance	3.2.4
Entrepreneurial Development Management Information System II	53	OED	Management & Technical Assistance	3.2.4

11. Appendix D: Acronyms

Table 25: Acronyms

Acronym	Expansion
ADRI	Accelerated Disaster Response Initiative
BDMIS	Business Development Management Information System
BG	Business Gateway
BRM	Business Reference Model
BTIC	Business Technology Investment Council
CIO	Chief Information Officer
COE	Community of Excellence
CPIC	Capital Planning and Investment Control
DFCS	Denver Finance Center System
DME	Development, Modernization and Enhancement
DR	Disaster Recovery
DRM	Data Reference Model

Acronym	Expansion
EA	Enterprise Architecture
EASR	Enterprise Architecture Segment Report
EATP	Enterprise Architecture Transition Plan
FEA	Federal Enterprise Architecture
E-OPF	Electronic Official Personnel File
E-Gov	E-Government
e-PCR	Electronic Procurement Center Representative
FDCC	Federal Desktop Core Configuration
FFATA	Federal Funds Accountability and Transparency Act
FRIS	Financial Reporting Information System
FMLOB	Financial Management Line of Business
FSIO	Financial Systems Integration Office
FTF	Federal Transition Framework
GC&BD	Office of Government Contracting and Business Development
HCTS	HUBZone Certification Tracking System
HHS	Department of Health and Human Services

Acronym	Expansion
HUBZone	Historically Underutilized Business Zone
IT	Information Technology
ITIM	IT Investment Management
LAS	Loan Accounting System
LMAS	Loan Management and Accounting System
LOB	Line of Business
LTO	Long Term Objective
M&TA	Management and Technical Assistance
OCA	Office of Capital Access
OCIO	Office of the Chief Information Officer
ODA	Office of Disaster Assistance
OED	Office of Entrepreneurial Development
OCFO	Office of the Chief Financial Officer
OHCM	Office of Human Capital Management
OM&A	Office of Management and Administration
O&M	Operations and Maintenance

Acronym	Expansion
OMB	Office of Management and Budget
OPM	Office of Personnel Management
PAR	Performance & Accountability Report
PES	Productivity Enhancement Staff
PMA	President's Management Agenda
SBA	Small Business Administration
SDB	Small Disadvantaged Business
SOA	Service Oriented Architecture
SRM	Service Component Architecture
TIC	Trusted Internet Connection
TRM	Technical Reference Model