Small Business Administration Information Resources Management (IRM) Strategic Plan

2014-2018

Leveraging SBA IT resources to support America's small businesses

U.S. Small Business Administration

SBA

Your Small Business Resource

Contents

Message from the Chief Operating Officer

The Small Business Administration (SBA) Information Resources Management (IRM) Strategic Plan reflects the Agency's dedication to optimizing and maintaining SBA's IT infrastructure, identifying areas for IT efficiency and innovation, and investing in the IT workforce. We recognize that IT is a critical enabler that supports SBA's mission to grow businesses and create jobs. The IRM Strategic Plan directly aligns with goals from the SBA Strategic Plan. The plan also incorporates the Office of Management and Budget (OMB) Guidance, including the *25 Point Plan, Common Approach, Shared Services Strategy, Digital Government, M-11-29, M-13-09, and the Presidential Directive on Open Data*. In following the key objectives of these documents, SBA strives to continuously build efficient IT management practices and guide the use of IT resources for decision making, rather than focusing on specific technologies and initiatives.

This IRM Strategic Plan was developed jointly by the Office of the Chief Information Officer (OCIO) and IT leaders from program offices throughout SBA. Our collective efforts across the Agency provide the means for ongoing IT transformation. Our framework builds on best practices in IT investments and governance in an environment of evolving demands and rapidly advancing technology. We have identified targeted outcomes for the major activities to be pursued over the next five years. These activities engage our customers and stakeholders and emphasize accountability and transparency.

As an agency with a challenging mission, IT leaders across SBA work together to provide key IT solutions. SBA is committed to taking the next steps in IT innovation to support the small business owners' need to grow their businesses, create jobs, and increase global competitiveness.

Paul Christy
Small Business Administration
Chief Operating Officer

Executive Summary

Since 1953, the U.S. Small Business Administration (SBA) has helped America's small businesses grow and create jobs. By expanding access to capital, counseling, federal contracts, disaster assistance, and entrepreneurial education, SBA gives small business owners the tools they need to strengthen our economy, drive American innovation, and increase our global competitiveness.

SBA's mission is significantly supported by Information Technology (IT). IT tools enable SBA to reach out, connect with, and serve small businesses. Executing its mission requires SBA to build and maintain IT tools to provide America's small businesses with:

- Access to over $100B in capital, including a network of over 3,000 lending partners for the 7(a) loan program.
- Mentoring, training, and coaching for over 1.5 million entrepreneurs through a network of more than 1,400 locations and 700 counselors, as well as a relevant, regularly-updated catalog of online training offerings.
- An advocate for leveraging small business in government contracting, resulting in $100B of federal contracting dollars going to small businesses.
- Processing disaster loan applications for homeowners and business owners within a target number of days after catastrophic disasters occur.

SBA requires the support of effective, reliable IT for daily operations to provide this level of support to America's small businesses.

The purpose of this SBA Information Resources Management (IRM) Strategic Plan is to guide the use of SBA IT[1] resources in achieving SBA strategic goals. The CIO is responsible for coordinating the execution of the plan and for maximizing the value of IT to SBA programs, partners, stakeholders, and customers.

The IRM Strategic Plan focuses on the critical practices SBA IT Leaders have identified to ensure the continued success of IT investments. Following the guidance set forth in OMB Memorandum M-13-09, the SBA IRM Strategic Plan concentrates less on specific technologies and initiatives, and more on the ongoing IT management practices that weave the efficient, successful use of IT resources into day-to-day decisions. SBA's need to carry out the Agency's Mission and grow IT capabilities in a dynamic environment is heavily influenced by:

- **Increasing demand with reduced resources** – demands for new capabilities continue to grow while the current environment requires SBA to plan for potential reductions in operating budgets.
- **Push to exploit opportunities to use IT resources more efficiently – Rapid development of new technology** – an ever-changing technology landscape has led to

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[1] For the purposes of the plan, information technology broadly means: (1) all information assets, to include hardware, software, and people; (2) data and information collection, management, and sharing; (3) the information technology infrastructure including hardware, software, and communications; and (4) all associated IT management and planning practices.

the increase in the use of mobile devices, data storage capacity, and telecommunications sophistication.

- **Emphasis on Information Security** – increasing legislative and public attention towards security.

This IRM Strategic Plan is organized around the required elements of OMB Memorandum M-13-09, Fiscal Year 2013 Portfolio Stat Guidance: Strengthening Federal IT Portfolio Management and covers a range of Information Resource Management topics, including:
- Agency Strategic Goals and Objectives
- Improving Services to Customers
- Governance and Management Practices
- CIO Authorities
- Cybersecurity Management
- Workforce
- Managing Information as an Asset
- Commodity IT and Shared Services
- Accessibility

1. Agency Strategic Goals and Objectives

1.1. Agency Strategic Goals and Objectives Supported by the IRM Strategic Plan (AXXA)

SBA Strategic goals were established based on SBA's mission statement:

"The mission of the U.S. Small Business Administration 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."

Along with this mission, an integral aspect of SBA strategic goals is the four core values that guide the work of SBA employees each day:

- **Outcomes Driven**: We will clearly define the outcomes we are targeting and ensure that our programs, processes, and policies are aligned in achieving them.
- **Customer Focused:** We serve people and will be responsive to their needs, both in the services we provide, and how we deliver them.
- **Employee-Enabled**: Our people extend the hand of service to Americans every day, and we must ensure employees have the tools, the training, and the support to be effective.
- **Accountable, Efficient, and Transparent**: We have a bedrock obligation to the taxpayer to manage efficiently, invest capital prudently, and be open and honest about our results.

The SBA Strategic Goals were created as part of a framework that will strengthen, streamline, and simplify SBA's programs while leveraging partnerships across the government and private sector to maximize the tools small business owners and entrepreneurs need to strengthen our economy, drive American innovation, and increase our global competitiveness. Each goal contains objectives which are directly tied to performance - both at the individual level and Agency-wide.

1.1.1. SBA Strategic Goals

Strategic Goal 1: Growing businesses and creating jobs.
- Expand access to capital.
- Ensure federal contracting goals are met and exceeded.
- Strengthen entrepreneurial ecosystems.
- Enhance exporting abilities to succeed in global markets.
- Fuel high-growth small businesses and start-ups to drive innovation.
- Ensure disaster assistance can be deployed quickly, effectively, and efficiently.
- Foster supply chain integration to ensure American competitiveness.

Strategic Goal 2: Serving as the voice for small business.
- Ensure inclusive entrepreneurship.
- Lead interagency collaborations to strengthen delivery of services.
- Provide useful information through digital and in-person outreach.
- Foster a small business-friendly environment by reducing unfair regulatory burdens.

Strategic Goal 3: Building an SBA that meets the needs of today's and tomorrow's small businesses.
- Strengthen, streamline, and simplify program operations.
- Invest in SBA employees.
- Mitigate risk to taxpayers and improve oversight across programs.

1.1.2. **SBA IT Goals**

To execute business capabilities and to meet SBA Strategic Goals, SBA's IT Leaders have established three key IT goals. The IT goals in the SBA IRM Strategic Plan align with and support both the SBA goals from the SBA Strategic Plan FY2014-2018, and OMB Guidance. IT *Goal 1* focuses on IT infrastructure and IT security, which are critical in the delivery and the growth of SBA programs. IT *Goal 2* focuses on IT management, aligning technology investments to business needs, and leveraging shared government services. *Goal 2* supports all three of SBA's strategic goals. IT G*oal 3* is directly aligned with SBA's objective to invest in SBA employees. Performance against these goals will be reviewed and adjusted quarterly to address changes in priorities, circumstances, and technology. This review process will be coordinated by the CIO.

Goal 1: Optimize and maintain a reliable, secure, high performing IT infrastructure to support business needs.
IT infrastructure is the foundation of all SBA operations. Understanding and meeting current and anticipated program office needs for infrastructure performance is the highest IT priority. Securing data and IT assets protect against risks and ensure the availability, integrity, confidentiality, and continuity of IT resources.

Goal 2: Work across SBA to gain efficiencies in IT operations.
SBA anticipates operating in an environment of reduced funding and increasing requirements. To meet that challenge, SBA recognizes an increased need for IT organizations within SBA to work together to identify opportunities for efficiencies in supporting the SBA Mission. Areas where technology can help the Agency be more efficient include IT management, technology investments aligned to business needs, and leveraging shared government services.

Goal 3: Improve the skillset and flexibility of SBA IT workforce to meet increased demands in an environment of declining budgets.
SBA will invest to prepare IT staff for future needs. SBA IT staff may play an expanded role to ensure that evolving SBA program goals are met. Knowledge of key existing SBA technologies is critical in meeting program goals.

The diagram below demonstrates how SBA IT Goals support SBA Strategic goals:

SBA IT GOALS:

Goal 1:

Optimize and maintain a reliable, **secure, high performing IT infrastructure** to support business needs.

Goal 2:

Work across SBA to gain **efficiencies in IT operations**.

Goal 3:

Improve the skillset and flexibility of **SBA IT workforce** to meet increased demands in an environment of declining budgets.

HOW SBA IT GOALS SUPPORT SBA STRATEGIC GOALS:

- **Reliable IT infrastructure (with formalized capacity planning)** - critical element to delivering and growing Programs
- **IT Security** - critical element to assuring the integrity of programs and initiatives

- **Mature IT management** – in direct support of delivery of programs and new initiatives
- **Technology investments aligned with business needs** – critical to effectively strengthening programs
- **Leverage Government shared services** – support collaboration with other agencies

- **Investing in IT Workforce** - directly supporting SBA's objective to invest in SBA employees

SBA STRATEGIC GOALS:

Goal 1: Growing businesses and creating jobs
- Expand access to capital
- Ensure federal contracting goals are met or exceeded
- Strengthen entrepreneurial ecosystems
- Enhance exporting abilities to succeed in global markets
- Fuel high-growth small businesses and start-ups to drive innovation
- Ensure disaster assistance can be deployed quickly, effectively, and efficiently
- Foster supply chain integration to ensure American competitiveness

Goal 2: Serving as the voice for small business
- Ensure inclusive entrepreneurship
- Lead interagency collaborations to strengthen delivery of services
- Provide useful information through digital and in-person outreach
- Foster a small business-friendly environment by reducing unfair regulatory burdens

Goal 3: Building an SBA that meets needs of today's & tomorrow's small businesses
- Strengthen, streamline &simplify program operations
- Invest in SBA's employees
- Mitigate risk to taxpayers and improve oversight across programs

Figure 1: SBA IT Goals supporting SBA Strategic Goals

1.2. Advancing Strategic Goals and Objectives (AXXB)

The SBA Enterprise Architecture (EA) program is designed to inform and guide business and technology decisions as well as to ensure alignment with SBA's business goals and objectives. The
Federal Enterprise Architecture Framework (FEAF) is utilized to support decision-making, prioritization, and performance improvement for the Agency. As part of the alignment process, the EA Team applies the following Office of Management and Budget (OMB) mandates:

- *Review of Information Technology Projects M-10-31*
- *25-Point Implementation Plan to Reform Federal Information Technology Management*
- *Cloud Computing Strategy*
- *Implementing PortfolioStat M-12-10*
- *Common Approach to Enterprise Architecture*
- *Shared Services Strategy*
- *Digital Government Strategy*
- *Chief Information Officer Authorities M-11-29*
- *PortfolioStat Guidance M-13-09*
- *Presidential Directive on Open Data M-13-13*
- *Federal Data Center Consolidation*

In order for SBA to align Agency and IRM goals to OMB guidance and mandates, the Agency has established strategic and IT goals with supporting objectives, target outcomes, and target measures for each goal. The IRM strategic plan focuses on the methodology in which SBA will meet these goals and objectives.

The IRM Strategic Plan details the customer satisfaction feedback process which is utilized to foster a small business-friendly environment and to ensure assistance is received as needed. Additionally, the Governance process and Cybersecurity policy are discussed in order to explain the methods by which SBA ensures the integrity of programs and initiatives, thus further guaranteeing the strengthening of entrepreneurial ecosystems and the quick and effective deployment of disaster assistance. The management of the IT Portfolio, Commodity IT, and Shared Services is explained as proof of the strengthening of delivery of services and demonstrates how useful information is available through digital outreach. Lastly, the programs created as an investment in the SBA workforce are included in the Strategic Plan to explain SBA's approach to advancing workforce skillset, and therefore improving processes and strengthening overall operations.

2. Improving Services to Customers

SBA Strategic and SBA IT Goals were established with customer service in mind, as customer satisfaction with performance is essential to SBA success. To accurately measure SBA IT Goal performance, the goals have been broken down into objectives that have target outcomes and action steps.

2.1. Measuring Customer Use and Satisfaction through Analytics (BXXA) and Improving Usability, Availability, and Accessibility of Services (BXXB)

Goal 1: Optimize and maintain a reliable, secure, high performing IT infrastructure to support business needs.
Target Measure for Goal 1: Infrastructure needs are consistently anticipated and met.

OBJECTIVE 1.1: *Provide customer-centric Infrastructure planning and delivery.*
TARGET OUTCOME: *Business needs are accurately assessed and performance measures are met.*

To achieve this objective, SBA will:
- Execute Agency-wide capacity planning processes, proactively assessing infrastructure against future operational needs.
- Focus infrastructure upgrades and new technology rollouts on specific business needs.
- Define technology refresh cycle (tailored for each Program Office).
- Address network performance as investment priority #1.

SBA will measure progress by regularly monitoring:
- Network up time
- Unplanned service interruptions
- Customer Satisfaction with Infrastructure performance

OBJECTIVE 1.2: *Identify, prioritize and mitigate risks to SBA IT assets.*
TARGET OUTCOME: *Secure and compliant IT systems throughout SBA.*

To achieve this objective, SBA will:
- Tailor Security practices to ensure protection, while striving for efficiency.
- Integrate Security into all IT processes.
- Develop a robust System Security Information System.
- Enable effectiveness of Information Systems Security Office (ISSO) roles across SBA

SBA will measure progress by regularly monitoring:
- Security attacks/breaches
- FISMA Compliance
- SBA Program Office satisfaction with Security program

Goal 2: Work across SBA to gain efficiencies in IT operations.
Target Measure for Goal 2: Technology investments enable the Agency to be more efficient.

OBJECTIVE 2.1: *Continuously identify and exploit opportunities to achieve efficiency.*
TARGET OUTCOME: *Savings realized, as measured by Joint Investment proposals identified and service interruptions reduced.*

To achieve this objective, SBA will:

- Broaden SBA Technical Review Board (TRB) Charter to include its role as informing and consulting to BTIC/BTI-AC on:
  - o Opportunities to optimize infrastructure investment.
  - o Proposals considering opportunities with new technologies for new business processes in Mobility, End-user productivity improvements, etc.
  - o Opportunities for shared training investment.
  - o Standardized maintenance calendars.
  - o Support collaboration with Field Offices and Servicing/Processing Center.
- Expand governance agenda to focus on areas for efficiency through new technology.
- Define a "baseline" prioritization method, with IT infrastructure reliability as #1 priority.
- Rollout "TechStat" model as the Agency method for troubled project evaluation.
- Establish "information architects" throughout SBA.
- Leverage government Shared Services in Cybersecurity, IT Investment Management, and HSPD-12 (Credentialing and Access).

SBA will measure progress by regularly monitoring:

- SBA Strategic Plan capabilities implemented.
- Savings achieved via saved from Joint Investment Proposals.
- Investments delivered within 10% of budget and schedule.
- Customer satisfaction with technology rollouts.

OBJECTIVE 2.2: *Formalize service level accountability to ensure results, on time and on budget.*
TARGET OUTCOME: *Improved efficiency in IT investments and program operations.*

To achieve this objective, SBA will:

- Leverage service catalog and Service Level Agreements to maximize results.
- Follow proven program management approaches (SDLC, SOPs, Configuration Management).

SBA will measure progress by regularly monitoring:

- Performance against SLAs periodically.
- Quality Assurance – ensure SDLC processes are tailored and followed.

> **OBJECTIVE 2.3:** *Integrated IT Acquisition.*
> **TARGET OUTCOME:** *Increased customer satisfaction with IT acquisition process, as measured by IT acquisition time, budget, and results.*

To achieve this objective, SBA will:
- Standardize IT configuration for the Agency.
- Integrate Acquisition earlier in the planning process for each Program Office.

SBA will measure progress by regularly monitoring:
- On time, on budget, and on target IT acquisitions.
- Customer Satisfaction with IT acquisition process (i.e. Acquisition transparency, early involvement).
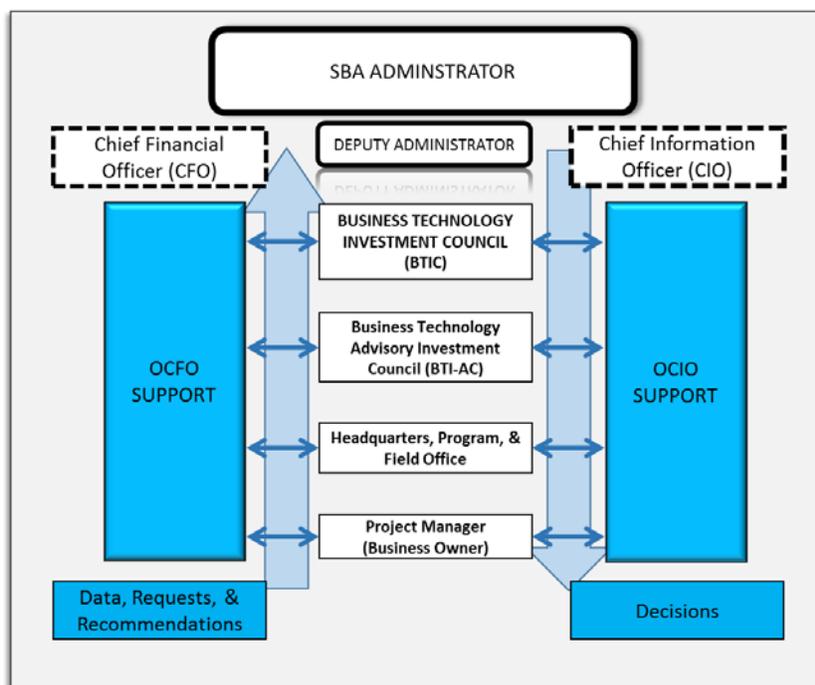
2.2. Advancing Agency Performance Goals (BXXC)

The current Office of the Chief Information Officer (OCIO) Standard Operating Procedures (SOP) was updated by team members to incorporate the inclusion of TechStat and PortfolioStat into IT procedures. This current version of the SOP states that the SBA CIO is responsible for information and information technology (IT) management, including oversight, standards, funding, resource management, and project management in order to support the Agency's mission, goals, and objectives. The SOP has now been updated to include additional verbiage explicitly reflecting the CIO's authorities over SBA commodity IT, as mandated by OMB.

3. Governance and Management Processes

3.1. Scope of Governance Process (CXXA), Involvement of Agency Stakeholders (CXXB), Valuation Methodology (CXXC) and Investment Assessment Process (CXXE)

SBA IT portfolio governance provides the framework for the decision-making and accountability required to ensure IT investments meet the Agency's strategic and business objectives, and respond to priorities in an efficient, effective, and dynamic manner.

The SBA IT portfolio governance process is structured to facilitate a bottom-up flow of information from the investment, through the structure, to the appropriate decision-maker(s), with a corresponding top-down flow for decisions from the lowest level decision-making body – with appropriate authority – to the investment. Two primary agency-level review boards, the Business Technology Investment Council (BTIC) and the Business Technology Investment Advisory Council (BTI-AC), facilitate information flow and provide executive oversight of SBA's IT investments planning and management and facilitate compliance with guidance from Congress, OMB, and GAO. These boards are also central to SBA's annual budget planning and formulation processes. The SBA CIO and the CFO co-chair the BTIC. All program offices are represented at both levels of the governance process, with representation from SBA's field infrastructure as well. Having participation across the Agency ensures that everyone has a voice and an opportunity to vet any proposed investments and monitor existing investment performance to ensure that expected return on investment is achieved and IT spending in the Agency comports with SBA's dynamic mission. In addition to the existing BTIC and BTI-AC governance bodies, SBA has incorporated OMB's TechStat reviews for any investments that have been identified by the CIO as underperforming (e.g., schedule delays, cost overruns, etc.).

In addition to the BTIC and the BTI-AC, the Enterprise Architecture Working Group (EAWG) and the Enterprise Architecture Review Board (EARB) are essential aspects of the SBA governance process. These bodies ensure that EA Alignment Methodology is utilized and EA content is used in projects to deliver value. The SBA Chief Architect plays an active role in these bodies during the IT governance process by ensuring alignment with the SBA IT Architecture, and by

participating in the various review processes of the investment business cases and required artifacts. The OCIO Resource Request Process (ORRP) is used to govern changes or updates to the SBA EA, standard IT products, standard IT specifications, as well as governing IT investments and IT projects.

As SBA continues to work to fully implement the PortfolioStat, the Agency plans to leverage existing governance processes and practices to ensure there is continued vigor in our assessments of underperforming investments and sustained efforts to identify opportunities to optimally consolidate possible duplicative investments within the overall portfolio. During our review of current governance practices for the development of this Action Plan, SBA identified an opportunity for improvement.

There is an opportunity for improvement in the development of formal policies and SOPs that define the integration between the capital planning and investment control (CPIC) and the SBA governance processes. These policy documents are currently being drafted and will be vetted across the Agency to ensure concurrence, awareness, and approval. Moving forward, the CIO and CFO, as co-chairs of the BTIC, will continue to engage all key stakeholders within the entire governance process to ensure all necessary parties meet their fiduciary responsibilities and provide support to vigorously monitor, manage, and control the SBA IT portfolio.

3.2. Alignment with SBA Goals and Priorities (CXXD)

SBA utilizes strategic alignment between Agency and SBA IT Goals to ensure that business processes, technology, data, applications, and security are aligned with Management's objectives.

3.3. Investment Decision Coordination (CXXF) and IT Strategic Sourcing Plan (CXXG)

SBA plans to achieve consolidation of commodity IT through a structured process to identify opportunities to reduce costs and to increase efficiency in the acquisition and management of technology products and services. The Agency plans to develop IT commodity catalogs supported by agency or government-wide agreements in order to more fully leverage buying power. SBA's commodity IT is currently acquired using approximately 80 contracts and 10 enterprise agreements.

*The SBA accounting system reflects the following commodity IT spending for FY 13:

Commodity	Dollar Amounts
Telecommunications	32,608
Cellular Equipment/Services	555,199
IT Equipment	267,765
IT Services and Supplies	25,840,166
Software Licenses	4,106,483
Data Centers	0
Total Commodity IT	30,843,221

*This amount reflects OCIO's direct responsibility

*The SBA accounting system reflects the following commodity IT projected spending for FY 14:

Commodity	Dollar Amounts
Telecommunications	105,500
Cellular Equipment/Services	700,000
IT Equipment	1,350,000
IT Services and Supplies	26,751,672
Software Licenses	4,275,342
Data Centers	0
Total Commodity IT	33,182,514

*This amount reflects OCIO's direct responsibility

To establish IT commodity catalogs, the following activities will be completed:
- Create an internal team within the Agency that manages and works with program offices on enterprise-wide IT commodity procurements.
- Define Commodity IT and the appropriate criteria to be used at SBA to fully implement OMB's policy instructions.
- Within the categories identified above, develop acquisition plans to consolidate the commodities required by the Agency.
- Working with SBA's CIO and CFO, identify all current IT contracts that comprise Commodity IT and confirm their values and establish the baseline commodity funding plan, to include targeted reductions.
- Evaluate and utilize to the extent practicable, existing agency and government-wide contracts for cost savings opportunities.
- Working with the CFO and CIO, identify new and modify existing agency-wide agreements that are needed to fulfill IT commodity requirements and initiate contracting activities.
- Establish internal SBA IT commodity catalogs that include access to all SBA shared-service agreements and MOUs that can be used by all SBA program offices.
- Formalize delegations of authority and service agreements between the CIO and other SBA components that may be authorized to administer Commodity IT on behalf of and under the authority of the CIO.
- Ensure utilization of small business contracts to the maximum extent practicable.

4. CIO Authority

4.1. Implementing CIO Authority through Agency Policies and Procedures (DXXA)

The CIO at SBA has been charged with ensuring that the Organization be at the forefront of technology and support the organizational movement to "do more with less". The Agency has made tremendous strides in incorporating more vigor into new and existing governance processes and has proactively sought opportunities across the Federal Government to leverage shared services to minimize costs and to prevent the continuation of the development of homegrown, proprietary solutions to meet IT needs. Through this process, SBA has established numerous service relationships with other Federal agencies and has formalized these relationships with a set of interagency agreements that will permit SBA to secure shared services through these Federal partners. These partners include: the Department of Homeland Security, the Department of Commerce, the General Services Administration, the Department of the Treasury, the Office of Personnel Management, the Department of Agriculture, and the Department of Transportation.

In accordance with OMB Memorandum 12-10, beginning in 2014, SBA will conduct an annual agency-wide IT portfolio review using PortfolioStat. This approach allows the evidence-based review of IT investment data to identify potential duplications and misalignments with Agency missions and business functions.

In support of SBA, the CIO is charged with overseeing and guiding the following activities:

- IT Governance
- IT Program Management and Services
- Information Security
- Enterprise Architecture
- Commodity IT Spending
- IT Acquisitions

5. Cybersecurity Management

5.1. Alignment with Cybersecurity Priorities (EXXA)

SBA's Action Plan addresses Cybersecurity priorities; by establishing objectives and target outcomes that SBA will meet to ensure that a high level of service to customers is maintained.

> **OBJECTIVE:** *Identify, prioritize and mitigate risks to SBA IT assets.*
> **TARGET OUTCOME:** *Secure and compliant IT systems throughout SBA.*

To achieve this objective, SBA will:
- Tailor Security practices to ensure protection, while striving for efficiency.
- Further integrate Security into all IT processes.
- Expand the current System Security Information System program.
- Enable effectiveness of Information Security leaders across the Agency.
- Expand system redundancy, where appropriate.

SBA will measure progress by regularly monitoring:
- Security attacks/breaches.
- Implementation of Cross-Agency Priority (CAP) Goals.
- FISMA and FMFIA Compliance.
- SBA Program Office satisfaction with Security program.

The SBA Information Security Program identifies, mitigates, and monitors incidents on an ongoing basis. Federal Information Processing Standard (FIPS) 200, Minimum Security Requirements for Federal Information and Information Systems, along with various Office of Management and Budget (OMB) memoranda specify the minimum security requirements all federal agencies must follow. SBA is fully committed to implementing these requirements relative to Mission needs.

SBA plans to consolidate, streamline, and greatly enhance the effectiveness of its IT security program through continuous monitoring, which will facilitate the ongoing awareness of security, vulnerabilities, and threats to support organizational risk management decisions. These plans align with current OMB and SBA IT Security goals, and are in compliance with industry-wide IT security best practices, which mirror those administered by our Nation's financial institutions.

SBA has implemented, or is planning to implement, the following consolidated functions Agency-wide:
- **Asset Management:** SBA is in the process of implementing an enterprise-wide asset management solution. The centralized SBA asset management function will support the management of a hardware and software inventory baseline by documenting, tracking, and discovering Agency-responsible IT assets; and to identifying unauthorized IT assets.
- **Configuration Management:** SBA is in the process of implementing an enterprise-wide configuration management solution. The centralized SBA function will support the management of a security configuration baseline by documenting and tracking

compliance with Agency-specified security configuration settings and software patches. This includes system functions that provide continuous near real-time detection and alerting of unauthorized changes to baseline configurations for hardware, software, user access, and security controls for perimeter defense.

- **Vulnerability Management:** SBA has a centralized vulnerability management function that is used to discover, identify, and locate known security vulnerabilities and software weaknesses and support the understanding of their associated potential exposure risks.
- **Malware Detection Function:** SBA has an enterprise-wide centralized malware detection function that is used to discover, identify, characterize, and locate known malware for supporting an agency's incident response process.
- **Situational Awareness Analysis and Report Function:** SBA has an enterprise-wide centralized analysis and reporting function that is used to collect, associate, compile, and report metrics that support analysis in the understanding of the security posture in terms of IT security governance and operational effectiveness.

Per DHS guidance, the purpose of the Trusted Internet Connection (TIC) Initiative, as outlined in OMB Memorandum M-08-05, is to optimize and standardize the security of individual external network connections currently in use by federal agencies, including connections to the Internet. SBA is on track with this initiative and continues to work to consolidate its remaining Internet connections into a TIC.

5.2. Continuity of Operations (EXXB)

There are seven Mission Essential Functions, upon which all SBA national COOP planning is based. The list below serves as the organizing focus for all SBA continuity planning at all levels: Headquarters, centers, and district offices.

- Declare disasters, process applications for disaster loans from individuals and businesses, and disburse approved loans.
- Issue acceptance letters to procuring Federal agencies in response to offering letters submitted under the 8(a) Business Development Program and negotiate and execute 8(a) contracts.
- Service and liquidate all SBA direct and guaranteed loans made pursuant to the Small Business Act and also service and manage SBA surety bond guarantees issued pursuant to the Small Business Investment Act.
- Process and approve SBA-guaranteed loans made by delegated and non-delegated lenders pursuant to Section 7 (a) of the Small Business Act. Process and approve loans made by Certified Development Companies pursuant to Section 504 of the Small Business Investment Act. Approve and administer SBA surety bond guarantees pursuant to Section 411 of the Small Business Investment Act.
- Receive, evaluate, and forward for disbursement of valid requests for payment from resource partners.

- Issue Approval Notices for Small Business Investment Companies to allow for investments in small businesses.
- Approve the repurchase of debentures pursuant to SBA's guarantee upon demand.

6. Workforce

6.1. IT Human Capital Planning (FXXA)

As previously stated in section 4, SBA IT Goal objectives were established to measure goal performance. SBA IT Goal 3 focuses on providing a knowledgeable SBA IT workforce to customers, and the Goal 3 objectives offer action steps to meet this goal.

Goal 3: Improve the skillset and flexibility of SBA IT workforce to meet Agency Goals. Target Measure for Goal 3: SBA needs for resources in core technologies are identified and met.

> **OBJECTIVE 3.1:** *Invest in customer service capabilities, including knowledge of business operations and program management fundamentals*
> **TARGET OUTCOME:** *IT workforce is knowledgeable about SBA business operations and systems.*

To achieve this objective, SBA will:
- Cross-train staff in critical functions of each Program Office and supporting systems.
- Assign IT/Business liaisons with rotational programs to understand, capture, and define business requirements for each Program Office.
- Invest in project management fundamentals training.

SBA will measure progress by regularly monitoring:
- Customer satisfaction with the IT workforce (i.e., Does the SBA IT staff know my business and technology? Do they help me in a timely way?)

> **OBJECTIVE 3.2:** *Formalize SBA IT competency development program to expand impact of training investments. Prepare workforce to meet evolving Program needs by broadening expertise.*
> **TARGET OUTCOME:** *IT training and competency levels are tracked and managed.*

To achieve this objective, SBA will:
- Align the IT career path with OPM job classifications.
- Identify key skill areas and develop training programs focused around key technologies.
- Establish a workforce management capability to forecast workload and ensure qualified resources are available.
- Leverage training programs from other agencies (PTO/GSA) to enable increased teleworking/mobility.

SBA will measure progress by regularly monitoring:
- The number of SBA IT resources enrolled in the IT Career Path.
- The number of skill gaps identified and filled in key areas (i.e. project management and core SBA technologies).

SBA's agency and IT objectives to invest in employees and improve their skillset is supported by the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM) program and the Leadership Development Program launched by the SBA's Office of Human Resources Solutions (OHRS).

The FAC-P/PM program is a common certificate program that establishes the necessary competency, training, and experience requirements for program and project managers in civilian agencies to become certified to manage the acquisition-related aspects of projects. There are three levels of certification within the program dependent on the training and experience required to manage different types of acquisitions: Level One is Entry/Apprentice, Level Two is Mid-level/Journeyman, and Level Three is Senior/Expert.

The certification program is available to all members of the federal acquisition workforce. The program is available to the SBA workforce as follows:

- Individuals with significant program or project management responsibility in one or more phases of the acquisition investment process (initiation, conceptualization/design, development, implementation, modification, maintenance, evaluation, and disposal).
- Managers with the authority and responsibility for overseeing multiple phases of the acquisition investment process.
- Individuals with the responsibility of leading cross-agency or acquisition investment programs for a major portion or for the complete investment life-cycle.
- Individuals responsible for leading, coordinating, and/or managing integrated project teams for acquisition investment.
- Individuals acting as a program or project manager on an integrated project team or during the phase of the acquisition investment lifecycle.

The Leadership Development Program is available to SBA employees to encourage career growth and improve skillsets. Through this program, SBA will select and train approximately 200 aspiring leaders throughout the Organization in order to boost critically-needed competencies in leadership, project management, and decision support. Employees are selected for the training based upon an application process. The Leadership Development Program is designed to provide training experiences in three key areas:

- **Leadership Development**—Executive development courses at local training institutions, as well as in residency programs at Office of Personnel Management (OPM) facilities in Shepherdstown, WV; Denver, CO; and the Federal Executive Institute in Charlottesville, VA. This program focuses on developing the trainee's key leadership core qualifications for application at all grade levels, including as senior executives.
- **Project Management**—Courses and programs that lead to competencies in project management, including requirements specification, stakeholder management, communications, and risk analysis and mitigation.
- **Decision Support**—Courses and programs that lead to competencies in spreadsheet development and analysis, presentation delivery, development of decision support datasets, business intelligence, and dash boarding.

7. Managing Information as an Asset

7.1. Supporting Interoperability and Openness (GXXA)

OCIO will be in a better position to support program office knowledge worker support needs by developing, deploying, and supporting a set of application services that align with the business needs of the Agencies' knowledge workers.

Appropriate solutions will be recommended over time to support program office needs. These recommended solutions are often owned by one part of the Agency and could be shared with others. Preferred solutions would also be interoperable – that is, information gathered and analyzed under one tool would be readily available to all other parts of the knowledge worker tool suite just as tables or pictures produced in Word® can be accessed or pasted into other Microsoft Office® products, such as PowerPoint®. Deployments of these enhanced infrastructure services will provide direct benefits to end users:

- Improved knowledge worker performance and quality as best practices and related tools are used more widely throughout the Agency.
- Improved knowledge worker efficiency as interoperable tools reduce staff needs to perform extra work to link data and work products across independent tools or products.
- Reduced software licenses and support costs as redundant tools are replaced over time by common solutions, and reduced program office burden as staff no longer needs to explore, test, select, and deploy tools on its own.

This future state architecture emphasizes the delivery of solutions through a combination of sharable components rather than through stand-alone systems. On a longer-term basis, these solutions will be incorporated into new or enhanced versions of current systems as the Agency moves to the future state architecture.

7.2. Controlling Accessibility to Personal Information (GXXB)

The Federal Information Security Management Act (FISMA) requires SBA to develop and implement an organization-wide IT Security program to address information security for those information systems that support SBA operations and IT assets of the Organization. SBA implementation of this requirement focuses on Organization-wide information security requirements that are independent of any particular information system and are essential for managing information security programs.

The SBA CIO is responsible for IT Security governance that includes the development, implementation, assessment, authorization, and monitoring of the information security and privacy program management controls. These controls are documented in the current version of the SBA Standard Operating Procedure (SOP) 90 47 3, Information System Security Program, dated August 28, 2012.

In addition, SBA's current IT Security Architecture supports the protections necessary to provide the foundation for securing the information and IT assets that are necessary to achieve the SBA

mission and support the goals of the SBA CIO. The components of the SBA IT Security Architecture include, but are not limited to:

- Policies and procedures
- Encryption
- Malware protection
- Perimeter security to include firewalls, IDS, etc.
- Web content filtering
- Email security
- Server and client security
- Vulnerability and flaw remediation
- External and internal business partner authentication
- Incident response

SBA conducts ongoing, annual reviews of how public-related privacy information is handled within SBA. This process includes the development and review of PIAs, which identify how privacy information is stored and processed within the environment. PIAs also detail the controls that are in place to prevent harm resulting from the loss, misuse, or unauthorized access to or modification of privacy information. In addition, privacy information is only available to personnel with a valid need for the information and controls are evaluated at least annually in accordance with SBA policies and FISMA requirements.

The E-Government Act requires that agencies conduct a Privacy Impact Assessment (PIA) before (i) developing or procuring information technology that collects, maintains, or disseminates information that is in an identifiable form or (ii) initiating a new electronic collection of information that will be collected from 10 or more persons, other than agencies, instrumentalities, or employees of the Federal Government, and will be maintained, or disseminated in an identifiable form, using information technology. PIAs are conducted to ensure that there is no collection, storage, access, use, or dissemination of identifiable information from or about members of the general public and businesses that is not needed nor authorized, and that identifiable information that is collected is adequately protected. PIAs address issues relating to the integrity and availability of data handled by a system.

8. Commodity IT and Shared Services

8.1. Maturing the IT Portfolio (HXXA)

SBA is focusing on a service orientation approach to maturing the IT Portfolio. SBA efforts to improve service have led to the increased use of digital services and automation, building upon the OMB guidance on *Digital Government Strategy*.

Technology and digital services are enablers, but the delivery of services and assistance to customers is considered in the overall SBA mission across all of its functional lines. SBA will continue to improve capabilities and offerings in the following areas: Services, Mobility and Engagement. The two IT initiatives that enhance SBA's delivery of information are:

SBA Mobile Applications:

(1) Dynamic Small Business Search (DSBS) is a search tool that accesses information pooled from internal HubZone, 8(a) as well as from the external System for Award Management (SAM). This system is used by small businesses to increase their visibility to government and business procurement offices searching for small businesses to meet small business contracting goals. The benefit of the DSBS mobile application will allow contracting officers to search for small businesses that meet their supply chain needs from a mobile device. Additionally, small businesses on the go can search for other small businesses for possible partnerships. During customer outreach, it was suggested by small businesses and contracting officers that this would increase efficiency in terms of information-gathering.

(2) The Lender Search Mobility Application is a centralized database containing information on organizations that 'partner' with the Small Business Administration to provide services to the small business community. Phase 1 of the Lender Search mobility application will provide its users with a summary as well as detailed access to organizations that partner with SBA to provide services to the small business community.

8.2. Reinvesting Savings from Commodity IT Consolidation (HXXB)

SBA is planning to reinvest savings from commodity IT in the area of email through the shift of SBA email, calendar, and contacts from an in-source model, where SBA owns and operates a heavy on-site infrastructure, to Federal cloud-based Email as a Service (EaaS) offerings from the General Services Administration (GSA). Many Federal agencies and departments are moving toward an outsourced, managed service via the Federal cloud. There are significant operational efficiencies, cost efficiencies, improved infrastructure, improved capabilities, and improved capabilities for a mobile workforce.

8.3. Maximizing Use of Inter- and Intra-Agency Shared Services (HXXC)

SBA has identified two IT areas for shared service: eCPIC and financial reporting automation. SBA has migrated to GSA's eCPIC solution as well as to the use of Microsoft Project® for IT OMB Exhibit 53 and 300 budget submissions. SBA has worked with Commerce's NTIS from taking a manual process to prepare and report financial disclosures (STOCK Act) to using an automated

tool. This move has improved overall performance, speed of data gathering, accuracy, and lower costs as it takes less time to gather and report financial data.

Additionally, SBA is a strong advocate for inter-agency shared services with eGovernment initiatives. Almost half of these initiatives, Benefits.gov, E-Rulemaking, Financial Management L0B (combined with Grants.gov), Geospatial LOB, and Integrated Acquisition Environment are managed by the OCIO, while Budget Formulation and Execution, Business Gateway, Disaster Assistance Improvement Plan, EHRI, E-Training, E-Travel, USAJobs, and USA.gov are all supported by additional SBA offices.

9. Accessibility

9.1. Creating a Diverse Work Environment (IXXA)

SBA is committed to building and maintaining a diverse environment, integrating accessibility considerations into IT processes, and developing workforce skills to support Section 508 requirements. The goal of SBA's CIO is to provide cost-effective, reliable, and accessible IT products and services to promote a diverse workforce and to encourage communication and collaboration between employees, stakeholders, and the public.

As more individuals with disabilities join the Federal workforce, it is imperative that SBA remain effective and responsive to a well-prepared and skilled workforce while providing equal access to Federal government information technology and data. An essential component of such access is to ensure that all electronic and information technology (EIT) developed, procured, maintained, and used within the Organization be accessible to individuals with disabilities as mandated by Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. § 794d), as amended, the Access Board standards, and other Federal laws and regulations.

SBA employees perform a variety of duties requiring highly-skilled and unique abilities to support the Agency and its services. Employees are challenged by a decentralized organization and the demands of technology and knowledge management. To address these challenges, SBA is focused on improving key areas that will allow individuals of all abilities to work, interact, and develop into leaders to promote recruitment, improve retention, promote employee development, and maintain an exceptional workforce.

9.2. Integrating Accessibility into IT Processes (IXXB)

SBA's vision for a highly-skilled, diverse workforce includes a strategy that uses multiple background factors as tools for competition and workforce development. Differences in background, education, and experience contribute to the varied perspectives in the workplace and create a dynamic environment for higher performance and success in achieving Mission goals. The diversity of the workforce requires the SBA CIO to focus on accessibility of EIT that is being developed, procured, maintained, or used. Consistent and close collaboration is vital to employees who define requirements, acquire and manage goods and services, and develop information. It is critical that Section 508 requirements be considered throughout the acquisition and information technology life cycles in order to provide the tools and technology that support a diverse Federal workforce.

To date, SBA has made major strides in the implementation of IT services that directly support Section 508 compliance, through implementing stringent 508 compliance requirements as part of all technical and product evaluations. Office automation tools such as Microsoft Office®, and Lync® as well as collaboration tools such as SharePoint® have been all evaluated for 508 compliance and the Organization has developed an intranet and collaboration site in complete compliance with Section 508.

9.3. Building Workforce Skills to Support Section 508 Compliance (IXXC)

SBA is committed to the continuous development of a skilled workforce that can support Section 508 compliance. The Agency is currently establishing a committee to focus on 508 compliance, which will develop a plan of action for SBA to consistently monitor and ensure 508 compliance. The group and membership status is to be decided, but the establishment of this group is based on the purpose and intent to grow 508 awareness within the Agency and develop a more mature process for adopting 508-compliant services and applications.