



U.S. Small Business
Administration

The background of the cover is a photograph of a modern glass skyscraper at night, illuminated from within. The building is curved and has many windows. To the left, there is a brick building with a sign that says 'K'. To the right, there is another brick building with many windows. The image is overlaid with large, white, geometric shapes that create a sense of depth and movement. A red diagonal line runs from the top left towards the bottom right. A white diagonal line runs from the top right towards the bottom left. These lines intersect in the center of the page.

Small Business Administration
Information Technology Strategic Plan
Fiscal Year 2020 - 2022

Table of Contents

Message from the Administrator	1
Message from the CIO	2
Introduction	3
IT Mission, Vision, and Guiding Principles	4
Goal 1: Put Customers First.....	6
Goal 2: Create an Innovative, Digital Enterprise	8
Goal 3: Enable a Mission-Ready IT Workforce	11
Goal 4: Govern IT to Serve Small Businesses	13
Goal 5: Enhance Cyber Security Posture	16
SBA Business - IT Alignment	20
Performance Tracking and Reporting.....	21
Appendix A: IT Strategic Planning Process.....	23
Appendix B: Federal Legislation and Mandates	25
Appendix C: Mapping IT Goals to requirements from Cross Agency Guidance	26
Appendix D: Acronyms	27

Message from the Administrator

Small businesses play a vital role in our economy, helping Americans climb the economic ladder and improving the communities in which they operate. When America's small businesses succeed, we all win. As I stated during my confirmation, I believe entrepreneurship and small business ownership, in many ways, represents the American Dream. I am passionate about empowering entrepreneurs of all backgrounds and communities with the guidance and the support needed to achieve success.



Information Technology (IT) is a key enabler of the Small Business Administration (SBA) mission and plays an important part in supporting our small business customers and partners. We can harness the power of IT to help small businesses grow and create jobs; certify small businesses; increase small business access to capital; and restore small businesses and communities after disasters. Improvements in SBA IT over the last several years have been impressive. This integrated IT Strategic Plan reflects the needs and priorities of the SBA enterprise, including Program and Field Offices, and will help us take our performance to greater levels of capability and maturity.

As SBA enters this next decade, we do so with a sense of the tremendous opportunity we have to support and promote America's 30 million small businesses. SBA IT holds great promise for our work supporting and promoting small businesses and creating an entrepreneur-friendly small business ecosystem. We must use our IT resources to better understand our customers, enable our partners, provide our field offices with the tools they need to excel and ensure the security and integrity of small business data and information.

I want to thank the Office of the Chief Information Officer (OCIO) and Program Office IT Leaders and all the stakeholders who participated in the IT planning process. I know I can count on your support for its successful execution.

Jovita Carranza

Administrator

Small Business Administration

Message from the CIO

In the recently issued State of IT Report we highlighted and celebrated some of the achievements of our SBA IT organizations over the last 2-3 years. The report included the stabilization of our technology infrastructure, strengthening cybersecurity and the beginning of our digital transformation.

There is still a lot to be done to complete our digital transformation journey. The goals, objectives and initiatives outlined in this plan provide a roadmap on how we are going to get there. Specifically, we identified the following five goals:

- Put Customers First.
- Create an Innovative, Digital Enterprise.
- Enable a Mission-Ready IT Workforce.
- Govern IT to Serve Small Businesses.
- Enhance Cyber Security Posture.



The planning process included meetings within OCIO and with SBA's Program Offices to incorporate the needs and priorities for all of SBA. The plan has been developed to fully support the mission, goals and objectives of the SBA as outlined in the *U.S. Small Business Administration Strategic Plan*.

We want to thank all the stakeholders who participated in the planning process. We plan to issue regular progress reports against the plan and look forward to celebrating with you its successful implementation.

Maria Roat

Chief Information Officer

Small Business Administration

Introduction

SBA’s mission is to maintain and strengthen the nation’s economy by enabling the establishment and vitality of small businesses and by assisting in the economic recovery of communities after disasters. IT plays a major role as a key enabler supporting SBA Offices and Programs in achieving this mission.

One of our overarching objectives in developing this plan was to ensure that IT resources are aligned to support the entire SBA mission. The mission, goals, and objectives from the *U.S. Small Business Administration Strategic Plan* are depicted below in Figure 1.



Figure 1

In developing this plan, we heard from across SBA that there is a need to better understand the customer experience. As a result, you will see that our mission statement, our first guiding principle and our first goal reflect that SBA’s customer experience is Priority One.

We plan to review this plan annually to ensure we are fully aligned with the SBA mission or if any adjustments are required to support an ever- changing business environment.

IT Mission, Vision, and Guiding Principles

IT Vision Statement

We are contributing to SBA's success in supporting small businesses, creating new jobs and helping grow our economy by:

- Providing exemplary customer service to both internal and external customers.
- Delivering innovative, value-added and cost-effective technology solutions.
- Continuing to be a trusted partner and advisor to the leadership of the SBA.

IT Mission Statement

We enable the SBA mission by deploying reliable, secure, high-performance digital solutions, and information management services with speed, quality and demonstrated value.

IT Guiding Principles

Put the Customer First: We put customer value front and center in our decision-making and ensure IT investments amplify benefits for SBA's external customers and stakeholders. We continually innovate and improve the usability, availability, and accessibility of our services to improve customer experience.

Collaborate with Stakeholders: We collaborate with our internal customers and business partners to improve program outcomes using a team-centric approach that brings together multiple stakeholders with diverse skills and talents, united in purpose by mission goals and objectives.

Have a fully Staffed and fully Skilled Workforce: We hire the right people for the right job. We are committed to train every staff member for the competencies and skills required for the position. We ensure critical skills are retained within SBA to reduce reliance on contractors.

Build Trust with Transparency: We are open, transparent, and fair in engaging with colleagues and stakeholders. We practice active listening and value constructive feedback to improve project outcomes and service delivery.

Adopt an Enterprise Approach: We take an enterprise approach to IT solutions by simplifying, standardizing, and optimizing for the whole of the SBA rather than its parts. This furthers reduces the life cycle cost of solutions and services.

Measure to Manage: We define clear metrics to measure, manage, benchmark, and improve processes, operations, performance, and customer satisfaction. We use these metrics to improve the solutions and services we deliver.

Institute a Learning Culture: We strive to institutionalize a culture of continuous learning, knowledge sharing, and embracing change so we can better support our internal and external customers.

Secure the Enterprise: We continue to partner with the Department of Homeland Security (DHS) and the Office of Management and Budget (OMB) and our federal and industry partners to strengthen the protection of SBA assets and the data of small business customers and partners.

Goal 1: Put Customers First

SBA is intent on putting its customers first by improving the customer experience (CX) from the first day a small business interacts with the agency until the last. The 21st Century Integrated Digital Experience Act (IDEA) requires the use of qualitative and quantitative data obtained from across the agency to improve the customer experience and provide a mechanism for identifying areas of improvement. These efforts will enable the agency to understand the “voice of the customer” to improve the services provided to America’s small businesses and meet SBA’s mission. Improving the SBA employee experience, by optimizing core services, will enable the SBA workforce to keep 100 percent of their focus on putting their customers' needs first.

To successfully enable the SBA workforce to focus on putting the customer first, the following objectives have been established:

- Objective 1.1 Enable a 360 view of the SBA customer.
- Objective 1.2 Deliver efficient core enterprise services to SBA.

Objective 1.1 Enable a 360 view of the SBA customer.

To enable a 360 view of the customer, we are establishing Voice of the Customer services to use CX methodologies that provide a 360 view of the customer to influence critical, strategic business and IT decisions. This will include compiling personas and customer journey maps leveraging design thinking, iterative prototyping, and co-creation to deliver exceptional services to SBA’s customers.

- Initiative 1.1.1 Leverage CX methods to provide a 360 view of customer interactions with SBA to influence critical, strategic business and IT decisions.
- Initiative 1.1.2 Document and analyze externally facing SBA business processes, including customer pain points, to support business process reengineering that will optimize the CX.
- Initiative 1.1.3 Develop a roadmap and an enterprise architecture to support the 360 view of the SBA customer.
- Initiative 1.1.4 Build CX dashboards to deliver CX data to Program Offices.

Objective 1.2 Deliver optimized core enterprise services to SBA.

SBA will deliver optimized enterprise services to improve the effectiveness and efficiency of SBA's employees in their support of SBA customers. By bolstering enterprise processes, procedures, and tools, SBA employees can stay laser-focused on the mission and enhance the customer experience.

- Initiative 1.2.1 Implement an IT business partnership program to include OCIO liaisons in a customer account management role to interface with program offices to better support their needs.
- Initiative 1.2.2 Consolidate multiple, siloed help desks into a single enterprise service supported by a performance-based contract.
- Initiative 1.2.3 Inventory and document SBA operational and development standards, IT services and associated metrics and benchmark them against public and private sector performance and best practices.
- Initiative 1.2.4 Adopt industry best practices such as IT service management and development policies and processes across the enterprise and standardize metrics to measure the adoption and compliance of these policies.

Goal 2: Create an Innovative, Digital Enterprise

Three years ago, SBA started the journey for the creation of an innovative, digital enterprise by leveraging technologies that enable us to harness the power of the cloud. This digital transformation started and continues to focus on high-impact, customer-facing services to better position SBA achieve its core mission of providing relevant content and services on access of capital, counseling, federal contracting, disaster assistance, and entrepreneurial education. To achieve this goal, it is also critically important that we leverage the business transformation envisioned in our first goal. Only then, will we be able to create an effective, customer-focused and business-aligned digital enterprise.

To successfully complete the creation of an innovative, digital enterprise the following objectives have been established:

- Objective 2.1 Collaboratively develop and deliver technology-enabled business solutions in support of the SBA mission.
- Objective 2.2 Identify and automate business processes to enable digital service delivery.
- Objective 2.3 Manage all records digitally.
- Objective 2.4 Enable all agency data to support digital service delivery.
- Objective 2.5 Ensure Continuity of Operations.

Objective 2.1 Collaboratively develop and deliver technology-enabled business solutions in support of the SBA mission.

To focus our systems development and implementation efforts on mission-critical systems and services, we will rationalize current application development activities, continue our adoption of Cloud Smart strategies, and ensure that the modernization of key mission systems is our priority.

- Initiative 2.1.1 Rationalize current application development efforts to ensure that we focus on mission-critical systems and services.
- Initiative 2.1.2 Identify and prioritize the modernization of core business applications that are critical during disaster or other emergency responses.
- Initiative 2.1.3 Continue the cloud migration and bring on-line mission critical systems and services.

Initiative 2.1.4 Identify key mission systems that can leverage SBA's Insight platform to complete the modernization of SBA priority systems.

Initiative 2.1.5 Continue to upgrade and enhance SBA's digital services platform, SBA.gov, to improve the citizen experience, specifically addressing accessibility and mobile friendliness.

Objective 2.2 Identify and automate business processes to enable digital service delivery.

Once we develop a comprehensive view of our customers, we will identify re-engineering opportunities for our customer engagement processes to simplify and enhance our customer's experience. This will be followed by automating these processes to enable digital delivery of services.

Initiative 2.2.1 Identify priority business processes for potential automation using technologies such as Robotic Process Automation (RPA), Artificial Intelligence (AI), and Machine Learning (ML), and deploy pilot business solutions.

Objective 2.3 Manage all records digitally.

Our records management environment will be greatly enhanced by leveraging data management and digital technologies.

Initiative 2.3.1 Implement digital signatures and automated workflow throughout the enterprise to significantly improve the effectiveness and efficiency of our document review and approval processes.

Initiative 2.3.2 Create a records management taxonomy. A well-defined and documented taxonomy of our data is critical for an efficient and secure records management environment.

Objective 2.4 Enable all agency data to support digital service delivery.

With the 360 view of the customer capability in place, it is important that we enable our program offices to have easy access to that data so they can better serve our customers.

- Initiative 2.4.1 Create a data strategy. In collaboration with the Chief Data Officer (CDO) and with the previously published Target Data Environment (TDE) as a starting point, complete and publish a plan to strategically manage SBA's data assets.

Objective 2.5 Ensure Continuity of Operations

To ensure our ability to maintain and scale-up our capacity during disaster and other emergency responses, it is critical that we are prepared for extreme increases in demand for our IT infrastructure, services, and application in support of the mission.

- Initiative 2.5.1 Review and update the OCIO Disaster Recovery Plan. Ensure that the plan is integrated and aligned with the SBA Business Continuity of Operations Plan (COOP) and include a pandemic scenario and lessons learned from the COVID-19 response.

Goal 3: Enable a Mission-Ready IT Workforce

To support America's small businesses, SBA needs to prepare for and adjust to the continuous changes in technology, protect data, and leverage technologies to improve the customer experience. This requires having the appropriate number of people, required resources, and the right competencies and skills. This also necessitates having the appropriate performance measurement standards and accountability in place to ensure the Agency's mission goals and objectives are achieved.

To accomplish this, the following objectives have been established to effectively meet SBA's desired future state of the IT workforce:

- Objective 3.1 Ensure SBA has the appropriate staffing levels and skillsets of IT professionals needed for the present and future.
- Objective 3.2 Ensure SBA has Agency-wide, IT-specific resources and training for strengthening the IT workforce's ability to support the present and future.
- Objective 3.3 Continue to strengthen the CIO's role in managing the Agency-wide IT workforce.

Objective 3.1 Ensure SBA has the appropriate staffing levels and skillsets of IT professionals needed for the present and future.

With the rapidly changing nature of technology, SBA will ensure it has the appropriate number of IT resources available in critical positions needed to support the work of the SBA workforce in headquarters, district, and local offices across SBA. This requires understanding and anticipating the continually evolving direction of SBA's IT initiatives and the staffing levels, skillsets, and IT resources needed to support the initiatives.

Initiative 3.1.1 Develop an agile workforce development plan based on the identified critical IT positions needed to maintain effective operations and adjust to changing needs and track vacancy rates annually.

Initiative 3.1.2 Launch and sustain a plan for attracting, recruiting, retaining, and developing top IT talent and to increase outreach to minorities, women, and young professionals.

Objective 3.2 Ensure SBA has agency-wide, IT-specific resources and training for strengthening the IT workforce’s ability to support the present and future.

While SBA has a variety of human capital programs and resources for the larger SBA workforce, SBA will identify and establish resources and programs targeted toward the IT workforce. SBA will go beyond the general to a more focused approach for ensuring its IT workforce has access to specialized resources and programs. These resources and programs will enable SBA to grow its IT talent in preparation for meeting the pace of changes in technology and the needs of the nation’s small businesses.

- Initiative 3.2.1 Establish and track formal, agency-wide IT career paths that specifically address competency gaps, including cybersecurity and continuous learning.
- Initiative 3.2.2 Promote critical cross-cutting IT processes and practices for all IT staff by securing funding and resources needed to increase the training hours per employee.

Objective 3.3 Continue to strengthen the CIO’s management of the Agency-wide IT workforce.

SBA will establish formal performance standards for the IT workforce. These SBA-wide standards will ensure that the workforce is prepared to meet the mission needs of the organization. This objective will enable SBA to establish consistency in the management of IT staff across SBA and improve the quality of IT performance.

- Initiative 3.3.1 Establish performance standards for the SBA IT workforce that include customer feedback for measuring performance.
- Initiative 3.3.2 Create and maintain a dashboard leveraging workforce data as a strategic asset to brief the Administrator and executive leadership on IT workforce mission readiness to include recruiting, training, and performance.

Goal 4: Govern IT to Serve Small Businesses

Fully realizing the potential of IT requires that decisions about IT strategies, priorities, and what gets funded must be grounded in the business of SBA and be fully informed to ensure success. Acknowledging that we have finite resources at SBA, the primary focus for setting IT priorities needs to be on how best to serve the nation's small business customers.

To accomplish this, the following objectives have been established to achieve SBA's desired future state of IT governance:

- Objective 4.1 Adopt business and data-driven IT governance best practices.
- Objective 4.2 Provide visibility into the complete IT spend and budgeting across SBA.

Objective 4.1 Adopt business and data driven IT governance best practices.

A best practice in managing IT investments is to place responsibility for reviewing and approving annual IT budget submissions and new investments within an executive-level Investment Review Board. One or more subsidiary boards should be established to ensure that investments have the full support and sponsorship of the executives responsible for carrying out the business of SBA and that decisions are based upon complete information and rigorous analysis of metrics and data. The necessary resources must also be made available to support governance processes and decision making and ensure that the voices of SBA's customers are heard.

- Initiative 4.1.1 Establish and charter new decision-making governance bodies representing all SBA offices to oversee IT investments and monitor SBA enterprise technology and IT strategic direction. Re-chartered governance bodies should have full visibility into IT budget formulation and execution to better ensure effective use of resources in support of SBA's mission. See Figure 2 on page 13.



Figure 2

- Initiative 4.1.2 Complete the SBA current and target enterprise architecture that will guide technology decisions and investments.
- Initiative 4.1.3 Provide management resources to support governance decision making and ensure that baseline requirements of CX, 508, open data, security, and alignment with enterprise architecture and SBA mission priorities are met by IT investments.

Objective 4.2 Provide visibility into the complete IT spend and budgeting across SBA

Information technology has matured to the point where it can transform SBA’s delivery of services to the Nation’s small businesses. Technology Business Management (TBM) is the OMB-required methodology designed to communicate the value of information technology to agency stakeholders. TBM focuses on cost transparency, delivering value, identifying the total cost of IT, and shaping the demand for IT services. With visibility into the complete IT spend of the enterprise, SBA can make more effective use of technology to better understand and support small businesses and partners. Furthermore, we can identify share-in-savings opportunities derived from IT innovation and the use of shared services that can be implemented.

Initiative 4.2.1 Build out the TBM Model to include data from all program offices to capture IT spend and mature the implemented models to integrate with contract and financial system data sources, perform analysis, and create standard reports and dashboards.

Initiative 4.2.2 Analyze agency IT spending, including comparisons to benchmarks in the private and public sector, to identify opportunities for cost savings and incentivize IT innovation by allocating savings for re-use by participating offices.

Goal 5: Enhance Cyber Security Posture

At SBA, we protect sensitive information entrusted to the SBA through an effective cybersecurity and privacy program. An effective cybersecurity program consists of the following key elements: Detecting and understanding threats to mission; protecting information systems and operational technology from cyber-attack; remediating attacks; and preventing attacks from happening. Creating and sustaining an effective cybersecurity program requires collaboration across the agency, properly resourced and managed, and is essential for the well-being of SBA and its customers and stakeholders.

The following objectives have been identified that, when achieved, will enable SBA to mitigate cybersecurity risks to its mission and services.

- Objective 5.1 Provide rapid response to cyber-attacks.
- Objective 5.2 Create a secure and modern information infrastructure.
- Objective 5.3 Enable full operational visibility of sensitive assets and data.
- Objective 5.4 Adopt risk-based governance and engagement practices.
- Objective 5.5 Improve small business cyber capabilities and awareness.

Objective 5.1 Provide rapid response to cyber-attacks.

Rapid and effective response to cyber-attacks is key to limiting damage and loss. Cutting-edge and continuous security monitoring, a resilient architecture, a unified response plan, and intelligence sharing are all key facets in limiting the impact of cyber-attacks.

Initiative 5.1.1 Establish integrated network and security operations functions, including combining Network Operations Center (NOC) and Security Operation Center (SOC) ticketing systems to ensure 365/24/7 unified monitoring and response to events that impact the confidentiality, integrity, and availability of SBA mission systems.

Initiative 5.1.2 Implement tool sets and leverage shared services that enable SBA to effectively meet its business needs in response to evolving threats, cybersecurity risks, federal requirements, and operational needs.

Objective 5.2 Create a secure and modern information infrastructure.

We will continue to mature our ability to respond rapidly to identified attacks lower our risk profile. To ensure protection of SBA’s critical mission solutions and data assets, we will continue to architect and deploy an adaptive and resilient security architecture, modernize and optimize our infrastructure and legacy systems, implement shared security services, continue maturing our zero-trust IT environment, and update and test our Disaster Recovery Plan on a regular basis.

- Initiative 5.2.1 Define and establish SBA requirements for a zero-trust environment to guide implementation.
- Initiative 5.2.2 Replace security services and tools that rely on legacy infrastructure with cloud-based systems and services to reduce the attack surface; ensure cyber capabilities are aligned to the current business operating environment; and monitor data wherever the data resides.
- Initiative 5.2.3 Implement a cloud-based proxy and firewall that routes traffic through managed software to apply corporate and security policies.
- Initiative 5.2.4 Implement Trusted Internet Connection (TIC) 3.0.
- Initiative 5.2.5 Complete transition to a software-defined wide-area network (SD-WAN) to support our zero-trust environment, providing enhanced security of SBA and stakeholder assets and data. Transitioning to a software defined network will also improve performance by increasing bandwidth and improving connectivity between field offices, headquarters, and the cloud; at lower cost of delivered service.

Objective 5.3 Continue to improve the protection of sensitive data.

In order to improve protection of SBA’s data and operations, we must continue to implement the National Institute of Standards and Technology (NIST) cybersecurity (Identify, Protect, Defend, Respond, Recover) and risk frameworks. In addition, all data assets across the enterprise will be identified and protected by continuing to deploy our industry leading adaptive cybersecurity architecture and layered defenses. By implementing continuous diagnostics and mitigation solutions to provide near-real time situational awareness, coupled with automated response capability and real-time decision making, we can better protect our

high value assets and data. SBA has taken a position of leadership in leveraging the cloud to pilot and meet the requirements of the Continuous Diagnostics and Mitigation (CDM) program.

- Initiative 5.3.1 Continue to mature CDM capabilities to maintain full visibility, monitor, and assess the security posture of our systems and assets on a near real-time basis. SBA will develop and implement a framework to enhance vulnerability and configuration management across the enterprise.
- Initiative 5.3.2 Create and maintain an automated inventory of all SBA's data assets.
- Initiative 5.3.3 Execute an enterprise-wide approach to Identity Credentialing and Access Management (ICAM) to control accessibility of SBA information resources, systems, and facilities.
- Initiative 5.3.4 Expand the Cybersecurity as a Service (CSaaS) offering to more Program Offices. This will enhance the integration of the SBA security program, providing a single, consistent set of tools based on SBA's enterprise framework.

Objective 5.4 Adopt risk-based governance and engagement practices.

Streamlining policy development and requirements in the face of a constantly changing risk environment is critical to modernization and innovation. Efficient business processes, communicated across the enterprise, support those policies and enhance the effectiveness of the workforce as they execute operations and adopt innovative technologies.

- Initiative 5.4.1 Write policy, standards, and implementation guidance to match our implementation of new technologies within the enterprise and stay abreast of new federal mandates, policies, and guidance for both security and policy.
- Initiative 5.4.2 Develop executive level dashboards and automated reporting to fully consider security, privacy, and risk in SBA decision-making.
- Initiative 5.4.3 Catalog and document all privileged access accounts to include authorized access to applications and data, particularly high value assets.

Objective 5.5 Improve small business cyber capabilities and awareness.

Initiative 5.5.1 Partner with Federal Agencies (DHS and NIST) to support the Office of Entrepreneurial Development (OED) to improve small business cyber capabilities and awareness.

SBA Business - IT Alignment

SBA IT fully supports the entire SBA mission, as well as SBA’s strategic goals. The alignment of each IT goal and objective in this plan are mapped below to the SBA goals and objectives from the SBA Strategic Plan for FY 2018 – 2022.

		SBA Business Strategic Goals				
		Goal 1: Support small business revenue and job growth	Goal 2: Build healthy entrepreneurial ecosystems and create business friendly environments	Goal 3: Restore small business and communities after disasters	Goal 4: Strengthen SBA's ability to serve small businesses	
SBA IT Strategic Goals and Objectives	IT Goals	IT Objectives				
	1: Put Customers First	1.1 Enable 360 View of the SBA Customer	✓	✓	✓	✓
		1.2 Deliver Optimized Core Enterprise Services	✓	✓	✓	✓
	2: Create an Innovative, Digital Enterprise	2.1 Develop/Deliver Technology Enabled Business Solutions	✓	✓	✓	✓
		2.2 Identify and Automate Business Processes	✓	✓	✓	✓
		2.3 Manage Records Electronically			✓	✓
		2.4 Enable Agency Data to Support Service Delivery	✓	✓	✓	✓
	3: Enable a Mission-Ready IT Workforce	3.1 Ensure Appropriate Staffing Levels and Skillsets	✓	✓	✓	✓
		3.2 Ensure SBA has Agency-Wide IT Training				✓
		3.3 Strengthen CIO Management of IT Workforce				✓
	4: Govern IT to Serve Small Businesses	4.1 Adopt Business and Data Driven IT Governance				✓
		4.2 Provide Visibility into IT Spend and Budgeting				✓
	5: Enhance Cyber Security Posture	5.1 Provide Rapid Response to Cyber Attacks	✓	✓	✓	✓
		5.2 Create a Secure and Modern Information Infrastructure	✓	✓	✓	✓
		5.3 Continue to Improve the Protection of Sensitive Data	✓	✓	✓	✓
		5.4 Adopt Risk-Based Governance and Engagement Practices				✓
		5.5 Improve Small Business Cyber Capabilities/Awareness	✓	✓	✓	✓

Performance Tracking and Reporting

The five goals of this plan are:

- Put Customers First.
- Create an Innovative Digital Enterprise.
- Enable a Mission-Ready IT Workforce.
- Govern IT to Serve Small Businesses.
- Enhance Cyber Security Posture.

The implementation of this plan is already in progress. Progress towards fully meeting these goals will be measured and published to the SBA community and will track how well this strategic plan is executed.

In addition, a best practice is to adopt IT performance indicators related to customer service, operational performance, workforce excellence, and cybersecurity.

Indicators will be SMART (specific, measurable, attainable, relevant and time-based) performance measures that will be monitored and reported on an on-going basis. The following are specific indicators we are adopting.

Customer Service

User satisfaction Index: Measured twice a year through a survey that measures user satisfaction across all services provided, with rating options of “Outstanding”, “Very Good”, “Good”, “Not Acceptable” and “Poor”.

First call performance of the Service Desk: Measures monthly the percentage of the trouble tickets that are resolved on the first call using performance data available through the trouble ticket management system.

CX-Customer satisfaction Index: Measured twice a year through surveys.

Operational Performance

Infrastructure Services Cost per User: Measured annually using TBM and budget for infrastructure services and FTE count.

Unscheduled Network Down Time: Network downtime will be measured from our network performance logs and will be reported quarterly.

Workforce Excellence

Training Hours per Employee: Measured semi-annually for full-time Federal employees. This will help us measure the success of our re-skilling efforts.

Key Positions Vacancy rate: Measured semi-annually. Key positions will be defined (e.g. by GS grade or title) and individually identified.

Cybersecurity

Time to Detect. The amount of time (days/hours/minutes) from when a cybersecurity incident occurs until it is detected. Reported quarterly.

Time to Resolve. The amount of time (days/hours/minutes) elapsed from when a cybersecurity event is detected to when it is resolved. Reported quarterly.

Critical Patch Management. Critical patches will be applied within 15 days per DHS Guidance. Measured and reported quarterly.

Appendix A: IT Strategic Planning Process

To develop an agency-wide IT Strategic Plan that represents the IT needs of the SBA enterprise we: aligned IT goals, objectives, and initiatives with SBA's Strategic Plan FY2018- 2022; complied with core Federal and SBA mandates; and leveraged the following process:

SBA's Strategic Plan FY18-FY22

Started the process by reviewing SBA's Strategic Plan to ensure we all understand what our Agency's Goals and priorities are over the next 3-5 years.

IT Vision, Mission and Guiding Principles

Discussion sessions were held with the OCIO Leadership Team to develop and agree on IT's Vision, Mission and Guiding Principles that have been incorporated in the plan.

Identify OCIO IT Goals and Priorities

With the SBA Strategic Plan as a guide as well as the changing SBA business landscape (i.e. new Administrator with a few new priorities), numerous planning sessions were conducted to identify IT goals and priorities, specifically:

- Interviews and planning sessions were held with all OCIO Directors to review current plans and identify goals and priorities for their respective service departments to address the needs of the agency over the next 3-5 years.
- Multiple reviews and discussions were held with the Chief Technology Officer (CTO), Deputy Chief Information Officer (DCIO), and the CIO to confirm alignment of the proposed plan.
- Several review sessions were conducted with the OCIO Leadership Team to confirm and get alignment on the IT Plan's Goals, Objectives and Initiatives proposed.

Identify Program Offices IT Goals and Priorities

For an enterprise IT plan, it is critically important to identify the IT needs and priorities for our Program Offices. Planning sessions were conducted with most of our Program Offices to that end. Specifically:

- Interviews and planning sessions were held with IT Directors and key stakeholders of the four Program Offices with substantial IT spend and resources, namely the Office of

Disaster Assistance (ODA), Office of Capital Access (OCA), Office of Chief Financial Officer (OCFO), Office of Human Resources Solutions (OHRS) to review recent accomplishments, current plans, goals, and priorities for their respective program offices.

- Similar interviews and planning sessions were held with key stakeholders from the following Program Offices: Office of Entrepreneurial Development (OED), Office of Field Operations (OFO), Office of Investment and Innovation (OII), Office of the National Ombudsman (ONO), Office of Communications & Public Liaison (OCPL), and Office of Government Contracting & Business Development (OGCBD).

External Industry Review

An external perspective review was conducted to assess industry drivers, review legislative and regulatory changes, and assess new and emerging technologies for potential adaptation within our agency.

Draft the IT Strategic Plan and establish performance metrics and indicators

With all the data assembled through the planning sessions described above as well as our external scan of technologies and industry drivers, the Plan was drafted and reviewed by key SBA stakeholders.

Appendix B: Federal Legislation and Mandates

To understand the external and internal factors facing SBA today and in the future, we conducted a high-level environmental review. The results of this review are categorized into three main areas: drivers, enablers, and trends, which are represented below. Drivers are internal and external forces that are most likely to impact our Agency. Enablers are the required capabilities, activities, or solutions that help to support and shape the future of the Agency. The three key drivers are: Legislation and Agency Policies and Guidance; Budget and Budget Constraints; and Agency Operations.

DRIVERS	ENABLERS	TRENDS
Legislation and Agency Policies and Guidance	<ul style="list-style-type: none"> • OMB Mandates • National Institute of Standards and Technology (NIST) Standards • FedRAMP Certification • SBA Cloud Strategy • SBA Open Data Policy 	<ul style="list-style-type: none"> • Compliance • Cyber Security & Privacy • Open Data Virtualization
Budget and Budget Constraints	<ul style="list-style-type: none"> • Agency IT Funding Strategy 	<ul style="list-style-type: none"> • Managing More Efficiently
Agency Operations	<ul style="list-style-type: none"> • Open Government Strategy • CIO Domains (Security, Enterprise Information Management, Cloud / Infrastructure, Application Modernization, Mobility, Collaboration) • CIO Capabilities 	<ul style="list-style-type: none"> • Secure Information Management • Risk Management • Cyber Security & Privacy • Data Integrity & Data Analytics • Mobile & Cloud Computing • Modern & Service-Oriented • Enterprise Architecture • Greater flexibility in mobile application use • Interagency Collaboration for Multi-Purpose Use • Open Source and Collaborative Software • Public-Private Partnerships
	<ul style="list-style-type: none"> • Communications Strategy 	<ul style="list-style-type: none"> • Building Relationships of Trust
	<ul style="list-style-type: none"> • Workforce 	<ul style="list-style-type: none"> • Hiring Demand in Specialized Skills • Retirement Waves • Training

Appendix C: Mapping IT Goals to requirements from Cross Agency Guidance

In developing this IT Strategic plan, we also considered the following Cross Agency Priority Goals, that are cross referenced with our IT Strategic Goals and Objectives found below:

Cross Agency Priority Goals

1. Modernize IT to Increase Productivity and Security
2. Leveraging Data as a Strategic Asset
3. Developing a Workforce of the 21st Century
4. Improving Customer Experience with Federal Services
5. Sharing Quality Services
6. Shifting from Low-Value to High-Value Work
7. Category Management–Leveraging Common Contracts and Best Practices to Drive Savings and Efficiencies
8. Results-Oriented Accountability for Grants
9. Getting Payments Right
10. Federal IT Spending Transparency
11. Improve Management of Major Acquisitions
12. Security Clearance, Suitability, and Credentialing
13. Improve Transfer of Federally Funded Technologies from Lab-to-Market

IT Goals		IT Objectives		Cross Agency Priority Goals												
				1	2	3	4	5	6	7	8	9	10	11	12	13
SBA IT Strategic Goals and Objectives	1: Put Customers First	1.1 Enable 360 View of the SBA Customer	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓		✓	
		1.2 Deliver Optimized Core Enterprise Services	✓			✓	✓	✓	✓					✓		
	2: Create an Innovative, Digital Enterprise	2.1 Develop/Deliver Technology Enabled Business Solutions	✓	✓		✓	✓	✓		✓	✓		✓	✓	✓	
		2.2 Identify and Automate Business Processes	✓			✓	✓	✓		✓	✓				✓	
		2.3 Manage Records Electronically	✓	✓		✓	✓	✓								
		2.4 Enable Agency Data to Support Service Delivery	✓	✓		✓	✓	✓		✓	✓		✓		✓	
	3: Enable a Mission-Ready IT Workforce	3.1 Ensure Appropriate Staffing Levels and Skillsets		✓	✓					✓	✓		✓			
		3.2 Ensure SBA has Agency-Wide IT Training		✓	✓					✓	✓		✓			
		3.3 Strengthen CIO Management of IT Workforce		✓	✓								✓			
	4: Govern IT to Serve Small Businesses	4.1 Adopt Business and Data Driven IT Governance							✓				✓			
		4.2 Provide Visibility into IT Spend and Budgeting							✓			✓	✓			
	5: Enhance Cyber Security Posture	5.1 Provide Rapid Response to Cyber Attacks	✓	✓		✓	✓									
		5.2 Create a Secure and Modern Information Infrastructure	✓			✓	✓									
		5.3 Continue to Improve the Protection of Sensitive Data	✓	✓		✓	✓									
		5.4 Adopt Risk-Based Governance and Engagement Practices	✓	✓												
5.5 Improve Small Business Cyber Capabilities/Awareness		✓	✓		✓	✓	✓			✓				✓		

Appendix D: Acronyms

AI	Artificial Intelligence	SBA	Small Business Administration
CDM	Continuous Diagnostics and Mitigation	SMART	Specific, Measurable, Achievable, Realistic, and Timely
CDO	Chief Data Officer	SOC	Security Operations Center
CIO	Chief Information Officer	TBM	Technology Business Management
CRM	Customer Relationship Management	TDE	Targeted Data Environment
CSaaS	Cybersecurity as a Service	TIC	Trusted Internet Connection
CTO	Chief Technology Officer		
CX	Customer Experience		
DCIO	Deputy Chief Information Officer		
DHS	Department of Homeland Security		
FITARA	Federal Information Technology Acquisition Reform Act		
ICAM	Identity, Credential, and Access Management		
IDEA	21st Century Integrated Digital Experience Act		
IT	Information Technology		
ML	Machine Learning		
NIST	National Institute of Standards and Technology		
NOC	Network Operations Center		
OCA	Office of Capital Access		
OCFO	Office of Chief Financial Officer		
OCIO	Office of Chief Information Officer		
OCPL	Office of Communications and Public Liaison		
ODA	Office of Disaster Assistance		
OED	Office of Entrepreneurial Development		
OFO	Office of Field Operations		
OGCBD	Office of Government Contracting & Business Development		
OHRS	Office of Human Resource Solutions		
OII	Office of Investment and Innovation		
OMB	Office of Management and Budget		
ONO	Office of the National Ombudsman		
PMO	Project Management Office		
RPA	Robotic Process Automation		