

U.S. Small Business Administration
FY 2018 CONGRESSIONAL BUDGET JUSTIFICATION
AND
FY 2016 ANNUAL PERFORMANCE REPORT

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Appendix 1 – Appropriations Language

SALARIES AND EXPENSES

For necessary expenses, not otherwise provided for, of the Small Business Administration, including hire of passenger motor vehicles as authorized by sections 1343 and 1344 of title 31, United States Code, and not to exceed \$3,500 for official reception and representation expenses, \$265,000,000: *Provided*, That the Administrator is authorized to charge fees to cover the cost of publications developed by the Small Business Administration, and certain loan program activities, including fees authorized by section 5(b) of the Small Business Act: *Provided further*, That, notwithstanding 31 U.S.C. 3302, revenues received from all such activities shall be credited to this account, to remain available until expended, for carrying out these purposes without further appropriations: *Provided further*, That the Small Business Administration may accept gifts in an amount not to exceed \$4,000,000 and may co-sponsor activities, each in accordance with section 132(a) of division K of Public Law 108–447, during fiscal year 2018: *Provided further*, That \$6,100,000 shall be available for the Loan Modernization and Accounting System, to be available until September 30, 2019.

OFFICE OF INSPECTOR GENERAL

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Act of 1978, \$19,900,000.

OFFICE OF ADVOCACY

For necessary expenses of the Office of Advocacy in carrying out the provisions of Title II of Public Law 94–305 (15 U.S.C. 634a et seq.) and the Regulatory Flexibility Act of 1980 (5 U.S.C. 601 et seq.), \$9,120,000, to remain available until expended.

ENTREPRENEURIAL DEVELOPMENT PROGRAM

For necessary expenses of programs supporting entrepreneurial and small business development, \$192,450,000, to remain available until September 30, 2019: *Provided*, That \$110,000,000 shall be available to fund grants for performance in fiscal year 2018 or fiscal year 2019 as authorized by section 21 of the Small Business Act: *Provided further*, That \$25,000,000 shall be for marketing, management, and technical assistance under section 7(m) of the Small Business Act (15 U.S.C. 636(m)(4)) by intermediaries that make microloans under the microloan program: *Provided further*, That \$10,000,000 shall be available for grants to States to carry out export programs authorized under section 22(l) of the Small Business Act (15 U.S.C. 649(l)) to assist small business concerns.

DISASTER LOANS PROGRAM ACCOUNT (INCLUDING TRANSFERS OF FUNDS)

For administrative expenses to carry out the direct loan program authorized by section 7(b) of the Small Business Act, \$186,458,000, to be available until expended, of which \$1,000,000 is for the Office of Inspector General of the Small Business Administration for audits and reviews of disaster loans and the disaster loan programs and shall be transferred to and



merged with the appropriations for the Office of Inspector General; of which \$176,458,000 is for direct administrative expenses of loan making and servicing to carry out the direct loan program, which may be transferred to and merged with the appropriations for Salaries and Expenses; and of which \$9,000,000 is for indirect administrative expenses for the direct loan program, which may be transferred to and merged with the appropriations for Salaries and Expenses.

BUSINESS LOANS PROGRAM ACCOUNT (INCLUDING TRANSFER OF FUNDS)

For the cost of direct loans, \$3,438,172, to remain available until expended: *Provided*, That such costs, including the cost of modifying such loans, shall be as defined in section 502 of the Congressional Budget Act of 1974: *Provided further*, That subject to section 502 of the Congressional Budget Act of 1974, during fiscal year 2018 commitments to guarantee loans under section 503 of the Small Business Investment Act of 1958 shall not exceed \$7,500,000,000: *Provided further*, That during fiscal year 2018 commitments for general business loans authorized under section 7(a) of the Small Business Act shall not exceed \$29,000,000,000 for a combination of amortizing term loans and the aggregated maximum line of credit provided by revolving loans: *Provided further*, That during fiscal year 2018 commitments for loans authorized under subparagraph (C) of section 502(7) of The Small Business Investment Act of 1958 (15 U.S.C. 696(7)) shall not exceed \$7,500,000,000: *Provided further*, That during fiscal year 2018 commitments to guarantee loans for debentures under section 303(b) of the Small Business Investment Act of 1958 shall not exceed \$4,000,000,000: *Provided further*, That during fiscal year 2018, guarantees of trust certificates authorized by section 5(g) of the Small Business Act shall not exceed a principal amount of \$12,000,000,000. In addition, for administrative expenses to carry out the direct and guaranteed loan programs, \$152,782,000, which may be transferred to and merged with the appropriations for Salaries and Expenses.

ADMINISTRATIVE PROVISIONS (INCLUDING TRANSFER OF FUNDS)

Sec. 520 Not to exceed 5 percent of any appropriation made available in this title for the Small Business Administration may be transferred between such appropriations upon the advance notification to the Committees on Appropriations of the House of Representatives and the Senate: Provided, That no transfer under this section may increase any such appropriation by more than 10 percent.

Sec. 521 For loans and loan guarantees that do not require budget authority and the program level has been established in this Act, the Administrator of the Small Business Administration may increase the program level for such loans and loan guarantees by not more than 15 percent: Provided, That prior to the Administrator implementing such an increase, the Administrator notifies, in writing, the Committees on Appropriations and Small Business of both Houses of Congress at least 15 days in advance.

Sec. 522 Of the unobligated balances available for the Immediate Disaster Assistance Program authorized by section 42 of the Small Business Act (15 U.S. C. 657n) and the Expedited Disaster



Assistance Loan Program authorized by section 12085 of Public Law 110-246, \$2,600,000 are hereby permanently cancelled: Provided, That no amounts may be cancelled from amounts that were designated by the Congress as an emergency requirement pursuant to the Concurrent Resolution on the Budget or the Balanced Budget and Emergency Deficit Control Act of 1985.

Sec. 523 Section 7(m) of the Small Business Act (15 U.S.C. 636(m) is amended—

(a) in paragraph (4)—

(1) by striking subparagraph (E); and

(2) by redesignating subparagraph (F) as subparagraph (E); and

(b) in paragraph (7), by striking subparagraph (B).

Sec. 524 SMALL BUSINESS DEVELOPMENT CENTER AND WOMEN’S BUSINESS CENTER PROGRAM EVALUATIONS.

(a) Section 21(a)(7)(A) of the Small Business Act (15 U.S.C. 648(a)(7)(A)) is amended by—

(1) striking the word “or” at the end of clause (i);

(2) striking the period at the end of clause (ii) and insert “; “or”; and

(3) adding the following new clause (iii):

“(iii) the Administrator considers such a disclosure to be necessary for the purpose of conducting a program evaluation.”

(b) Section 29(n)(1) of the Small Business Act (15 U.S.C. 656(n)(1)) is amended by—

(1) striking the word “or” at the end of subparagraph (A);

(2) striking the period at the end of subparagraph (B) and insert “; or”; and

(3) adding the following new subparagraph (C):

“(C) the Administrator considers such a disclosure to be necessary for the purpose of conducting a program evaluation.”

Appendix 2 – Data Validation and Verification

Managing for results and integrating performance with budget information require valid, reliable, and high-quality performance measures and data. The SBA conducts data validation as a means of determining if data that are being used are appropriate for the outcome that is being pursued. The SBA data collected and measured truly reflect the performance being measured and have a clear relationship to the mission of the organization. In accordance with the GPRA Modernization Act of 2010, the SBA aligns its annual performance measures with the SBA Mission and three strategic goals within the Agency's FY 2014-2018 Strategic Plan. The verification process assesses data accuracy, completeness, consistency, availability, and internal control practices that serve to determine the overall reliability of SBA processes. The SBA management reviews and approves data validation and certification forms for all performance indicators. These forms are published on www.sba.gov/performance.

The SBA framework for verifying and validating the data include the following actions:

Data Analytics

- *Responding to data limitations.* It is not enough to identify data quality problems. Where there are data limitations, the SBA is working hard to improve quality. In the meantime, the SBA will recognize where there are data limitations and specify the steps being taken to improve the data.
- *Reconciling finances and performance costs.* The SBA will continue to ensure the accuracy of this cost-related performance data by reconciling that information with its financial statements. Achieving this important reconciliation means that the Agency has strengthened the integration of its financial and performance information.

Accountability

- *Fostering organizational commitment and capacity for data quality.* The SBA aims to achieve data quality through 1) training managers to ensure they understand the need for quality data for developing valid performance measures and ensuring data quality, and 2) having managers attest to the quality of the data under their management.
- *Coordinating with a variety of data sources to evaluate performance.* In addition to using output data collected internally from its own systems, the SBA relies on data from resource partners and other federal agencies and local governments to assess its accomplishments and effectiveness.

Quality Control

- *Assessing the quality of existing data.* Audits and reviews ensure the quality of SBA's financial data systems. However, the SBA must assess the quality of



loan and program data provided by its resource partners and will include data verification in its lender and resource partner oversight.

Appendix 3 – SBA Programs and Offices

Office of Advocacy. The Office of Advocacy (OA) is an independent voice for small business within the federal government, the watchdog for the Regulatory Flexibility Act (RFA), and the source of small business statistics. Advocacy advances the views and concerns of small business before Congress, the White House, the federal agencies, the federal courts, and state policy makers.

Office of Capital Access. The Office of Capital Access (OCA) assists small businesses in obtaining capital via the 7(a) loan, Grow/504 loan, and Microloan programs, and bonds through the Surety Bond Guarantee program.

Office of the Chief Information Officer. The Chief Information Officer (OCIO) is responsible for strategic execution and management of Agency-wide functions related to information technology as outlined in the Clinger-Cohen Act (also referred to as the Information Technology Management Reform Act), OMB Circular A-130, “Management of Federal Information Resources,” and the Paperwork Reduction Act of 1995 and subsequent regulatory and policy guidance.

Office of the Chief Operating Officer. The Office of the Chief Operating Officer (OCCO) is charged with leading SBA’s operations to achieve the mission of the Agency. It ensures that the program offices are able to meet their goals and are supported through transparent coordination of human resources, information technology, facilities, disaster planning, risk management, security, and grants management.

Office of Communications and Public Liaison. The Office of Communications and Public Liaison (OCPL) communicates the Agency’s programs and priorities to small businesses, resource partners, and the public at large by working with media outlets, developing social media content, creating user-friendly online resources, crafting high-quality marketing materials, organizing events to gain feedback from small businesses, and coordinating strategic partnerships.

Office of Congressional and Legislative Affairs. The Office of Congressional and Legislative Affairs (OCLA) assist in the development of SBA legislative programs and serves as the communications focal point on legislation and congressional activity. It monitors legislation and policies introduced by Congress and government agencies to determine their effects on the SBA and small business and serves as liaison with legislative personnel at the White House, Office of Management and Budget, and other federal agencies.

Office of Credit Risk Management. The Office of Credit Risk Management (OCRM) is responsible for managing program credit risk, monitoring lender performance, and enforcing lending program requirements.

Office of Disaster Assistance. The Office of Disaster Assistance (ODA) is responsible for providing affordable, timely, and accessible financial assistance to businesses of all sizes, private non-profit organizations, homeowners, and renters following a disaster. Financial assistance is available in the form of low-interest, long-term loans. SBA's disaster loans are the primary form of federal assistance for the repair and rebuilding of non-farm, private sector disaster losses.

Office of Diversity, Inclusion, and Civil Rights. The Office of Diversity, Inclusion and Civil Rights (ODICR) champions a diverse workforce and inclusive culture by ensuring equal access and equitable treatment regarding employment and entrepreneurial endeavors. The office oversees equal employment opportunity, civil rights, workforce diversity, and workplace inclusion matters.

Office of Entrepreneurial Development. The Office of Entrepreneurial Development (OED) provides business advising, mentoring, and training assistance through its resource partner network composed of small business development centers, women's business centers, and SCORE, as well as through the Regional Innovation Clusters, Entrepreneurship Education, SBA Learning Center, and Emerging Leaders programs. In addition, SBA's district offices support coordination between resource partners and small business communities.

Office of Entrepreneurial Education. Office of Entrepreneurship Education (OEE) develops and promotes innovative resources for small business owners and prospective entrepreneurs. These resources are designed to assist in the startup, management, and growth of small businesses. Such resources include specialized training sessions, distance learning, written materials, websites, and other means of providing business development, business management, and business growth information. OEE manages initiatives and services that promote entrepreneurial development through SCORE, SBA's Online Learning Courses, Young Entrepreneurs, Financial Literacy, and SBA's Emerging Leaders Initiative.

Office of Field Operations. The Office of Field Operations (OFO) is SBA's front-line operating team and represents the SBA field offices at headquarters. Most SBA programs and services are executed when small businesses connect with their regional, district, and branch offices, which are located in each state and territory.

Office of General Counsel. The Office of General Counsel (OGC) provides comprehensive legal services to the Administrator and all Agency offices. These legal services include advising, analyzing, and interpreting statutes, regulations and other sources of law, as well as drafting legislative, regulatory, and other types of materials.



Office of Government Contracting and Business Development. The Office of Government Contracting and Business Development (GCBD) provide assistance to small businesses competing for federal contracting opportunities through the government-wide prime and subcontracting programs. This includes HUBZone, 8(a) business development, 7(j) technical assistance, women-owned and veteran-owned small businesses, and the Office of Mentor-Protégé. The office also sets size standards for small businesses, which determine the size a business must be to be considered a small business.

Office of Hearings and Appeals. The Office of Hearings and Appeals (OHA) provides an independent, quasi-judicial appeal of certain SBA program decisions. It formally adjudicates disputes rising in numerous jurisdictional areas.

Office of the Inspector General. The Office of Inspector General (OIG) is an independent office within the SBA to conduct and supervise audits, investigations, and other reviews relating to Agency programs and supporting operations; detect and prevent waste, fraud, and abuse; and promote economy, efficiency, and effectiveness in the administration and management of SBA programs. The Inspector General informs the SBA Administrator and Congress of any problems, recommends corrective actions, and monitors progress in the implementation of such actions.

Office of International Trade. The Office of International Trade (OIT) enhances the ability of small businesses to export and compete in the global marketplace by facilitating access to capital, providing technical assistance, ensuring the consideration of small business interests in trade negotiations, and contributing to the U.S. government's international commercial and economic agenda.

Office of Investment and Innovation. The Office of Investment and Innovation (OII) assists high-growth small businesses through tailored programs that drive innovation and competitiveness, which include the Small Business Investment Company, Small Business Innovation Research, Small Business Technology Transfer, and other programs.

Office of National Ombudsman. The Office of the National Ombudsman (ONO) works with all federal agencies that regulate small business to provide a means for businesses to comment on federal government enforcement activity. This includes audits, on-site inspections, compliance assistance efforts, and other enforcement efforts. The office also maintains a five-member Regulatory Fairness Board in each of SBA's ten regions to hold public hearings on small business concerns.

Office of Intergovernmental Affairs. The Office of Intergovernmental Affairs (OIA) facilitates continuous and bilateral communications between the SBA and state and local governments; American Indian, Alaska Native, Native Hawaiian tribal governments; and insular governments.

Office of Performance Management and Chief Financial Officer. The Office of Performance Management and Chief Financial Officer (OPMCFO) oversees Agency strategic planning and performance management, financial management, and acquisitions. It is responsible for Agency disbursements and coordination of budgeting, financial analysis and modeling, and internal controls.

Office of Small Business Development Centers. The Small Business Development Center (SBDCs) program provides technical assistance to current and prospective small business owners. SBDCs offer one-stop assistance to individuals and small businesses by providing a wide variety of information and guidance in central and easily accessible branch locations. The program is a cooperative effort of the private sector, the educational community, and federal, state, and local governments.

Office of Veterans Business Development. The Office of Veterans Business Development (OVBD) ensures availability of small business programs for veterans, service-disabled veterans, reserve component members, and their dependents or survivors. It accomplishes its work through veterans business outreach centers, the Boots to Business program, Entrepreneurship Boot Camp for veterans with disabilities, and partnerships with federal agencies and SBA resource partners.

Appendix 4 – Glossary

7(a) – 7(a) Loan Guaranty Program

7(j) – 7(j) Management and Technical Assistance Program

8(a) – 8(a) Business Development Program

AARP – American Association of Retired Persons

ACSI – American Customer Satisfaction Index

ACVBA – Advisory Committee on Veterans Business Affairs

AFV – Alternate Fuel Vehicle

B2B – Boots to Business

B2B|R – Boots to Business: Reboot

BD – Business Development Program

BDMIS – Business Development Management Information System

BOS – Business Opportunity Specialist

BRAC – Defense Base Closure and Realignment Commission

CA – Community Advantage pilot loan

CAP Goals – Cross-Agency Priority Goals

CBJ – Congressional Budget Justification, an agency’s annual budget request to Congress

CCB – Configuration Change Board

CDC – Certified Development Company

CEB – Corporate Executive Board

CIO – Chief Information Officer

COC – Certificate of Competency

COOP – Continuity of Operations Plan

CMR – Commercial Market Representatives

CRM – Credit Risk Management

DATA Act – Digital Accountability and Transparency Act

DLAP – Disaster Loan Application Portal

DoD – U.S. Department of Defense

DOI – U.S. Department of the Interior

DSBS – Dynamic Small Business System

E³ – Employee Engagement Efforts rubric

EBV – Entrepreneurship Boot Camp for Veterans with Disabilities

ED – U.S. Department of Education

EDWOSB – Economically Disadvantaged Women-Owned Small Business

EEO – Equal Employment Opportunity

EIDL – Economic Injury Disaster Loan

ELA – Electronic Loan Application

EPC – Export Promotion Cabinet

FACA – Federal Advisory Committee Act

FAC-C – Federal Acquisition Certification in Contracting

FAR – Federal Acquisition Regulation



FAR — Field Accountability Review

FAST — Federal and State Technology grants program that supports innovative technology-driven small businesses

FEMA — U.S. Federal Emergency Management Agency

FEVS — **Federal Employee Viewpoint Survey**

FISMA — Federal Information Security Management Act

FPPS — Federal Personnel and Payroll System

FTA — Fiscal Transfer Agent

FTE — Full Time Equivalent; the workload of an employed person; an FTE of 1.0 means that the person is equivalent to a full-time worker, while an FTE of 0.5 means that the worker is only half-time

FY — Fiscal Year; the federal government's fiscal year begins October 1 and ends September 30

GAO — Government Accountability Office

GPRAMA — GPR (Government Performance and Results Act) Modernization Act of 2010

504 — 504 Certified Development Loan Program

GSA — General Services Administration

HCAAF — Human Capital Assessment and Accountability Framework

HUBZone — Historically Underutilized Business Zone

IBC — Interior Business Center

IBP — U.S. Department of Commerce International Buyer Program

IMCP — Investing in Manufacturing Communities Partnership

IPC — Interagency Policy Committee

IT — Information Technology

Jobs Act — Small Business Jobs Act of 2010; may also be referred to as SBJA

LGBT — Lesbian Gay Bisexual Transgender

LINC — Leveraging Information and Networks to access Capital

LOC — Lender Oversight Committee

LMAS — Loan Management and Accounting System

L/LMS — Loan and Lender Monitoring System

LRR/LPR — Lender Risk Rating/Lender Purchase Rating

MCO — Mission Critical Occupation

MOU — Memorandum of Understanding

NAGGL — National Association of Government Guaranteed Lenders

NAICS — North American Industry Code System

NASBP — National Association of Surety Bond Producers

NDAA — National Defense Authorization Act of 2013

NEI/NEXT — National Export Initiative

NIH — National Institutes of Health



NSF – National Science Foundation

NWBC – National Women’s Business Council

OCA – Office of Capital Access

OCFO – Office of the Chief Financial Officer

OCIO – Office of the Chief Information Officer

OCRM – Office of Credit Risk Management

ODA – Office of Disaster Assistance

ODICR – Office of Diversity, Inclusion and Civil Rights

OED – Office of Entrepreneurial Development

OEE – Office of Entrepreneurship Education

OEO – Office of Economic Opportunity

OFA – Office of Financial Assistance

OFO – Office of Field Operations

OFPP – Office of Federal Procurement Policy

OHRS – Office of Human Resources Solutions

OIA – Office of Intergovernmental Affairs

OIG – Office of Inspector General

OII – Office of Investment and Innovation

OIT – Office of International Trade

OMB – U.S. Office of Management and Budget

ONAA – Office of Native American Affairs

ONO – Office of the National Ombudsman

OPM – U.S. Office of Personnel Management

OSDBU – Office of Small and Disadvantaged Business Utilization

OSTP – White House Office of Science and Technology Policy

OVBD – Office of Veteran Business Development

PCR – Procurement Center Representative

PD – Program Development

PFCRA – Program Fraud Civil Remedies Act

PII – Personally Identifiable Information

PMF – Presidential Management Fellows Program

POWER – Partnerships for Opportunity and Workforce and Economic Revitalization

PRIME – Program for Investment in Microentrepreneurs

PTP – SBA Partner Training Portal

R&D – Research and Development

RIC – Regional Innovation Cluster

RISE After Disaster Act of 2015 – Recovery Improvements for Small Entities After Disaster Act of 2015

SAM – System for Acquisition Management



SBA — U.S. Small Business Administration

SBAExpress — Program that provides selected lenders with a 50 percent guaranty on their loans in exchange for the ability to primarily use their own application and documentation forms, making it easier and faster for lenders to provide small business loans of \$250,000 or less

SBDC — Small Business Development Center Program

SBDCNet — National information clearinghouse that provides small business research services to small business development center counselors in all states and territories

SBIC — Small Business Investment Company

SBIR — Small Business Innovation Research

SBG — Surety Bond Guarantee Program

SBO — Survey of Business Owners

SBPAC — Small Business Procurement Advisory Council

SBWG — Small Business Working Group

SCORE — A volunteer organization sponsored by the SBA that offers mentoring and training for small business owners who are starting, building, or growing their businesses

SDB — Small Disadvantaged Business

SDLC — System Development Life Cycle

SDV — Service-Disabled Veteran

SDVETP — Service-Disabled Veteran Entrepreneurship Program grant

SDVOSB — Service-Disabled Veteran-Owned Small Business

SEC — U.S. Securities and Exchange Commission

SEO — Search Engine Optimization

SES — Senior Executive Service

SME — Subject Matter Expert

SOP — Standard Operating Procedure; the primary source of the Agency's internal control

STEP — State Trade Expansion Program

STTR — Small Business Technology Transfer Program

SUMIC — Scale-Up Manufacturing Investment Company Program

TAP — U.S. Department of Defense Transition Assistance Program

TPCC — Trade Promotion Coordinating Committee

TPP — Trans Pacific Partnership

T-TIP — Transatlantic Trade and Investment Partnership

US CERT — United States Computer Emergency Readiness Team

USDA — U.S. Department of Agriculture

USGBS — U.S. Global Business Solutions

URL — Uniform Resource Locator, used to specify addresses on the World Wide Web



USTR — U.S. Trade Representative

VAM — Vehicle Allocation
Methodology

VBOC — Veterans Business Outreach
Center

VERA/VSIP — Voluntary Early
Retirement Authority/Voluntary
Separation Incentive Payment

VIP — Veterans Institute for
Procurement Program

V-WISE — Veteran Women Igniting the
Spirit of Entrepreneurship

WBC — Women’s Business Center

WOSB — Women-Owned Small
Business Program

WOSBFCP — Women-Owned Small
Business Federal Contract Program

Appendix 5 – Performance Indicators Table

Strategic Goal One – Growing Businesses and Creating Jobs

Objective 1.1 Expand access to capital through SBA’s extensive lending network

Priority Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Active Lending Partners Providing 7(a) Loans	Target	3,000	2,700	2,800	2,850	2,850	2,400	2,500	2,200
	Actual	3,537	2,476	2,345	2,244	2,163	2,045		
	Variance	18%	-8%	-16%	-21%	-24%	-15%		
Additional Information: The FY 2011 actual is a two-year cumulative number of FY 2010 and FY 2011. Beginning in FY 2012, the indicator is reported annually. The continual bank mergers impacted the number of active lending partners providing 7(a) loans. This is evidenced by SBA approving the transfer of over 60 portfolios due to mergers in FY 2016. However, the SBA had a record year of loan approvals in both volume and dollars.									
Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Billions of Dollars of Lending Supported by 7(a) and 504 Loans	Target	23.7	22.4	23.7	24.3	24.8	30.9	34.4	35.0
	Actual	30.5	30.3	29.6	28.7	33.3	34.8		
	Variance	29%	35%	25%	18%	34%	13%		
Additional Information: The sum of the dollars of 7(a) loans approved is equal to the dollars of lending supported. For 504 loans supported, the calculation is the sum of 504 loans approved times 2.25, which represents the additional amount of private loan capital.									
Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Jobs Supported by 7(a), 504, Microloans, and Surety Bond Guarantees	Target	641,400	574,800	654,000	674,850	688,650	711,400	726,900	757,000
	Actual	700,736	609,437	621,869	615,364	728,820	691,212		
	Variance	9%	6%	-5%	-9%	6%	-3%		
Additional Information: The SBA established this performance goal in FY 2011 and has provided historical data for context. Continuation of the streamlining process has a positive impact on jobs supported. The FY 2016 jobs supported actual has been adjusted to exclude 7(a) cancelled loans as previously published in SBA’s FY 2016 Agency Financial Report.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Billions of Dollars of 7(a) Loans Approved	Target	12.8	13.2	14.5	14.8	15.1	21.0	24.3	26.0
	Actual	19.6	15.2	17.9	19.2	23.6	24.1		
	Variance	53%	15%	23%	30%	56%	15%		
Additional Information: The performance data represents the gross loan approvals at the close of the fiscal year.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Assisted by 7(a) Loans	Target	40,700	40,000	38,700	39,500	39,500	45,000	55,000	60,000
	Actual	46,749	39,022	40,574	45,730	55,742	57,083		
	Variance	15%	-2%	5%	16%	41%	27%		
Additional Information: 7(a) loan activity increased across all loan sizes, but the streamlined processing for loans under \$350,000 was particularly effective in increasing the number of small businesses assisted by 7(a) loans.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Jobs Supported by 7(a) Loans	Target	474,100	470,000	547,200	558,100	569,300	580,100	591,000	650,000
	Actual	582,707	454,814	483,976	503,853	623,466	587,716		
	Variance	23%	-3%	-12%	-10%	10%	1.3%		
Additional Information: 7(a) loan activity increased across all loan sizes, but the streamlined processing for loans under \$350,000 was particularly effective in increasing the number of small businesses assisted by 7(a) loans. The FY 2016 jobs supported actual has been adjusted to exclude 7(a) cancelled loans as previously published in SBA's FY 2016 Agency Financial Report.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Billions of Dollars of 504 Loans Approved	Target	4.8	4.1	4.1	4.2	4.3	4.4	4.5	4.8
	Actual	4.8	6.7	5.2	4.2	4.3	4.7		
	Variance	0%	63%	27%	0%	0%	7%		
Additional Information: The SBA established this performance indicator in FY 2010. The number of CDCs is decreasing, and the results of FY 2012 and FY 2013 reflect spikes in funding levels due to the economic decline and support for the program provided in the Small Business Jobs Act.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Assisted by 504 Loans	Target	8,100	6,800	6,400	6,500	6,500	6,700	6,800	5,900
	Actual	7,752	9,038	7,502	5,725	5,618	5,900		
	Variance	-4%	33%	17%	-12%	-14%	-12%		
Additional Information: While the SBA did not meet the FY 2016 target, continued streamlining to the loan process and the elimination of unnecessary regulatory burdens on CDCs and loan eligibility restrictions should have a positive impact on future results. The implementation of the 504 Debt Refinance program in FY 2016 will increase the number of businesses served in FY 2017 and for the future.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Jobs Supported by 504 Loans	Target	88,800	75,900	79,400	81,000	82,600	84,300	86,000	66,000
	Actual	87,337	116,569	90,257	66,744	61,454	61,983		
	Variance	-2%	54%	14%	-18%	-26%	-26%		
Additional Information: While the SBA did not meet the FY 2016 target, continued streamlining to the loan process and the elimination of unnecessary regulatory burdens on CDCs, loan eligibility restrictions, and implementation of the 504 Debt Refinance program, should have a positive impact on future results.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Active Lending Partners Providing 504 Loans	Target	267	267	267	267	240	240	240	235
	Actual	249	256	247	228	228	230		
	Variance	-7%	-4%	-7%	-15%	-5%	-4%		
Additional Information: The SBA reviewed the activity levels of CDCs and worked diligently to address underperforming CDCs in order to continue improving program delivery. The SBA continues to actively recruit new CDC candidates.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Contract Value (Billions) of Bid and Final Bonds	Target	3.32	3.70	3.70	5.70	6.50	6.75	7.10	6.50
	Actual	3.66	3.92	6.15	6.41	6.35	5.72		
	Variance	10%	6%	66%	12%	-2%	-15%		
Additional Information: The Surety Bond Guarantee program's second largest surety producer is no longer participating, which is why the SBA did not meet its target. A soft surety market results in a highly competitive bond market. Program regulations and procedures are being revised to encourage increased bond activity.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Bid and Final Bonds Guaranteed	Target	7,600	8,850	8,850	13,500	13,750	14,000	14,700	12,000
	Actual	8,638	9,503	12,866	12,384	11,480	10,435		
	Variance	14%	7%	45%	-8%	-17%	-25%		
Additional Information: The Surety Bond Guarantee program's second largest surety producer is no longer participating, which is why the SBA did not meet its target. A soft surety market results in a highly competitive bond market. Program regulations and procedures are being revised to encourage increased bond activity.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Jobs Supported by Surety Bond Guarantees	Target	64,000	14,900	14,900	23,000	24,000	32,000	34,000	26,000
	Actual	17,421	24,774	32,000	28,887	27,300	23,940		
	Variance	-73%	66%	115%	26%	14%	-25%		
Additional Information: The Surety Bond Guarantee program's second largest surety producer is no longer participating, which is why the SBA did not meet its target. A soft surety market results in a highly competitive bond market. Program regulations and procedures are being revised to encourage increased bond activity.									

Objective 1.2 Ensure federal contracting goals are met and/or exceeded by collaborating across the federal government to expand opportunities for small businesses and strengthen the integrity of the federal contracting certification process and data

Priority Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Federal Contract Dollars Awarded to Small Businesses	Target	23.00%	23.00%	23.00%	23.00%	23.00%	23.00%	23.00%	23.00%
	Actual	21.70%	22.30%	23.40%	24.99%	25.75%	Data Lag		
	Variance	-6%	-3%	2%	9%	12%	N/A		
Additional Information: The data supporting the FY 2016-2017 Priority Goals are not finalized until the third quarter of FY 2017. Every year, the SBA works with each federal agency to set their prime and subcontracting goals. The SBA ensures that the sum total of all of the goals exceeds the 23 percent target established by law.									
Priority Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of 8(a) Approved Applications	Target	N/A	N/A	N/A	N/A	Baseline	600	630	N/A
	Actual	N/A	N/A	419	391	568	911		N/A
	Variance	N/A	N/A	N/A	N/A	N/A	52%		N/A
Additional Information: The goal is to increase the number of approved applications by 5 percent from the previous fiscal year. The SBA had major success in this program by streamlining the application process.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Federal Government Prime Contracts Awarded to Disadvantaged 8(a) Small Businesses	Target	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%
	Actual	7.67%	8.00%	8.61%	9.46%	10.06%	Data Lag		
	Variance	53%	60%	72%	89%	101%	N/A		
Additional Information: The data supporting the FY 2016 performance indicators are not finalized until the third quarter of FY 2017.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Federal Government Prime Contracts Awarded to Women-Owned Small Businesses	Target	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%
	Actual	3.98%	4.00%	4.32%	4.68%	5.06%	Data Lag		
	Variance	-20%	-20%	-14%	-6%	1%	N/A		
Additional Information: The data supporting the FY 2016 performance indicators are not finalized until the third quarter of FY 2017. The shrinking of the gap demonstrates the efforts being made toward achieving the WOSB goal.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Federal Government Prime Contracts Awarded to Service-Disabled Veteran-Owned Small Businesses	Target	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
	Actual	2.65%	3.03%	3.40%	3.68%	3.93%	Data Lag		
	Variance	-12%	1%	13%	23%	31%	N/A		
Additional Information: The data supporting the FY 2016 performance indicators are not finalized until the third quarter of FY 2017.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Federal Government Prime Contracts Awarded to HUBZone Small Businesses	Target	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%	3.00%
	Actual	2.40%	2.01%	1.76%	1.82%	1.82%	Data Lag		
	Variance	-20%	-33%	-41%	-39%	-39%	N/A		
Additional Information: The data supporting the FY 2016 performance indicators are not finalized until the third quarter of FY 2017. The SBA has not been successful in recruiting HUBZone applicants to the program.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Jobs Supported	Target	572,000	572,000	572,000	501,113	501,113	500,000	500,000	500,000
	Actual	609,333	527,000	479,515	549,000	537,000	Data Lag		
	Variance	7%	-8%	-16%	10%	7%	N/A		
Additional Information: The data supporting the FY 2016 performance indicators are not finalized until the third quarter of FY 2017.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Surveillance Reviews Completed	Target	N/A	Baseline	30	30	30	30	30	30
	Actual	N/A	30	31	41	30	30		
	Variance	N/A	N/A	3%	37%	0%	0%		
Additional Information: The SBA introduced this performance indicator in FY 2013 and historical data have been provided for context. Surveillance Reviews (for prime contracting) and Small Business Performance Compliance Reviews (for subcontracting) are conducted to evaluate the implementation of regulations across the federal government.									

Objective 1.3 Strengthen entrepreneurial ecosystems through a variety of strategic partnerships to provide tailored training, mentoring, and advising services that support entrepreneurs during every phase of their business growth

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of SBDC, WBC, and SCORE Clients Trained	Target	N/A	Baseline	695,000	705,000	701,000	734,000	635,000	674,000
	Actual	689,114	739,616	663,525	688,688	599,990	695,405		
	Variance	N/A	N/A	-5%	-2%	-14%	-5%		
Additional Information: The SBA tracks the number of clients trained by resource partners as an indicator of knowledge transfer to startup and existing small businesses.									
Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of SBDC, WBC, and SCORE Clients Advised and Mentored	Target	N/A	N/A	Baseline	373,000	402,000	424,700	368,200	331,200
	Actual	364,344	N/A	348,519	379,210	345,163	336,831		
	Variance	N/A	N/A	N/A	2%	-14%	-21%		
Additional Information: In FY 2016, SCORE and SBDC clients engaged in repeat consultations as their business needs evolved and personal advisor relationships were cultivated, decreasing the number of total clients. However, the existing client satisfaction and business outcomes increased.									



Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of SBDC Clients Trained	Target	N/A	Baseline	350,000	350,000	350,000	340,000	270,000	249,000
	Actual	352,290	332,421	330,781	291,366	267,420	261,255		
	Variance	N/A	N/A	-5%	-17%	-24%	-23%		
Additional Information: In FY 2016, the SBDC program shifted resources to focus on providing more counseling hours per client. This resulted in fewer clients trained. Therefore, in 2017, the SBA reduced its target for SBDC Clients Trained to reflect this focus, thereby creating and maintaining long-term clients. The SBA is decreasing its FY 2018 target for SBDC Clients Trained to reflect the proposed proportional decrease in funding.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of SBDC Clients Advised	Target	N/A	Baseline	200,000	220,000	220,000	220,000	190,000	179,000
	Actual	205,408	211,091	201,596	194,121	187,478	192,172		
	Variance	N/A	N/A	1%	-12%	-15%	-13%		
Additional Information: In FY 2016, the SBDC program shifted resources focusing in providing more counseling hours per client. This resulted in fewer clients trained. Therefore, in 2017, the SBA reduced its target for SBDC Clients Trained to reflect its focus on providing more counseling hours per client, thereby creating and maintaining Long Term Clients. In FY 2018, the SBA decreased its target for SBDC Clients Trained to reflect the proposed proportional decrease in funding.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Created by SBDC	Target	12,500	15,600	12,500	12,500	13,000	13,000	13,000	12,000
	Actual	13,664	14,357	14,201	13,415	13,123	14,419		
	Variance	9%	-8%	14%	7%	1%	11%		
Additional Information: In FY 2016, SBDCs exceeded the small businesses created target as the SBA prioritizes development of its quality of services and provided more counseling hours per client.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Billions of Dollars of Capital Infusion from SBDC	Target	3.7	3.7	3.4	4.0	4.0	4.0	4.0	4.0
	Actual	3.6	4.0	4.5	4.7	4.7	5.1		
	Variance	-3%	8%	32%	18%	18%	28%		
Additional Information: Billions of dollars of capital infusion includes financing provided to small businesses from various sources including the SBA. As the economy improved, robust lending for small businesses helped SBDCs exceed the target.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of WBC Clients Trained	Target	N/A	Baseline	95,000	105,000	111,000	120,000	125,000	125,000
	Actual	115,805	114,931	114,310	119,351	120,341	122,986		
	Variance	N/A	N/A	20%	14%	8%	2.5%		
Additional Information: The SBA predicts that the number of WBC clients trained will increase in FY 2017 and FY 2018 as the SBA places greater priority in developing its quality of services in terms of hours served and enhanced export training.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of WBC Clients Advised	Target	N/A	N/A	Baseline	20,000	22,000	22,200	22,200	22,200
	Actual	23,118	22,020	19,455	20,686	20,375	22,429		
	Variance	N/A	N/A	N/A	3%	-7%	1%		
Additional Information: The SBA predicts WBC clients advised levels to remain steady in FY 2017 and FY 2018 as the SBA prioritizes development of its quality of services in terms of hours served and enhanced export training.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Created by WBCs	Target	618	590	475	600	650	730	11,000	11,000
	Actual	701	694	637	708	766	17,435		
	Variance	13%	18%	34%	18%	18%	N/A		
Additional Information: *The SBA adopted a new data collection and calculation method for FY 2016. This data more accurately represents the performance of the WBC program. The number reported for FY 2016 reflects new business starts accomplished during the previous calendar year. The FY 2017 target has been updated to reflect this new methodology. The change in methodology is further explained in the Data Quality Records that are at www.SBA.gov/performance .									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of SCORE Clients Trained	Target	N/A	Baseline	250,000	250,000	240,000	274,000	240,000	300,000
	Actual	221,019	292,264	218,434	277,971	212,229	311,164		
	Variance	N/A	N/A	-13%	11%	-12%	14%		
Additional Information: SCORE's FY 2016 performance was impacted by its investment in technology that allowed it to engage entrepreneurs virtually, thereby increasing the number of clients trained between FY 2015 and 2016 by 47 percent. During this period, SCORE hosted its first ever virtual conference; offered expanded webinar offerings; and increased the volume of online and in-person workshops. Importantly, SCORE collaborated with regional and national partners to gain an audience. The FY 2018 target reflects the continued implementation of this strategy.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of SCORE Clients Mentored	Target	N/A	N/A	N/A	Baseline	160,000	182,500	156,000	130,000
	Actual	135,818	166,509	127,468	164,403	137,310	122,230		
	Variance	N/A	N/A	N/A	N/A	-14%	-33%		
Additional Information: Training is information that is presented in group settings or online to help an entrepreneur acquire knowledge, skills, and competencies on a business-related subject. Mentoring is personalized one-on-one advice or guidance that is provided to help entrepreneurs navigate through planning, starting, growing or managing a business. In FY 2016, SCORE mentoring clients engaged in repeat consultations as their business needs evolved and personal advisor relationships were cultivated, decreasing the number of total clients from the previous year while improving existing client satisfaction and business outcomes. The FY 2018 target reflects this ongoing change in strategy.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Created by SCORE	Target	1,082	1,080	700	700	5,400	5,400	5,400	40,000
	Actual	816	828	628	5,339	39,495	Data Lag		
	Variance	-25%	-23%	-10%	663%	631%	N/A		
Additional Information: The SBA adopted a new data collection and calculation method for FY 2016. This data more accurately represents the performance of the SCORE program. The number reported for FY 2015 reflects new business starts accomplished during the indicated fiscal year. FY 2016 data will be available summer FY 2017. The FY 2017 target has been updated to reflect this new methodology.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of RIC Participants Obtaining an Innovation Milestone	Target	N/A	N/A	N/A	N/A	Baseline	50%	52%	N/A
	Actual	N/A	N/A	69%	46%	51%	49%		N/A
	Variance	N/A	N/A	N/A	N/A	N/A	-2%		N/A
Additional Information: The SBA introduced this metric in FY 2016. The SBA is not requesting funds for this initiative in FY 2018.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of RIC Participants Obtaining Revenue Growth	Target	N/A	N/A	N/A	N/A	Baseline	60%	62%	N/A
	Actual	N/A	63%	52%	57%	57%	59%		N/A
	Variance	N/A	N/A	N/A	N/A	N/A	-2%		N/A
Additional Information: The SBA introduced this metric in FY 2016. The SBA is not requesting funds for this initiative in FY 2018.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Emerging Leaders Creating or Retaining Jobs	Target	N/A	N/A	N/A	N/A	Baseline	81%	81%	81%
	Actual	N/A	73%	69%	81%	81%	81%		
	Variance	N/A	N/A	N/A	N/A	N/A	0%		
Additional Information: The SBA introduced this metric in FY 2016. Due to the nature of the initiative, the SBA surveys participants each year, for three years, following completion of the initiative's curriculum. This performance indicator includes results obtained by the three most recent cohorts during the previous calendar year.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Emerging Leaders Obtaining Revenue Growth	Target	N/A	N/A	N/A	N/A	Baseline	65%	67%	67%
	Actual	67%	62%	68%	66%	68%	70%		
	Variance	N/A	N/A	N/A	N/A	N/A	8%		
Additional Information: The SBA introduced this metric in FY 2016. Due to the nature of the initiative, the SBA surveys participants each year, for three years, following completion of the initiative's curriculum. This performance indicator includes results obtained by the three most recent cohorts during the previous calendar year.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of ScaleUp Participants Creating or Retaining Jobs	Target	N/A	N/A	N/A	N/A	N/A	Baseline	N/A	N/A
	Actual	N/A	N/A	N/A	N/A	N/A	88%	N/A	N/A
	Variance	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Additional Information: The SBA introduced this metric in FY 2016. Due to the nature of the initiative, the SBA surveys participants each year, for three years, following completion of the initiative's curriculum. The SBA is not requesting funds for this initiative in FY 2018.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of ScaleUp Participants Obtaining Revenue Growth	Target	N/A	N/A	N/A	N/A	N/A	Baseline	N/A	N/A
	Actual	N/A	N/A	N/A	N/A	N/A	73%	N/A	N/A
	Variance	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Additional Information: The SBA introduced this metric in FY 2016. Due to the nature of the initiative, the SBA surveys participants each year, for three years, following completion of the initiative's curriculum. The SBA is not requesting funds for this initiative in FY 2018.									

Objective 1.4 Enhance the ability of current and future small business exporters to succeed in global markets by expanding access to financing, counseling, training, and other export tools

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Business Exporters Receiving SBA Financing	Target	990	990	1,349	1,415	1,480	1,520	1,520	1,600
	Actual	1,346	1,283	1,388	1,392	1,513	1,550		
	Variance	36%	17%	3%	-2%	2%	2%		
Additional Information: This metric tracks the sum of all small businesses receiving SBA-guaranteed export financing.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Average Dollar Return on Investment of STEP Cooperative Agreements	Target	N/A	N/A	N/A	N/A	N/A	Baseline	12	12
	Actual	11	28	N/A	37	Data Lag	Data Lag		
	Variance	N/A	N/A	N/A	N/A	N/A	N/A		
Additional Information: STEP cooperative agreements assist small businesses to enter and succeed in the international marketplace. The average return on investment is calculated by dividing the reported total dollar export sales supported by the STEP funds awarded for each fiscal year. The SBA did not receive appropriations for STEP in FY 2013. Data for FY 2015 will be available in July 2017. Data for FY 2016 will be available in July 2018.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Receiving Export Training	Target	5,726	7,200	8,000	7,600	8,000	8,400	8,400	8,000
	Actual	8,717	10,598	8,244	8,273	8,120	8,274		
	Variance	52%	47%	3%	9%	2%	-2%		
Additional Information: This metric tracks the sum of all small businesses that have received export training by SBA trade finance staff.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Lenders Receiving Export Training	Target	2,600	3,950	4,400	4,000	4,200	4,500	4,500	4,500
	Actual	3,518	4,119	4,868	5,097	4,329	4,547		
	Variance	35%	4%	11%	27%	3%	1%		
Additional Information: This metric tracks the sum of all lenders that have received export training by SBA trade finance staff.									

Objective 1.5 Fuel high-growth entrepreneurship, innovation, and job creation by providing the tools small businesses need to start and grow their business

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Millions of Dollars of SBA Debenture Leverage Committed to SBICs	Target	\$ 1,352	\$ 1,900	\$ 2,400	\$ 2,500	\$ 2,500	\$ 2,500	\$ 2,600	\$ 2,600
	Actual	\$ 1,827	\$ 1,924	\$ 2,156	\$ 2,549	\$ 2,533	\$ 2,514		
	Variance	35%	1%	-10%	2%	2%	1%		

Additional Information: The measure tracks the dollar amount of commitments to SBIC funds.

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Time (Months) Taken to License an SBIC	Target	N/A	N/A	N/A	N/A	Baseline	6.0	6.0	6.0
	Actual	5.5	5.4	6.8	7.4	8.4	6.0		
	Variance	N/A	N/A	N/A	N/A	N/A	0%		

Additional Information: The measure monitors the average number of months for the internal SBIC licensing process.

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Financed	Target	N/A	N/A	N/A	N/A	N/A	N/A	Baseline	1,225
	Actual	1,339	1,094	1,068	1,085	1,210	1,201		
	Variance	N/A	N/A	N/A	N/A	N/A	N/A		

Additional Information: The SBA will be adding a metric in FY 2018 that tracks the number of small businesses financed through the SBIC program.

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Emerging Small Businesses Financed	Target	N/A	N/A	N/A	N/A	N/A	N/A	Baseline	378
	Actual	452	307	284	336	352	403		
	Variance	N/A	N/A	N/A	N/A	N/A	N/A		

Additional Information: The SBA will be adding a metric that tracks the number of emerging small businesses financed through the SBIC program. Emerging small businesses include small businesses located in low- to moderate-income areas, as well as businesses owned by women, veteran, and minority populations.



Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Federal Government Dollars Awarded to SBIR Proposals	Target	N/A	N/A	N/A	N/A	2.9%	3.0%	3.2%	3.2%
	Actual	2.5%	2.6%	2.7%	2.8%		Data Lag		
	Variance	N/A	N/A	N/A	N/A	N/A	N/A		
Additional Information: Federal agencies with extramural budgets for research or research and development in excess of \$100 million must spend at least the targeted amount on small business innovation. There is a two-year data lag in reporting results.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Federal Government Dollars Awarded to STTR Proposals	Target	N/A	N/A	N/A	N/A	0.40%	0.45%	0.45%	0.45%
	Actual	0.30%	0.35%	0.35%	0.40%	Data Lag	Data Lag		
	Variance	N/A	N/A	N/A	N/A	N/A	N/A		
Additional Information: Federal agencies with extramural budgets for research or research and development in excess of \$1 billion must spend at least the targeted amount on small business innovation. There is a two-year data lag in reporting results.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Applications Received for SBA Accelerators Program	Target	N/A	N/A	N/A	N/A	N/A	382	N/A	N/A
	Actual	N/A	N/A	N/A	N/A	421	393	N/A	N/A
	Variance	N/A	N/A	N/A	N/A	N/A	3%	N/A	N/A
Additional Information: This measure tracks the number of applications submitted to SBA's Accelerators program. The measure reports the success of outreach efforts to promote the program. The SBA is not requesting funding for growth accelerators in FY 2018.									

Objective 1.6 Ensure that SBA's disaster assistance resources for businesses, non-profit organizations, homeowners, and renters can be deployed quickly, effectively, and efficiently in order to preserve jobs and help return small businesses to operation

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Customer Satisfaction Rate for Approvals	Target	71%	71%	71%	71%	71%	71%	71%	71%
	Actual	80%	80%	81%	80%	80%	84%		
	Variance	13%	13%	14%	13%	13%	18%		
Additional Information: The SBA conducts an annual customer satisfaction study on its Disaster Assistance program using the methodology of the American Customer Satisfaction Index (ACSI). The SBA can use the survey data to identify and target areas for improvement that will have the greatest impact on customer satisfaction scores. The high variance may be the result of a number of factors, including the new process for issuing applications to disaster survivors (i.e., using call centers to promote the use of electronic loan applications), greater usage of the electronic loan application and other technology tools, and the program's high employee engagement rate. While not a definitive explanation without further evaluation, these may have had a direct impact on disaster survivors by increasing the number of positive interactions with the SBA.									



Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Disasters Having Field Presence Within Three Days	Target	95%	95%	95%	95%	95%	95%	95%	95%
	Actual	100%	100%	100%	100%	100%	100%		
	Variance	5%	5%	5%	5%	5%	5%		
Additional Information: Field presence is defined as getting disaster personnel to disaster sites within three days of disaster declaration.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Loans With Initial Disbursements Within Five Days of Loan Closing	Target	95%	95%	95%	95%	95%	95%	95%	95%
	Actual	100%	100%	100%	100%	98%	96%		
	Variance	5%	5%	5%	5%	3%	1%		
Additional Information: Disbursement refers to the last step of a three-step disaster loan process in which a loan is closed and funds are disbursed to the customer for an approved loan amount.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Disaster Loans Processed Within Standard	Target	85%	85%	85%	85%	85%	85%	85%	85%
	Actual	100%	95%	55%	100%	100%	99%		
	Variance	18%	12%	-35%	18%	18%	16%		
Additional Information: The SBA introduced this composite performance indicator in FY 2015 to replace separate indicators related to business, home, and economic injury loan processing. Historical data have been provided for context. A streamlined approval process and digital service improvements have allowed the Disaster Assistance program to process higher-volume loans in a more efficient and timely manner, resulting in a high variance.									

Strategic Goal Two – Serving as the Voice for Small Business

Objective 2.1 Ensure inclusive entrepreneurship by expanding access and opportunity to small businesses and entrepreneurs in communities where market gaps remain

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses in Emerging Markets Assisted by 7(a), 504, and Microloans	Target	34,200	31,800	31,000	31,550	32,250	32,250	34,050	36,650
	Actual	36,933	33,449	33,428	35,014	35,845	42,867		
	Variance	8%	5%	8%	11%	11%	33%		
Additional Information: Geo-coding data for economic empowerment zones and low-moderate income areas was discontinued in May 2015 and is not included in June-Sept FY 2015 and FY 2016. Effective FY 2016, the definition for emerging markets includes emerging populations (i.e., veterans, women, and minorities) and places (HUBZones and Rural). Streamlined processing for loans under \$350,000 and fee relief were particularly effective in supporting emerging small businesses assisted.									

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses in Emerging Markets Assisted by 8(a), 7(j), and HUBZone	Target	17,007	21,925	18,325	18,025	18,025	18,050	16,000	19,800
	Actual	17,165	18,532	17,071	17,163	20,324	19,686		
	Variance	1%	-15%	-7%	-5%	13%	9%		
Additional Information: The 8(a) Business Development program met its priority goal to approve over 600 new firms into the program in FY 2016. Due to the increase marketing efforts with internal and external stakeholders, the number of businesses assisted by the 7(j) program increased. The marketing efforts included developing a one page 7(j) Info Fact Sheet on the 7(j) program and engagement with federal agency small business and procurement officials. This number includes the number of firms that received contract awards under HUBZone certification and does not reflect the total number of firms currently active in the program.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses in Emerging Markets Assisted by 7(a) Loans	Target	24,800	24,400	23,600	24,100	24,600	24,600	25,850	30,000
	Actual	28,386	23,846	24,225	27,778	29,369	35,464		
	Variance	14%	-2%	3%	15%	19%	44%		
Additional Information: Geo-coding data for economic empowerment zones and low-moderate income areas was discontinued in May 2015 and is not included in June-Sept FY 2015 and FY 2016. HUBZone was a part of this data set and was not available to include for this same period. Effective FY 2016, the definition for emerging markets includes emerging populations (i.e., veterans, women, and minorities) and places (HUBZones and Rural). 7(a) loan activity increased across all loan sizes, but the streamlined processing for loans under \$350,000 and fee relief were particularly effective in supporting the number of emerging small businesses assisted by 7(a) loans.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses in Emerging Markets Assisted by 504 Loans	Target	4,800	4,000	3,800	3,800	4,000	4,000	4,200	3,300
	Actual	4,548	5,379	4,361	3,319	2,782	3,753		
	Variance	-5%	34%	15%	-13%	-30%	-6%		
Additional Information: Geo-coding data for economic empowerment zones and low-moderate income areas was discontinued in May 2015 and is not included in June-Sept FY 2015 and FY 2016. HUBZone was a part of this data set and was not available to include for this same period. Effective FY 2016, the definition for emerging markets includes emerging populations (i.e., veterans, women, and minorities) and places (HUBZones and Rural).									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Assisted by Microloans	Target	4,600	3,400	3,600	3,650	3,650	3,650	3,650	3,650
	Actual	3,999	4,224	4,842	3,917	3,694	4,506		
	Variance	-13%	24%	35%	7%	1%	23%		
Additional Information: This program has seen a growing demand for microlending, which can be attributed to the final rule issued in FY 2015 that included increasing the pool of eligible microborrowers, the minimum number of loans for intermediaries, and technical assistance amendments.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Jobs Supported by Microloans	Target	14,500	14,000	12,500	12,750	12,750	15,000	15,900	15,000
	Actual	13,271	13,280	15,636	15,880	16,600	17,573		
	Variance	-8%	-5%	25%	25%	30%	17%		
Additional Information: This program has seen a growing demand for microlending, which can be attributed to the final rule issued in FY 2015 that included increasing the pool of eligible microborrowers and the minimum number of loans for intermediaries.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Thousands of Dollars in Loans Approved by SBA to Microlenders	Target	Baseline	25,000	25,000	25,000	25,000	35,000	35,000	35,000
	Actual	35,479	24,606	43,286	26,465	34,987	35,000		
	Variance	N/A	-2%	73%	6%	40%	0%		
Additional Information: This program has seen a growing demand for microlending, which can be attributed to the final rule issued in FY 2015 that included increasing the pool of eligible microborrowers and the minimum number of loans for intermediaries.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Thousands of Dollars in Loans Approved by Lenders to Microborrowers	Target	65,000	45,340	44,000	45,000	45,000	55,000	55,000	55,000
	Actual	47,453	46,107	54,850	55,478	52,080	61,223		
	Variance	-27%	2%	25%	23%	16%	11%		
Additional Information: This program has seen a growing demand for microlending, which can be attributed to the final rule issued in FY 2015 that included increasing the pool of eligible microborrowers and the minimum number of loans for intermediaries.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Counseled by Micolenders	Target	6,500	13,600	14,400	14,600	14,600	14,600	15,000	16,000
	Actual	15,900	15,892	19,368	15,668	17,200	17,948		
	Variance	145%	17%	35%	7%	18%	23%		
Additional Information: This program has seen a growing demand for microlending, which can be attributed to the final rule issued in FY 2015 that included increasing the pool of eligible microborrowers, the minimum number of loans for intermediaries, and technical assistance amendments.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Grant-eligible Microlenders	Target	N/A	Baseline	135	135	135	135	140	145
	Actual	131	134	135	137	137	140		
	Variance	N/A	N/A	0%	1%	1%	4%		
Additional Information: The SBA established this performance indicator in FY 2013 and has provided historical data for context.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Assisted by 8(a)	Target	9,457	8,500	8,300	8,000	8,000	8,000	5,500	8,000
	Actual	7,814	7,388	6,661	6,660	6,948	8,010		
	Variance	-17%	-13%	-20%	-17%	-13%	0%		
Additional Information: The 8(a) Business Development program met its priority goal to approve over 600 new firms into the program in FY 2016.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Assisted by 7(j)	Target	3,550	3,550	3,550	3,550	3,550	3,550	4,000	4,000
	Actual	3,550	3,272	3,913	4,104	5,360	5,245		
	Variance	0%	-8%	10%	16%	51%	48%		
Additional Information: Due to the increase marketing efforts with internal and external stakeholders, the number of businesses assisted by the 7(j) program increased. The marketing efforts included developing a one page 7(j) Info Fact Sheet on the 7(j) program and engagement with federal agency small business and procurement officials.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Assisted by HUBZone	Target	4,000	9,875	6,475	6,475	6,475	6,500	6,500	7,800
	Actual	5,801	7,872	6,497	6,399	8,016	6,431		
	Variance	45%	-20%	0%	-1%	24%	-1%		
Additional Information: This number includes the number of firms that received contract awards under HUBZone certification and does not reflect the total number of firms currently active in the program.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Veterans Trained by VBOCs	Target	N/A	N/A	N/A	Baseline	33,000	48,000	50,000	32,000
	Actual	28,952	44,535	23,271	39,201	46,629	27,938		
	Variance	N/A	N/A	N/A	N/A	41%	-42%		
Additional Information: This performance indicator was introduced in FY 2015, and historical data have been provided for context. The target was not met because the VBOC cooperative agreement/grant award announcement occurred in the third quarter of FY 2016. Of the 20 VBOCs, six new recipients were selected and integrated into the VBOC Partner Network. The FY 2017 target for this performance indicator, set in FY 2015, is not representative of the percentage of transitioning service members exiting the military who opt to participate in entrepreneurship training.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Veterans Counseled through VBOCs	Target	N/A	N/A	N/A	Baseline	31,000	31,000	31,000	16,000
	Actual	34,956	44,079	49,791	38,923	15,488	19,404		
	Variance	N/A	N/A	N/A	N/A	-50%	-37%		
Additional Information: This performance indicator was introduced in FY 2015; however, the methodology calculation has been revised to ensure consistency among SBA's other entrepreneurial development programs. A historical data have been provided for context. The SBA is placing greater priority in developing its quality of services in terms of hours served per client. VBOCs anticipate sustaining the current level of service but are now tracking the average time spent per client, theorizing that increased interaction with repeat clients will improve overall client business outcomes. The VBOC cooperative agreement/grant award announcement occurred in the third quarter of FY 2016. Of the 20 VBOCs, six new recipients were selected and integrated into the VBOC Partner Network.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Boots to Business (B2B) Participants Trained	Target	N/A	N/A	N/A	15,000	15,500	17,500	20,000	18,000
	Actual	N/A	N/A	4,514	14,684	14,457	15,000		
	Variance	0%	0%	0%	-2%	-21%	-14%		
Additional Information: This performance indicator was introduced in FY 2015, and historical data have been provided for context.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Boots to Business (B2B) Participants Eight Week Graduation Rate	Target	N/A	N/A	N/A	Baseline	50%	50%	50%	40%
	Actual	N/A	N/A	27	30	37%	39%		
	Variance	N/A	N/A	N/A	N/A	-26%	-22%		
Additional Information: This performance indicator was introduced in FY 2017. Historical data has been provided and updated to reflect improved program oversight.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Formed by Boots to Business (B2B) Graduates	Target	N/A	N/A	N/A	N/A	N/A	Baseline	255	255
	Actual	N/A	N/A	N/A	N/A	N/A	250		
	Variance	N/A	N/A	N/A	N/A	N/A	N/A		
Additional Information: This performance indicator is being introduced in FY 2017. Baseline data are available via survey (OMB control #3245-0390, expiration date 12/31/2018). Survey conducted annually on rolling basis, based on participants' B2B graduation date.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Small Businesses Assisted in Native American Communities	Target	N/A	N/A	N/A	N/A	N/A	Baseline	2,000	1,800
	Actual	1,684	1,713	1,943	2,107	2,209	1,817		
	Variance	N/A	N/A	N/A	N/A	N/A	N/A		
Additional Information: This measure tracks the number of small businesses assisted through training and technical assistance workshops. The SBA established this performance indicator in FY 2016 and has provided historical data for context.									

Objective 2.2 Provide timely, instructive, and useful information to the small business community through SBA’s extensive digital and in person outreach efforts

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Average Monthly <u>SBA.gov</u> Site Visits	Target	N/A	1,200,000	2,000,000	2,400,000	2,300,000	2,300,000	2,400,000	2,400,000
	Actual	N/A	1,439,750	2,159,850	2,800,000	2,245,979	2,094,429		
	Variance	N/A	20%	8%	17%	-2%	-9%		
Additional Information: This measure is a monthly average of all site visits to <u>SBA.gov</u> .									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Average Monthly Unique Visitors to <u>SBA.gov</u>	Target	N/A	Baseline	1,500,000	1,500,000	1,500,000	1,400,000	1,400,000	1,400,000
	Actual	N/A	950,000	1,420,000	1,680,000	1,514,000	1,415,576		
	Variance	N/A	N/A	-5%	12%	1%	1%		
Additional Information: This measure tracks the monthly average of unique visitors. The measure was previously titled "Number of Unique Visitors to <u>SBA.gov</u> ." When a new user visits <u>SBA.gov</u> , <u>SBA.gov</u> captures the data via a session cookie. As more users access the website, the number of “unique” (new) visitors will level-off and decrease over time.									

Objective 2.3 Foster a small business-friendly environment by encouraging federal agency awareness about the impact of unfair regulatory enforcement and compliance efforts, reducing burdens on small business

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Board Membership Rate	Target	N/A	N/A	78%	85%	85%	90%	85%	76%
	Actual	98%	96%	74%	80%	74%	76%		
	Variance	N/A	N/A	-5%	-6%	-13%	-16%		
Additional Information: This measure tracks the board membership rates across the ten regional offices. The SBA had several departures toward the end of FY 2016. The SBA is examining its time to vet candidates for the boards.									
Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Rules Identified that Burden Small Businesses	Target	N/A	N/A	N/A	2	5	6	8	7
	Actual	N/A	N/A	N/A	6	7	6		
	Variance	N/A	N/A	N/A	200%	40%	0%		
Additional Information: This measure tracks rules and recurring regulatory issues that the SBA successfully identified, escalated, and addressed with agency partners on a systemic level for the benefit of the broader small business community. Further work will be completed to quantify the economic impacts of the rules identified in future years.									



Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Outreach Events	Target	N/A	N/A	46	52	58	58	60	60
	Actual	56	48	48	64	66	102		
	Variance	N/A	N/A	4%	23%	14%	76%		
Additional Information: Because of an aggressive outreach schedule focused on connecting directly with small business stakeholders in their communities while significantly improving awareness of the resources the office provides to small business owners, the SBA exceeded its outreach target for FY 2016.									

Strategic Goal Three – Building an SBA that Meets the Needs of Today's and Tomorrow's Small Businesses

Objective 3.1 Streamline, simplify, and strengthen SBA's core programs and operations to ensure that they are high performing, effective, and relevant to the needs of the small business community

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
IT Helpdesk Customer Satisfaction Rate	Target	N/A	N/A	N/A	Baseline	85%	85%	85%	
	Actual	N/A	N/A	N/A	85%	85%	85%		
	Variance	N/A	N/A	N/A	N/A	0%	0%		

Additional Information: The metric reports the average score on customer service surveys submitted to the Office of the Chief Information Officer. The SBA will create new metrics in FY 2017 to better address workload and management needs.

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
SBA Small Business Utilization Rate	Target	67.00%	67.00%	67.00%	68.00%	69.00%	72.75%	72.75%	TBD
	Actual	67.00%	71.00%	72.00%	77.48%	78.1%	73.70%		
	Variance	0%	6%	7%	14%	13%	1%		

Additional Information: The SBA tracks small business contracts and has the highest small business contracting goal in the federal government. The SBA exceeded its target of 72.75 percent by continuing to default to small businesses first when awarding a contract. FY 2018 target will be set at the end of FY 2017 during the negotiation process with SBA's Office of Government Contracting and Business Development.

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Security Incidents Reported to US CERT Within Specified Timeframes	Target	N/A	100%	100%	100%	100%	100%	100%	100%
	Actual	N/A	100%	100%	100%	100%	100%		
	Variance	N/A	0%	0%	0%	0%	0%		

Additional Information: The metric reports the percentage of the total number of incidents reported to US CERT within the mandatory timeframe.



Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
SBA Real Estate Footprint Reduction Rate	Target	N/A	N/A	N/A	N/A	Baseline	2%	2%	2%
	Actual	N/A	2%	2%	2%	2%	4.7%		
	Variance	N/A	N/A	N/A	N/A	N/A	135%		
Additional Information: The SBA tracks the square footage of its facilities and, through Freeze the Footprint guidance, continues to reduce the amount of space needed for operations.									

Objective 3.2 Invest in the Agency’s employee recruitment, hiring, training, work-life programs and performance management so staff is engaged to more effectively serve small businesses

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Average Number of Days to Hire	Target	108	100	80	100	100	100	100	100
	Actual	112	154	154	85	97	98		
	Variance	-4%	-54%	-93%	15%	3%	2%		

Additional Information: Time to hire includes the time a completed recruit action is received until the job offer is accepted. During Quarter 2 of FY 2017, there was a hiring freeze, so the number of hiring actions was significantly lower in this time period. In FY 2013 the “Time-to-Hire” goal was adversely impacted by sequestration and FTE constraints requiring, the Agency to “manage” the onboarding of new hires to support adjustments in the FTE ceilings for budget requirements related to the CR constraints. Additionally, the FY 2014 goals for “Time-to-Hire” were increased from “80 days” to “100 days” as a result of the adjustments in the hiring cycle to account for the change in ending the cycle at the point when managers “make an offer to the selected candidate” rather than ending the cycle at the point when the new hire is actually “onboarded.” The reason for this change is the fact that the clearance process time is beyond the control of the hiring manager or the hiring staff.

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Retention Rate for New Hires	Target	N/A	80%	85%	88%	93%	93%	93%	93%
	Actual	80%	83%	77%	74%	79%	92%		
	Variance	N/A	3%	-8%	-14%	-14%	-1%		

Additional Information: The retention rate is defined as an employee remaining in a current position for a minimum of two years within the Agency. The SBA has examined its methodology and recalculated the retention rates between FY 2011 to FY 2016.

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Federal Employee Viewpoint Survey Job Satisfaction Rate	Target	71%	71%	71%	71%	71%	64%	67%	67%
	Actual	67%	66%	66%	65%	62%	64%		
	Variance	-5%	-7%	-7%	-8%	-13%	0%		

Additional Information: The satisfaction rate is the Human Capital Assessment and Accountability Framework (HCAAF) Trends – Job Satisfaction Index, which indicates the extent to which employees are satisfied with their jobs.



Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Federal Employee Viewpoint Survey Engagement Index	Target	N/A	N/A	N/A	N/A	Baseline	64%	67%	67%
	Actual	65%	64%	65%	62%	60%	63%		
	Variance	N/A	N/A	N/A	N/A	N/A	-2%		
Additional Information: Memorandum 15-04 establishes that federal agencies increase engagement efforts with the goal of increasing the government-wide Engagement Index on the FY 2017 Federal Employee Viewpoint Survey to 67 percent. The Index is comprised of three sub-categories, including Leaders Lead, Supervisors, and Intrinsic Work Experience. The SBA established this measure in FY 2016. Historical data have been provided for context.									

Objective 3.3 Mitigate risk to taxpayers and improve oversight across SBA programs

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Risk-Based Reviews of Lenders	Target	N/A	N/A	180	195	335	335	335	300
	Actual	N/A	N/A	184	219	378	368		
	Variance	N/A	N/A	2%	12%	13%	10%		
Additional Information: SBA's Office of Credit Risk Management conducts reviews of lenders that guarantee SBA loans. Risk-Based Reviews include Analytical Risk-Based Reviews, Targeted Risk-Based Reviews, and Full Risk-Based Reviews of Lenders.									
Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of HUBZone Sites Visited	Target	1,000	690	517	518	500	475	492	492
	Actual	988	788	511	569	518	515		
	Variance	-1%	14%	-1%	10%	4%	8%		
Additional Information: The number of HUBZone sites visited target is 10 percent of the previous fiscal year total number of HUBZone firm sites.									
Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Percent of Annual 8(a) Reviews Completed	Target	100%	100%	100%	100%	100%	100%	100%	100%
	Actual	99%	101%	100%	100%	100%	100%		
	Variance	-1%	1%	0%	0%	0%	0		
Additional Information: Each active 8(a) program participant is reviewed on an annual basis to ensure continued compliance with program requirements. Reviews are completed on a rolling basis and must occur within 60 days of the one-year anniversary date from a firm's acceptance into the 8(a) program. For example, a firm certified on January 1 of a given year would need the review completed by March 1 of the following calendar year.									

Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Financial Reviews of Entrepreneurial Development Resource Partners	Target	45	45	75	75	65	65	65	65
	Actual	45	49	76	70	66	69		
	Variance	0%	9%	1%	-7%	2%	6%		
Additional Information: The indicator includes the number of reviews completed.									
Performance Goal		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Financial Reviews of VBOCs	Target	N/A	N/A	N/A	Baseline	5	5	5	5
	Actual	N/A	N/A	N/A	N/A	N/A	0		
	Variance	N/A	N/A	N/A	N/A	N/A	-100%		
Additional Information: A VBOC Partner Review involves an analysis of internal procedures using SBDC-consistent procedures. The SBA plans to review five of the 15 VBOCs each annual period of performance (not fiscal year).									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of <u>Analytical</u> Risk-Based Reviews of Lenders	Target	N/A	N/A	110	150	300	300	300	140
	Actual	N/A	N/A	110	181	300	287		
	Variance	N/A	N/A	0%	21%	0%	-4%		
Additional Information: Enhanced analysis of risk factors during development and implementation of the FY 2017 Annual Risk Plan identified a need to conduct additional Targeted Risk-Based Reviews in lieu of as many Analytical Risk-Based Reviews. See next chart below.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of <u>Targeted</u> Risk-Based Reviews of Lenders	Target	N/A	N/A	40	20	15	15	15	103
	Actual	N/A	N/A	41	13	32	32		
	Variance	N/A	N/A	3%	-35%	113%	113%		
Additional Information: Enhanced analysis of risk factors during development and implementation of the FY 2017 Annual Risk Plan identified a need to conduct additional Targeted Risk-Based Reviews in FY 2018. Therefore, Targeted Risk-based Reviews significantly exceeded the planned performance indicator.									
Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of <u>Full</u> Risk-Based Reviews of Lenders	Target	N/A	N/A	30	25	20	20	20	57
	Actual	N/A	N/A	33	25	46	49		
	Variance	N/A	N/A	10%	0%	130%	145%		
Additional Information: Enhanced analysis of risk factors during development of the FY 2017 Annual Risk Plan throughout the year identified a need to conduct additional Full Risk-Based Reviews.									

Performance Indicator		FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Number of Supervision and Enforcement Actions	Target	N/A	Baseline	5	5	5	5	5	10
	Actual	N/A	3	24	9	6	13		
	Variance	N/A	0%	380%	80%	20%	160%		
Additional Information: Lender oversight and recommendations for actions against lenders is based on a more thorough use of monitoring, increased supervision, and enforcement tools.									



Appendix 6 – Management Challenges

The SBA Inspector General submitted its Report Number 17-02 entitled: *Report on the Most Serious Management and Performance Challenges in Fiscal Year 2017*, October 14, 2016. The report represents the OIG’s current assessment of Agency programs or activities that pose significant risks, including those that are particularly vulnerable to fraud, waste, error, mismanagement, or inefficiencies. A summary of the contents of the report follows. Within each Management Challenge is a series of recommended actions (noted by a number) to resolve the Challenge. Refer to the associated Strategic Objective section for details regarding the recommended actions and the SBA progress on addressing the Challenge.

<u>Challenge</u>			<u>Strategic Objective</u>
1	Small Business Contracting	Weaknesses in Small Business Contracting Programs and Inaccurate Procurement Data Undermine the Reliability of Contracting Goals Achievements	1.2
2	IT Security	SBA’s IT Leadership Capabilities Need Strengthening to Address Operational Risks and Challenges	3.1
3	Human Capital	SBA Needs Effective Human Capital Strategies to Carry Out its Mission Successfully and Become a High-Performing Organization	3.2
4	Risk Management and Oversight	SBA Needs to Improve its Risk Management and Oversight Practices to Ensure its Loan Programs Operate Effectively and Continue to Benefit Small Businesses	3.3
5	8(a) Business Development Program	SBA Needs to Ensure that the Section 8(a) Business Development Program Identifies and Addresses the Needs of Program Participants, Only Eligible Firms are Admitted in the Program, and Standards for Determining Economic Disadvantage are Justifiable	2.1
6	Loan Operations	SBA Can Improve its Loan Programs by Ensuring Quality Deliverables and Reducing Improper Payments at SBA Loan Operation Centers	3.3
7	Disaster Assistance	Disaster Assistance Must Balance Competing Priorities to Deliver Timely Assistance and Reduce Improper Payments	1.6
8	Acquisition	SBA Needs to Effectively Manage its Acquisition Program	3.1

To read the full report, go to: <https://www.sba.gov/oig/report-most-serious-management-and-performance-challenges-fiscal-year-2017>

