

U.S. SMALL BUSINESS ADMINISTRATION OFFICE OF INSPECTOR GENERAL

Strategic Plan Fiscal Years 2017–2021



AUGUST 23, 2017

Message from the Inspector General

I am pleased to present the Strategic Plan fiscal years (FYs) 2017 through 2021 for the Small Business Administration (SBA) Office of Inspector General (OIG). I am confident the plan sets a course to provide effective and efficient oversight of SBA's programs and operations. The goals and objectives will continue to carry us toward our vision of being the most effective OIG in the Federal Government.

OIG recognizes that its workforce is its most valuable asset. This plan is the culmination of significant workforce engagement, whereby we will endeavor to promote a viable career path for employees as they carry out our vital mission. We will foster a positive work-life balance while ensuring professionalism and developing our future leaders. Our guiding principles to deliver high-quality products in an independent manner and to promote open and honest communication are core to our management philosophy.

In carrying out our mission, we must never lose sight of the fact that making recommendations for corrective action, preserving integrity, and identifying efficiencies within SBA to facilitate the agency's ability to serve the American people are our ultimate goals. Nothing short of the public trust in SBA is at stake if we are ineffective.

SBA was established to maintain and strengthen the nation's economy by protecting the interests of and assisting small businesses, and by helping families and businesses recover from disasters. We know SBA faces a number of challenges in carrying out this mission, to include procurement flaws that allow large firms to obtain small business awards, modernization of legacy information systems, and fraudulent schemes. Our office will concentrate its auditing and investigative resources to aid SBA managers in successfully addressing these and other challenges.

Please join me in embarking on this 5-year journey to make our office the most effective OIG in the Federal Government. We will leverage all available resources to perform innovative oversight of SBA's programs and operations. I want to thank our workforce for their assistance in developing this collaborative approach. I am committed to promoting the positive workplace our employees deserve and oversight excellence the taxpayers rightly demand.

Sincerely,



Hannibal "Mike" Ware
Acting Inspector General

The figure below represents an overview of our strategic plan.



Mission

Provide independent, objective oversight to improve the integrity, accountability, and performance of SBA and its programs for the benefit of the American people.

Vision

Be the most effective OIG in the Federal Government.

Statutory Responsibilities

The SBA OIG is an independent and objective oversight office created within SBA by the Inspector General Act. The Inspector General Act specifies that the OIG will do the following:

- Promote economy, efficiency, and effectiveness in the management of SBA programs and supporting operations
- Conduct and supervise audits, investigations, and reviews relating to the agency's programs and support operations
- Detect and prevent fraud and abuse
- Review existing and proposed legislation and regulations and make appropriate recommendations
- Maintain effective working relationships with other Federal, State, and local governmental agencies, and non-governmental entities, regarding the mandated duties of the Inspector General
- Keep the SBA Administrator and Congress informed of serious problems and recommend corrective actions with implementation measures
- Comply with the audit standards of the Comptroller General
- Avoid duplication of Government Accountability Office activities
- Report violations of law to the U.S. Attorney General

OIG also has other significant statutory responsibilities. These include responsibilities under the Small Business Act and the Small Business Investment Act, as well as legislative mandates and Government-wide directives.

Guiding Principles

To carry out our statutory and other responsibilities, the OIG follows these guiding principles:

- Maintain independent and objective oversight
- Deliver products and services of the highest quality
- Promote open and honest communication
- Encourage a positive work environment

Values

OIG has a shared set of values:

- Perform our work with a high level of independence, integrity, excellence, objectivity, and professionalism
- Maintain a collaborative, challenging, innovative, and professional work environment
- Promote open and honest communication
- Foster professional growth, diversity, and high retention
- Deliver products and services of the highest quality that are useful and informative to our stakeholders

Strategic Goals, Objectives, and Success Measures

OIG conducted an in-depth strengths, weaknesses, opportunities, and threats analysis to identify and prioritize goals and objectives for FYs 2017–2021. This analysis included input from across the organization at all levels. OIG collected relevant data through face-to-face meetings, focus groups, and an employee survey. We prioritized goals, developed objectives, and set success measures based on this data.

OIG's guiding principles and values provide the foundation for the goals that we will pursue over the next 5 years. These goals enable our organization to achieve progress in pursuit of the SBA OIG vision.

Goal 1: Promote the integrity, efficiency, and effectiveness of SBA programs and activities.

Objectives	Success Measures
<p>Conduct timely, relevant, and effective audits, investigations, and other analyses</p>	<ul style="list-style-type: none"> • Ensure audit and investigative products meet established professional standards • Maintain updated policies and procedures to increase the impact of audits and investigations • Review and revise processes to facilitate timeliness and efficiency of audits, investigations, and other analyses • Reduce the average cycle time for auditing surveys and drafting reports to meet required timelines • Complete 75% of total cases accepted by prosecutors, referred for agency action, or closed during the fiscal period within 18 months of case initiation • Complete Office of Security Operations reviews on time • Acknowledge and evaluate complaints and hotline referrals within 3 days • Respond to agency directive clearances in a timely manner
<p>Conduct investigations and audits that compel corrective action</p>	<ul style="list-style-type: none"> • Obtain resolution on recommendations for corrective action 90% of the time • Request meetings with the Audit Follow-Up official on 100% of recommendations that are not resolved within 120 days • Refer 70% of total cases closed during the fiscal period for criminal, civil, or administrative action • Request meetings with the Audit Follow-Up official within 120 days of corrective action not meeting established milestones
<p>Increase the impact of audits and investigations in high-risk areas</p>	<ul style="list-style-type: none"> • Identify and prioritize SBA major program areas every 2 years • Prioritize audits, investigations, and legal enforcement reviews that focus on high-risk areas • Increase the number of Government contracting cases with potential losses exceeding \$1 million • Complete a comprehensive risk analysis for SBA programs every 2 years

Goal 2: Enhance relationships with Congress, SBA, and other entities for the purpose of greater collaboration.

Objectives	Success Measures
<p>Ensure continuous communication with stakeholders about critical audit and investigative issues, priorities, work products, and results</p>	<ul style="list-style-type: none"> ● Integrate formal outreach processes into Audits, Investigations, and Management processes ● Use communication platforms to increase the reach to external stakeholders by 10% from the FY 2016 baseline
<p>Increase and leverage collaborative, working relationships with outside agencies and other OIGs</p>	<ul style="list-style-type: none"> ● Integrate formal outreach processes into Audits, Investigations, and Management processes ● Use communication platforms to increase the reach to external stakeholders by 10% from the FY 2016 baseline
<p>Raise internal and external stakeholder awareness of fraud, waste, and abuse</p>	<ul style="list-style-type: none"> ● Integrate formal outreach processes into Audits, Investigations, and Management processes ● Use communication platforms to increase the reach to external stakeholders by 10% from the FY 2016 baseline

Goal 3: Create a work environment that attracts, develops, and retains quality staff.

Objectives	Success Measures
<p>Ensure that the OIG has a professional and technically proficient workforce</p>	<ul style="list-style-type: none"> • Ensure that OIG has an effective strategy to recruit and retain a diverse, high-performing, outcome-driven workforce • Ensure Audits staff meet 100% of CPE training requirements annually • Ensure criminal investigators meet mandatory training requirements 100% of the time • Ensure Audits and Investigations Divisions obtain passing External Peer Review Report ratings every 3 years • Develop and implement a leadership training program • Develop and implement succession planning in all focus areas • Promote obtaining and maintaining of professional certifications in technical specialties related to agency programs addressed by OIG • Conduct orientation and training for new employees
<p>Reduce annual Civil Service employee attrition rates</p>	<ul style="list-style-type: none"> • Conduct an annual employee survey in 1Q to measure employee engagement • Maintain an organization-wide onboard rate of more than 90% • Conduct exit interviews for 100% of departing employees • Searches for talent will include internal candidates
<p>Improve internal communication</p>	<ul style="list-style-type: none"> • Conduct an annual employee survey in 1Q to measure employee engagement • Establish, leverage, and promote an internal message board on SharePoint • Establish and leverage employee engagement councils • Communicate semiannual status updates on goals and objectives for the strategic plan • Hold goal progress discussions among directors and managers annually via face-to-face meetings concurrently with annual performance reviews
<p>Foster an inclusive organizational culture that inspires employee engagement, cooperation, and fairness</p>	<ul style="list-style-type: none"> • Maintain an open-door policy among managers • Recognize employees for their contributions and achievements on a recurring basis • Decentralize budget authority for Special Act or Service and On-the-Spot awards • Incorporate Individual Development Plans into the annual performance review discussion • Incorporate one-on-one communication strategy between managers and subordinates

Goal 4: Foster innovative approaches to carry out the mission more effectively and efficiently.

Objectives	Success Measures
<p>Improve internal collaborations</p>	<ul style="list-style-type: none"> • Encourage two-way communication via semiannual organizational updates from leadership • Premise facilities and space management decisions on internal collaboration considerations • Develop and implement a mentoring program that encourages interdisciplinary interaction • Empower Division Champions to customize employee utilization and collaboration via SharePoint • Hold division-wide meetings or teleconferences on a semiannual basis
<p>Leverage technology and employee experience to improve OIG methods in carrying out our mission</p>	<ul style="list-style-type: none"> • Leverage review methodologies that employ computer matching and/or data analytics • Leverage review methodologies that include survey instruments • Use data analytics to identify fraud, waste, and abuse trends that are evidence in hotline reporting
<p>Increase knowledge sharing</p>	<ul style="list-style-type: none"> • Organize our internal collaboration website (currently SharePoint) • Create communities of practice

Relationship to the SBA Strategic Plan

The mission of the SBA, as stated in its strategic plan for FYs 2014–2018, 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.

The OIG provides independent, objective oversight to assist SBA in fulfilling its mission for the benefit of the American people.

Critical Environmental Influences

Achieving our goals is dependent on a number of external environmental influences that are continuously assessed. Any changes in these factors, could significantly affect the achievement of the OIG's goals and objectives:

- Funding limitations
- A redirection of resources due to unforeseen events
- Statutory and external mandates requiring a change in focus
- The initiation or results of judicial or administrative proceedings, or collection of monetary sanctions imposed by the courts or the agency as a result of our reviews or investigations

Future Evaluations

Designated OIG staff members are responsible for collecting, maintaining, and reporting performance data. As appropriate, quantitative data are collected and stored in the OIG's management information systems. Results are reported in accordance with legislative requirements. OIG management will review reported data for consistency with general performance observations.

Each year, we will reevaluate whether our success measures are effectively designed, useful, and results-oriented, and whether any of our goals and objectives should be revised.

OIG Organizational Structure

The OIG has three divisions and several supporting program offices to carry out its functional responsibilities.

The **Audits Division** performs and oversees audits and reviews to promote the economical, efficient, and effective administration of SBA programs and operations. Key areas of emphasis are SBA's loan, disaster assistance, business development, and Government contracting programs, as well as mandatory and other

statutory audit requirements involving computer security, financial reporting, and other work. The balance of the engagements is discretionary and focuses on high-risk activities and management issues facing SBA.

The **Investigations Division** manages a program to detect and deter illegal and improper activities involving SBA's programs, operations, and personnel. The criminal investigations staff carries out a full range of traditional law enforcement functions. The security operations staff conducts required employee and contractor background investigations to achieve a high level of integrity in the agency's workforce and adjudicates OIG employees and contractors for issuance of PIV cards pursuant to HSPD-12 background investigations requirements.

The **Management and Administration Division** provides business support (e.g., budget and financial management, human resources, IT, and procurement) for the various OIG functions and activities.

The **Office of Counsel** provides legal and ethics advice to all OIG components; represents the OIG in litigation arising out of or affecting OIG operations; assists with the prosecution of criminal, civil, and administrative enforcement matters; processes subpoenas; responds to Freedom of Information and Privacy Act requests; and reviews and comments on proposed policies, regulations, legislation and procedures.

The **OIG Hotline**, under the purview of the **Chief of Staff**, reviews allegations of waste, fraud, abuse, or serious mismanagement within SBA or its programs from employees, contractors, and the public. A preliminary review of all complaints is conducted to determine the appropriate course of action. As part of the review process, hotline staff may coordinate reviews of allegations within the OIG, SBA program offices or other governmental agencies.

Small Business Administration Office of Inspector General

