

The U.S. Small Business Administration (SBA)

America's small businesses play a vital role in creating opportunities for individuals, employees, and economic growth. The U.S. Small Business Administration (SBA) maintains its longstanding effort to bridge the competitive opportunity gaps that small entrepreneurs face. To that end, the SBA will continue to use the information technology to simplify the interaction between entrepreneurs, small businesses, lenders, and Federal state, local and tribal entities.

SECTION I: TRANSPARENCY, ENGAGEMENT, AND INNOVATION

1. Describe major transparency initiatives undertaken in the past year and major transparency initiatives planned for the coming year.

Driven by the American Recovery and Reinvestment Act (ARRA), the SBA Office of the Chief Information Officer has undertaken a number of transparency initiatives in the past year which are described in this document. The two most significant are the *Audit Visibility & Tracking* tool and the *SBA Customer Relationship Management (CRM) tool*.

The *Audit Visibility and Tracking* tool facilitates collaborative and efficient responses to audit requests from external and internal sources. The solution provides the necessary tools to register each recommendation from an audit finding, then track the tasks needed to provide a Response. Apart from an easy-to-use interface that incorporates alerts and notifications for convenience, the tool also provides performance metrics to help SBA manage its resources more effectively.

The SBA CRM is an easy to use application that bridges the gap between existing disparate loan and lender databases and partner contact lists. Based on a Microsoft platform, CRM:

- Centralizes customer contact data
 - Facilitates consistent service delivery
 - Streamlines access to and evaluation of customer information
 - Organizes customer communications across the agency
 - Features comprehensive analytical capabilities to support and enable Agency decision-making
- The SBA CRM resides in a user's Microsoft Outlook environment.

2. Do you have an innovation you would like to share with the public and Federal workforce on the Innovations Gallery?

The SBA has two new tools that are candidates for inclusion in the Innovations Gallery: The *Audit Visibility & Tracking* tool and the *SBA Customer Relationship Management (CRM) tool*.

Contact the SBA Office of the CIO at eGov@sba.gov to schedule a demonstration of either tool.

3. How many data sets does your agency have on data.gov?

At present, SBA has published two datasets on data.gov. Six additional data sets will be published by 1/22/10 as part of the efforts to meet the dataset requirements in the Open Government Directive (OGD).

4. Describe your progress in complying with OMB requirements to post all spending data on USAspending.gov.

SBA is in compliance with OMB requirements to post all spending data on USAspending.gov.

5. What tools is your agency using to advance citizen participation and engagement? Cite examples of how your agency has used citizen feedback.

SBA's Business Gateway (BG) program focuses on reducing compliance and regulatory burden on the nation's small businesses; it provides procedural transparency, plain language resources and contextual information to the small business community. BG has taken a user-centric approach to all planning and execution activities. Content, services, and technology decisions are all filtered through the needs of the small business user. Product management disciplines and commercial best practices are leveraged to align all business and technical functions. In addition, Business Gateway utilizes Web 2.0 technology such as Facebook © and Twitter™ to engage citizens.

6. Is your agency currently meeting all reporting requirements of M-09-19? If not, what are your plans for becoming compliant?

SBA is currently meeting all reporting requirements for M 09-19 by posting data to USAspending.gov on a monthly basis.

SECTION II: INFORMATION AND INFORMATION TECHNOLOGY MANAGEMENT

1. How has the IT Dashboard impacted the investment management process at your agency?

The IT Dashboard has positively impacted our investment management process in the following ways:

- We have implemented a repeatable process for the control and monitoring of all IT investments that will directly feed the IT Dashboard on a monthly basis. This process has added additional rigor to our standard control mechanisms by requiring us to automate our internal investment and project health reports by utilizing the Oracle Primavera P6 and ProSight® tools.
- Currently, SBA is revisiting its internal policies to ensure they incorporate the additional reporting requirements that have been created as a result of the IT Dashboard implementation.

2. Describe your agency's efforts in complying with reporting requirements for the IT Dashboard

SBA's Capital Planning and Investment Control (CPIC) is a dynamic process in which IT initiatives are chosen, then continually monitored and evaluated to ensure each initiative is well managed, cost effective, and supports the Agency's mission and strategic goals throughout its lifecycle. CPIC is SBA's primary process for analyzing IT investment options and making decisions about which IT initiatives and systems it should invest in. The process is supported by the following structure and tools:

- Governance and Decision-making Structure – Is the adherence to Agency processes and standards; staff, program, and field office internal management, two executive review bodies – the Business Technology investment Council (BTIC) and Business Technology investment Advisory Council (BTI-AC); and legislative-driven Agency functional IT investment oversight by the Administrator, Chief Financial Officer (CFO) and Chief Information Officer (CIO).

- Tools – The primary tool for IT portfolio and investment management is Primavera ProSight®. This web-based tool supports SBA initiative decision-making and IT initiative submissions to the Office of Management and Budget (OMB). The OCIO maintains and supports the tool.

3. Describe the process your agency is using to apply CIO evaluations for your major IT investments.

We have created a thorough review process to apply CIO evaluations for all major IT investments that incorporate the use of solid project management (monitoring and control techniques) coupled with project and portfolio management tools. The following steps capture the monthly process:

1. Every month our project managers (PM) do a detailed assessment of the health of their investments and associated projects. The health assessments that the project managers conduct evaluate several factors that include cost/schedule variance, risks, contracts and performance.
2. The PMs then submit their investment and project health reports to the portfolio management (PfM) team. The PfM team then conducts a secondary review of the factors included in the investment and project health reports. If concerns/issues are identified by the PfM team, they work with the PMs to develop mitigations and possible solutions.
3. After the PfM team completes their review of the investment and project health reports, the information is then provided to the IT Project Management Office (PMO) lead for a final review with the Chief Information Officer (CIO). Each investment is reviewed with the CIO, and any concerns or positive observations that are identified and captured are included in the comment form.
4. Finally, the CIO provides the final evaluation and the IT Dashboard submission is completed.

4. Provide your agency's Information Resource Management (IRM) Strategic Plan and EA Transition Plan.

The URL for IRM:

http://www.sba.gov/aboutsba/sbaprograms/OCIO/sba_ocio_2007_2011.html

The URL for the EA Transition Plan:

http://www.sba.gov/idc/groups/public/documents/sba_program_office/ocio_ea_it_transition_plan.pdf

5. Outline the progress of integrating the Enterprise Architecture and the Capital Planning and investment Control processes and policies.

SBA's integration of EA into the CPIC process is just one of three facets addressed in SBA's new EA Concept-of-Operations (CONOPS). SBA's EA participation in the CPIC process assures SBA's potentially new and existing investments align with the SBA's architecture as part of the agency's strategic planning process, and is executed through EA's interjection at various points in the CPIC process. As such, potential or actual investments are outputs from the overall EA program and originate from the efforts in completing and maintaining the segment architectures and associated transition plans; thus, assuring that SBA's EA program provides a business value to the agency. In addition, it focuses on capturing and monitoring select performance measures for each segment and all associated investments within each segment. Accordingly, various EA related activities inserted in SBA's CPIC process during the pre-select, select, and evaluate phases are detailed extensively in SBA EA CONOPS document. There are additional EA performance measurements and control activities residing independent of the CPIC

process too, but ultimately support the CPIC process in an indirect manner. SBA's EA is integrated into the CPIC process and as planned the maturity of this integration is increasing rapidly.

6. Provide the status and maturity of your modernization roadmap (segment architecture) activity including use by major programs and alignment shared target architectures.

The EA program continues to mature with additions to the modernization blueprint. Following a recent reorganization of the segments, three segments are in "complete" status, and four are "in progress." The financial management segment, currently one of the four in progress, will be completed at the end of January 2010. Each major and non-major investment has been aligned with a segment, with completed segments showing how investments fit into the EA transition plan.

7. For each E-Gov initiative, provide the final determinations, priorities, and schedules. Also, include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency's information by the public.

SBA has 26 IT investments—thirteen are classified as major and non-major respectively. We maintain all information on all our investment data at:

http://www.sba.gov/aboutsba/budgetsplans/BUDGET_ADD_REPORT_PLAN.html

8. Provide your agency's Freedom of Information Act (FOIA) handbook, the link of your agency's primary FOIA web site, and the web site link where frequent requests for records are made available to the public.

The link to the *Small Business Administration Guide to Public Information*:

http://www.sba.gov/aboutsba/sbaprograms/foia/FOIA_HANDBOOK.html

9. Describe in brief your agency efforts to comply with Section 508 in regard to information management.

SBA's IT acquisition policy implements Section 508 as prescribed by the Federal Acquisition Regulation (FAR). We review all SBA web applications for compliance with Section 508.

10. A list of your agency's public Web sites disseminating research and development (R&D) information to the public, and whether or not each web site provides the public information about federally funded R&D activities and/or provides the results of Federal research.

The SBA does not receive funding for, and does not participate in, R&D activities. Therefore, the SBA does not have a website dedicated to disseminate or describe such activities or results. However, the SBA's Office of Economic Research website, <http://www.sba.gov/advo/research/>, provides economic research and statistics associated with small businesses.

In addition, the SBA's Office of Technology administers the Small Business Innovation Research (SBIR) Program and the Small Business Technology Transfer (STTR) Program. The Office of Technology's website, <http://www.sba.gov/aboutsba/sbaprograms/sbir/index.html>, provides relevant research regarding information technology for small businesses.

11. Provide an inventory of formal agency agreements (e.g., contracts, memorandum of understanding (MOU), partnerships) with external entities (e.g., partnerships with state and local governments, public libraries, industry and commercial search engines) complementing your agency’s information dissemination program, briefly explaining how each agreement improves the access to and dissemination of government information to the public.

The SBA’s Office of advocacy Small Business Law Library website, http://www.sba.gov/advo/laws/law_lib.html, provides the memorandums of understanding and formal agreements available to the public. Not all of the agreements are available for public viewing.

12. Provide an inventory that describes your agency’s NARA-approved records schedules(s) or the link to the publicly posted records schedules(s), and a brief explanation of your agency’s progress to implement NARA Bulletin 2006-02. For the brief explanation, please report the number of systems for which a record schedule was submitted to NARA in Fiscal Year (FY) 2008 and the number of systems still requiring records schedules.

In accordance with NARA Bulletin 2006-02, SBA currently lists 59 electronic records schedules in its Electronic Records Management System; of these the “Loan Accounting System” comprises 33 subsystems.

All of SBA’s electronic and paper-based schedules can be accessed on the SBA intranet page known as the “Yes” page. To access this system, an employee would:

1. Click on *Program Offices*
2. Click on *Administration*
3. Click on *SBA Electronic Records Management System*
4. Click on the office that contains the record schedules you wish to look at
5. Choose between *paper and electronic*. The record schedules of each particular office is displayed. This application is currently available to SBA employees only. SBA is planning a link to the public SBA website in future at <http://www.sba.gov/>.

SECTION III: IMPLEMENTATION OF E-GOVERNMENT INITIATIVES

The following pages demonstrate the commitment of SBA to the principles of eGovernment.

1. Describe the initiative, the methodology for identification of the initiative, and how the initiative is transforming agency operations.

The SBA CRM is part of the OMB approved ARRA *Automated and Streamlining Customer Experience* program that will:

- Introduce new technology and revitalize SBA’s infrastructure
- Improve the offering of new economic incentives to small businesses and lenders
- Help restart lending and investing in small business

SBA’s market research and due diligence team based its selection of the Microsoft Dynamics CRM on low cost, best value, functionality, and its ability to meet the aggressive time-line required to support ARRA initiatives.

CRM meets the basic need for providing centralized customer contact data across the entire SBA. Currently, there exists a gap between specific field offices with manual processes, field office with database applications, and several disparate systems, all tasked with maintaining customer contact information for various areas of the agency.

Beyond merely centralizing contact demographic data, CRM will provide the ability to easily track major performance metrics vital to the SBA such as the number of new lenders established, number of contact efforts made to customers, number of loans issued, and so forth. These reports are quickly available to individual users or they can be automated and standardized as a part of the Agency process.

CRM will support immediate recovery efforts by improving efficiencies of SBA lender, business, outreach and marketing stimulus activities, and provide the foundation for future long-term customer relationship process reengineering and improvement initiatives. The CRM program will enhance productivity and improve the customer experience by centralizing customer contact data, facilitating consistent service delivery and organizing customer communications across the across the SBA.

2. Quantify the cost savings and cost avoidance achieved through implementing the initiative (e.g. reducing or eliminating other investments in information technology).

The CRM tool has not been in place long enough to produce cost savings and avoidance data. SBA's market research and due diligence team based its selection of the Microsoft Dynamics CRM on low cost, best value, functionality, and its ability to meet the aggressive time-line required to support ARRA initiatives. The implementation to the final deployment of the CRM tool took approximately five-month. This would be an impressive accomplishment in a corporate environment, let alone the federal space.

To mitigate the risk that its desired fast track approach would cause schedule or cost variances, SBA developed the CRM project based on a proven COTS product, pilot approach, and realistic schedule. SBA chose small business partners experienced in developing similar projects on tight schedules. To mitigate possible integration risks, SBA researched COTS integration capabilities, developed a CRM project proof-of-concept prior to acquisition, and adopted a pilot-based implementation approach to minimize long term performance risks and to rapidly implement continuous enhancements based on user feedback. The approach also included an internal social media community portal to provide a mechanism for the Agency to collaborate on best practices, new feature enhancements, and general process improvements.

3. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative.

Several Federal agencies are interested in the CRM application and SBA's accelerated speed to market. At the 90 member Small Agency Council, SBA shared its example of how small businesses could enable agencies to reduce the procurement cycle for technology deployment, while helping achieve the 23% small business set-aside federal procurement goal. Toward this end, SBA and Microsoft are also exploring how to provide further entrepreneur development opportunities for small businesses.

4. Identify improved performance (e.g., outcome measures, quantifiable business impact) by tracking performance measures supporting agency objectives and strategic goals.

The table below provides a mapping of the strategic goals of the agency to a measurement indicator for CRM.

Strategic Goal Supported	Measurement Indicator
Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services	Improved CRM "vision areas"
Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services	Number of District Directors who participated in either training, discussion, or design sessions for the purpose of maturing requirements for future development efforts
Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services	Major process design sessions
Ensure that all SBA programs operate at maximum efficiency and effectiveness by providing them with high quality executive leadership and support services	CRM access by SBA staff

5. Explain how this initiative ensures the availability of government information and services for those without access to the internet and for those with disabilities.

The CRM tool was designed according to Federal accessibility standards so it can be used by people with disabilities.

6. Identify external partners (e.g. Federal, State or local agencies, industry) who collaborated on the initiative.

SBA is examining how CRM could be used to coordinate communication and interaction with the public, including responses to FOIA requests and other critical agency correspondence. In turn, CRM web tools would enable people to effectively locate information about SBA services, programs, partners and resources. In the future, plans include leveraging web technology that will allow the public to interact directly with SBA resource partners and programs.

7. Explain how the project applies effective capital planning and investment control procedures;

The CRM project adheres to all of the Agency’s CPIC procedures. Specifically, CRM has participated in the CPIC pre-select, select and control phases. The project has not reached the maturity level to participate fully in aspects of the CPIC evaluate phase as implemented at SBA.

8. Describe the established process your agency has in place for the continued ongoing process of identification of initiatives.

SBA CRM is more than just an example of exceptional speed to market. It is the centerpiece for revitalizing the Agency’s use of information technology. Linking program information to a folder structure within Microsoft Outlook and managing interaction with agencies, councils, and committee are two unique aspects of SBA CRM. It is the foundation technology to consolidate existing stove-pipe systems, as well as enable future systems integration within a holistic approach to information technology enterprise architecture. At the business level, it will unify and standardize how SBA field office staff interacts with lenders, borrowers, businesses and resource partners. CRM also provides the previously

unavailable ability to track and report on field office activities, set goals, establish performance metrics and enhance executive decision making through the use of business intelligence tools.

9. Quantify the cost savings and cost avoidance achieved through implementation of new IT programs.

The Customer Relationship Management (CRM) tool has not been in place long enough to produce cost savings and avoidance data.

10. Describe your efforts to consolidate, or collaborate with other agencies, to reduce the number of Federal data centers.

SBA has renewed its focus on consolidation of its infrastructure for effective disaster recovery. In addition SBA is assessing its strategy for developing a managed services data center for its computer infrastructure. Furthermore, we are open to “cross-governmental cloud computing strategies” and continued efforts in that direction.

11. Describe the telework program at your agency; include your plans to increase your employees’ ability to use Web 2.0 tools to work-at-a-distance.

There are three components to Web 2.0 technology:

1. Personalization
2. Development of rich internet applications
3. Delivery of local dynamic content. SBA employees are able to ensure personalization of their telework environment through the use of a secure, Citrix-based SSL key fob.

Due to IT security concerns, SBA has not deployed the second and third components of Web 2.0 in a telework environment; however, SBA complies with OPM’s guidance for providing telework opportunities for its employees. Our telework policy and all associated forms are posted to our intranet site for easy access by employees.