Small Business Administration Information Technology Strategic Plan (ITSP)

2012-2016

Leveraging SBA IT resources to support America's small businesses

U.S. Small Business Administration

SBA

Your Small Business Resource

Message from the Chief Information Officer

The Small Business Administration (SBA) Information Technology (IT) 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 IT Strategic Plan directly aligns with goals from the SBA Strategic Plan. The plan also incorporates significant elements of the *25 Point Implementation Plan to Reform Federal IT Management*. Our framework follows the approach of the *25 Point Plan* by building efficient IT management practices and guiding the use of IT resources for decision making, rather than focusing on specific technologies and initiatives.

This IT 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 two 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 owner's need to grow their businesses, create jobs, and increase global competitiveness.

Paul T. Christy   Eric Won
Small Business Administration   Small Business Administration
Chief Information Officer   Deputy Chief Information Officer

Information Technology at SBA

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, the SBA gives small business owners the tools they need to strengthen our economy, drive American innovation, and increase our global competitiveness[1].

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 $90B in capital, including a network of over 3000 lending partners for the 7(a) loan program.
- Mentoring, training and coaching for over 1.5 million entrepreneurs through a network of more than 1400 locations and 700 counselors, as well as a relevant, regularly refreshed 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.
- Up to $11B a year in disaster recovery assistance loans.
- Processing of disaster loan applications for homeowners and business owners within target number of days after catastrophic disasters.

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 Technology Strategic Plan (ITSP) is to guide the use of SBA IT[2] 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 ITSP focuses on the critical practices SBA IT Leaders have identified to ensure the continued success of IT investments. Much like the White House's *25 Point Implementation Plan to Reform Federal IT Management*, the SBA ITSP will focus less on specific technologies and initiatives, and more on the ongoing IT management practices that weave the efficient, successful use of IT resources into our day-to-day decisions. SBA's need to fulfill 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.

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[1] SBA Strategic Plan. FY 2011-2016.
[2] 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.

- **Push to exploit opportunities to use IT resources more efficiently** – the recent establishment of a *25 Point Plan to Reform Federal IT Management* points to an ongoing effort to achieve efficiencies.
- **Rapid development of new technology** – an ever changing technology landscape has led to 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.

To execute the business capabilities, given the landscape described above, SBA's IT Leaders have set the following goals:

Goal 1: Optimize and maintain a reliable, secure, high performing IT infrastructure to support business needs.
IT infrastructure is the foundation for all SBA operations. Understanding and meeting current and anticipated program office needs for infrastructure performance is the highest IT priority. Secure data and IT assets to protect against risks and ensure 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 in ensuring evolving SBA program goals. Knowledge of key existing SBA technologies is critical.

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.

The IT goals in the SBA ITSP align with and support both the SBA goals from the SBA Strategic Plan FY2011-2016, and OMB's 25 Point Plan to Reform Federal IT Management. IT *Goal 1* includes focus on IT infrastructure and IT security, which are critical in the delivery and growth of SBA programs. IT *Goal 2* includes focus 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.

The alignment between SBA *IT Goals* and SBA Strategic Goals is illustrated in Figure 1.

ITSP Goals support SBA's Strategic Goals by including focus on:

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.

- **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 through SBA's extensive lending network.
- Ensure federal contracting goals are met…
- Strengthen SBA's entrepreneurial education, counseling and training resources….
- Ensure that SBA's disaster assistance resources… can be deployed quickly, effectively/efficiently...
- …drive innovation and job creation through the agency's existing programs and new initiatives.
- Strengthen outreach to underserved communities…

Goal 2: Building an SBA that meets needs of today's & tomorrow's small businesses

- Strengthen SBA's core programs and operations to ensure that they are high performing, effective…
- Invest in SBA's employees so they can more effectively serve small businesses.
- Mitigate risk to taxpayers and improve oversight across SBA programs.

Goal 3: Serving as the voice for small business

- Collaborate with other agencies to strengthen the delivery of programs, resources and services.
- Foster a small business-friendly environment by encouraging Federal Agency awareness …
- Promote the availability, analysis, …of the most current, accurate...statistics…on small business

Figure 1: SBA IT goals and SBA strategic goals alignment.

The SBA *IT Goals* also directly support OMB's *25 Point Plan to Reform Federal IT Management*, as illustrated below in Figure 2.

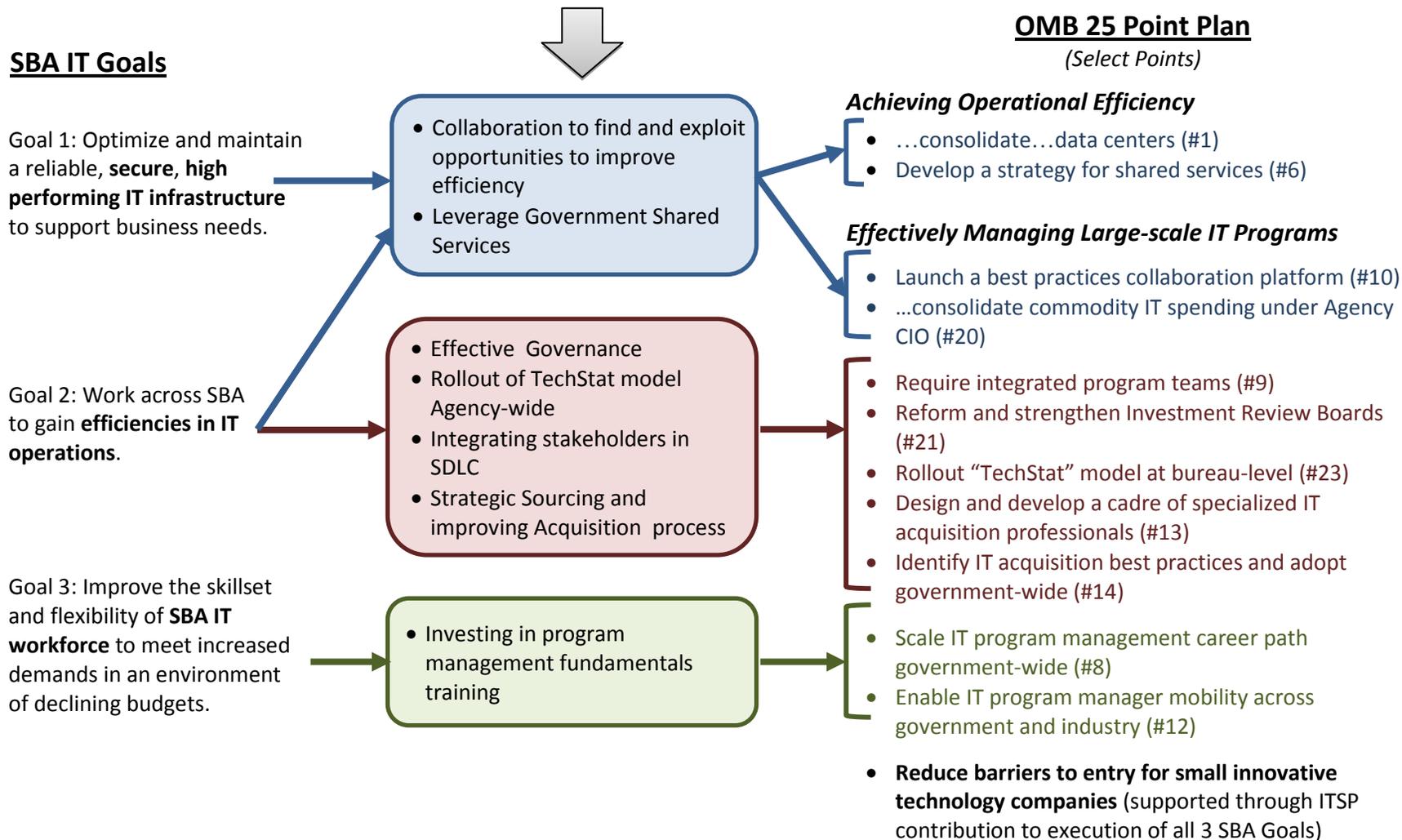## ITSP Goals support OMB's 25 Point Plan
by including focus on:

SBA IT Goals

OMB 25 Point Plan
(Select Points)

Goal 1: Optimize and maintain a reliable, **secure**, **high performing IT infrastructure** to support business needs.

- Collaboration to find and exploit opportunities to improve efficiency
- Leverage Government Shared Services

Achieving Operational Efficiency

- …consolidate…data centers (#1)
- Develop a strategy for shared services (#6)

Effectively Managing Large-scale IT Programs

- Launch a best practices collaboration platform (#10)
- …consolidate commodity IT spending under Agency CIO (#20)

Goal 2: Work across SBA to gain **efficiencies in IT operations**.

- Effective Governance
- Rollout of TechStat model Agency-wide
- Integrating stakeholders in SDLC
- Strategic Sourcing and improving Acquisition process

- Require integrated program teams (#9)
- Reform and strengthen Investment Review Boards (#21)
- Rollout "TechStat" model at bureau-level (#23)
- Design and develop a cadre of specialized IT acquisition professionals (#13)
- Identify IT acquisition best practices and adopt government-wide (#14)

Goal 3: Improve the skillset and flexibility of **SBA IT workforce** to meet increased demands in an environment of declining budgets.

- Investing in program management fundamentals training

- Scale IT program management career path government-wide (#8)
- Enable IT program manager mobility across government and industry (#12)

- **Reduce barriers to entry for small innovative technology companies** (supported through ITSP contribution to execution of all 3 SBA Goals)

Figure 2: SBA IT goals and OMB 25 Point Plan alignment.

SBA IT Goals, Objectives, and Measures

Goal 1: Optimize and maintain a reliable, secure, high performing IT infrastructure to support business needs

IT Infrastructure is the foundation for all SBA operations. Understanding and meeting current and anticipated Program Office needs for Infrastructure performance is the highest IT priority. Secure data and IT assets to protect against risks and ensure availability, integrity, confidentiality, and continuity of IT resources.
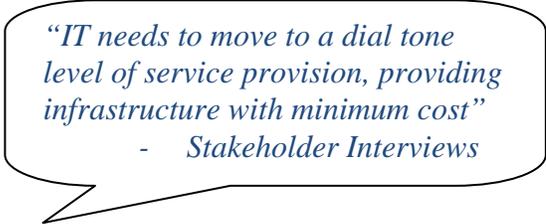
> *"IT needs to move to a dial tone level of service provision, providing infrastructure with minimum cost"*
> - *Stakeholder Interviews*

Target Measure for Goal 1: Infrastructure needs are consistently anticipated and met.

Objective: 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:
- o Network % up time/System response time
- o Unplanned service interruptions
- o Customer Satisfaction with Infrastructure performance

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.
- Integrate Security into all IT processes
- Develop a robust System Security Information System.
- Enable effectiveness of ISSO roles across SBA

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

Goal 2: Work across SBA to gain efficiencies in IT operations.

SBA anticipates operating in a fiscally constrained environment with increasing demands from small businesses in an uncertain economy. 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.
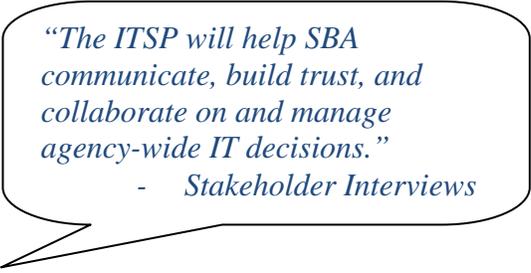
> *"The ITSP will help SBA communicate, build trust, and collaborate on and manage agency-wide IT decisions."*
> - *Stakeholder Interviews*

Target Measure for Goal 2: Technology investments enable the Agency to be more efficient.

Objective: 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:
    - Opportunities to optimize infrastructure investment
    - Proposals considering opportunities with new technologies for new business processes in Mobility, End-user productivity improvements, etc.
    - Opportunities for shared training investment.
    - Standardized maintenance calendars
    - 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 our progress by regularly monitoring:
- o SBA Strategic Plan capabilities implemented
- o Savings achieved via saved from Joint Investment Proposals
- o Investments delivered within 10% of budget and schedule
- o Customer satisfaction with technology rollouts

Objective: 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 our progress by regularly monitoring:
- o Performance against SLAs periodically
- o Quality Assurance – ensure SDLC processes are tailored and followed

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Objective: 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 our progress by regularly monitoring:
- o On time, on budget, and on target IT acquisitions
- o Customer Satisfaction with IT acquisition process (i.e. Acquisition transparency, early involvement)

Goal 3: Improve the skillset and flexibility of SBA IT workforce to meet Agency Goals.

SBA will invest to prepare IT Staff for future needs. SBA IT staff may play expanded roles in ensuring evolving SBA program goals. Knowledge of key existing SBA technologies is critical.

"We need to develop IT professionals with more relevant, flexible, and new generation skills."

-   IT Working Session

Target Measure for Goal 3: SBA needs for resources in core technologies are identified and met.

Objective: 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 program to understand, capture, and define business requirements for each Program Office
- Invest in project management fundamentals training.

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

Objective: 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 IT career path with OPM job classifications
- Identify key skill areas and develop training program focused around the key technologies
- Establish 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 our progress by regularly monitoring:
- o Number of SBA IT resources enrolled in the IT Career Path
- o Number of skill gaps identified and filled in key areas (i.e. project management, core SBA technologies)