
STRATEGIC PLAN

FISCAL YEARS 2022-2027



**U.S. SMALL BUSINESS ADMINISTRATION
OFFICE OF INSPECTOR GENERAL**



TABLE OF CONTENTS

03 MESSAGE FROM THE INSPECTOR GENERAL

**04 STRATEGIC GOALS FOR FISCAL YEARS
2022-2027 OVERVIEW**

**05 STRATEGIC GOALS FOR FISCAL YEARS
2022-2027**

06 RELATIONSHIP TO THE SBA STRATEGIC PLAN

**06 CRITICAL ENVIRONMENTAL INFLUENCES
AND ASSUMPTIONS**

07 ABOUT OIG

08 STATUTORY RESPONSIBILITIES

08 OIG EMPLOYEES

10 OIG ORGANIZATIONAL STRUCTURE

SBA OIG STRATEGIC PLAN FISCAL YEARS 2022-2027

MESSAGE FROM THE INSPECTOR GENERAL

HANNIBAL “MIKE” WARE



I am pleased to present the Small Business Administration (SBA) Office of Inspector General (OIG) Strategic Plan for fiscal years (FYs) 2022 through 2027. This 5-year strategy sets OIG on a course toward its vision of being valued and engaged change agents who set the standard for oversight excellence in support of America’s small businesses. We are an organization comprised of talented professionals that carry out our duties and responsibilities with integrity, commitment, and excellence.

We honor our commitment to the nation’s small businesses by providing independent, objective, and timely oversight to improve the integrity, accountability, and performance of SBA and its programs for the benefit of the American people.

Attainment of our goals and objectives is premised on a commitment to our most valuable asset—our staff members. This plan seeks to foster a positive work-life balance while ensuring professionalism and developing our future leaders. I want to thank our workforce for their assistance in developing this collaborative strategic approach to our mission. I am committed to promoting the diverse, inclusive, and positive workplace our employees deserve and the oversight excellence the taxpayers rightfully demand. We all play a vital role in carrying out our mission, and I am confident this plan will guide our organization in promoting positive change within SBA and across the Government.

Sincerely,

Hannibal “Mike” Ware
Inspector General

STRATEGIC GOALS FOR FISCAL YEARS 2022-2027 OVERVIEW



MISSION

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



VISION

Valued and engaged change agents who set the standard for oversight excellence in support of America’s small business



VALUES

- Integrity
- Commitment
- Excellence



GUIDING PRINCIPLES

To carry out our statutory and other responsibilities. The OIG follows these guiding principles:

- Deliver products and services of the highest quality defined by their accuracy, timeliness, fairness, and usefulness to our customers
- Maintain independent and objective oversight of SBA programs and operations
- Promote open and honest communication among our staff and with our customers and stakeholders
- Encourage a positive work environment that emphasizes mutual respect, teamwork, creativity, personal growth, diversity, and productivity.

STRATEGIC GOALS FOR FISCAL YEARS 2022-2027

**GOAL
1**

PROMOTE THE INTEGRITY, EFFICIENCY, AND EFFECTIVENESS OF SBA PROGRAMS AND ACTIVITIES.

OBJECTIVES

- 1.1** Conduct timely, relevant, and effective audits, investigations, and other analyses
- 1.2** Conduct investigations, audits, and evaluations that compel corrective action
- 1.3** Increase the impact of audits, evaluations, and investigations in high-risk areas

**GOAL
2**

AMPLIFY OVERSIGHT IMPACT THROUGH EFFECTIVE COMMUNICATION AND STAKEHOLDER ENGAGEMENT.

OBJECTIVES

- 2.1** Ensure continuous communication with stakeholders about critical audit and investigative issues, priorities, work products, and results
- 2.2** Increase and leverage collaborative, working relationships with outside agencies and other OIGs
- 2.3** Raise internal and external stakeholder awareness of fraud, waste, and abuse

**GOAL
3**

CULTIVATE AND MAINTAIN A CULTURE THAT INSPIRES INNOVATION, HIGH PERFORMANCE, SELF-LEADERSHIP, AND ACCOUNTABILITY.

OBJECTIVES

- 3.1** Ensure that OIG recruits and retains a diverse, high-performing, outcome-driven workforce
- 3.2** Continually assess internal processes to ensure organizational growth and development
- 3.3** Foster an inclusive organizational culture that inspires employee engagement, cooperation, and fairness

**GOAL
4****LEVERAGE DATA AND TECHNOLOGY TO EFFECTIVELY ADVANCE
OPERATIONAL IMPROVEMENTS AND OVERSIGHT****OBJECTIVES**

- 4.1** Increase internal collaborations and knowledge sharing
- 4.2** Leverage technology and employee experience to improve OIG methods in carrying out our mission

RELATIONSHIP TO THE SBA STRATEGIC PLAN

SBA declares – *“Our 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.”*

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

CRITICAL ENVIRONMENTAL INFLUENCES AND ASSUMPTIONS

Successfully achieving our strategic goals while delivering on our promise to our stakeholders depends on a myriad of external factors and influences. The following list represents factors identified during our environmental scan and assessment that would impact the achievement of our goals and objectives:

- Changes to Laws, Mandates, and Guidelines that are beyond our control and may require a refocus of direction
- Economic factors and decisions that impact funding
- Long-term duration of global pandemic or other possible future disasters or catastrophic events that may occur and overwhelm our organization’s capabilities
- Increased cyber-security threats and the lack of the ability to manage them





FUTURE EVALUATIONS

This strategic plan serves as the framework for providing the intentional direction and guardrails that empower team members to make decisions, complete daily tasks, and optimize organizational performance in achieving mission success. We are committed to collecting, maintaining, reporting, and analyzing required data to ensure goal attainment. Outcomes and results of these efforts are reported in accordance with legislative requirements.

OIG will evaluate the strategy's execution and plan implementation semi-annually. Designated staff are accountable for reviewing, informing, and updating each measure, objective, data source, and initiative.

OIG OVERVIEW



ABOUT OIG

In fulfillment of the Inspector General Act, OIG provides auditing, investigative, and other services to support and assist the SBA in achieving its statutory mission.

OIG provides independent and objective oversight to improve the integrity, accountability, and performance of the SBA and its programs for the benefit of the American people. OIG seeks to improve SBA programs by identifying key issues facing the Agency, recommending corrective actions, and promoting a high level of integrity. OIG is a member of [The Council of the Inspectors General on Integrity and Efficiency \(CIGIE\)](#) and the Pandemic Response Accountability Committee, a committee within CIGIE that promotes transparency and supports independent oversight of the funds provided by the CARES Act and other related pandemic relief legislation.

STATUTORY RESPONSIBILITIES

OIG was created as an independent and objective oversight office created within SBA by the Inspector General Act of 1978. The Inspector General Act specifies that OIG will do the following:

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

OIG EMPLOYEES

OIG is comprised of teams of dedicated change agents that possess expertise in criminal justice, auditing, accounting, finance, human capital management, information technology, law, business administration, and a myriad of other fields.

In addition to the Office of Counsel to the Inspector General, three divisions assist in carrying out the statutory responsibilities of the OIG—the Audits Division, Investigations Division, and the Management and Operations Division.

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

The **Audits Division** performs and oversees audits and reviews to promote the economical, efficient, and effective administration of SBA programs and operations. Key areas of emphasis are SBA's loan, disaster assistance, business development, and government contracting programs, as well as mandatory and other statutory audit requirements involving information technology security, financial reporting, and other SBA program areas. The balance of the engagements is discretionary and focuses on high-risk activities and identified management issues.

The **Investigations Division** manages a program to detect and deter illegal and improper activities involving SBA’s programs, operations, and personnel. The criminal investigations staff carries out a full range of traditional law enforcement functions. Within the Division, the Hotline reviews allegations of waste, fraud, abuse, and severe mismanagement within SBA or its programs made by employees, contractors, and the public. A preliminary review of all complaints is conducted to determine the appropriate course of action. As part of the review process, hotline staff may coordinate reviews of allegations within OIG, SBA program offices, or other government agencies. The Security Operations Staff within the Division conducts required employee and contractor background investigations to achieve a high level of integrity in the Agency's workforce. It makes adjudications on OIG employees and contractors for issuance of PIV cards pursuant to HSPD-12 background investigations requirements.

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

OIG ORGANIZATIONAL STRUCTURE
Small Business Administration
Office of Inspector General

