

Validation of Data Used in Performance Measure

Office name: **Office of Financial Assistance - 7(a)**

1 - a

| <u>Performance Indicator Title</u> | Loans Approved (\$) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the dollar value of small business 7 (a) guaranteed loans that have been approved during the fiscal year. |
| Briefly describe relevance of this indicator for measuring program success | By definition, a lender would not have provided the financing to the small business without SBA's guaranty. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> NO Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and jobs supported. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing). |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | None. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Dollar value of loans approved to small businesses.</p> <p>Unit of measure: \$</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>None</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>None</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Five business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data file created by OCIO from the "Orig Gross Amt" field.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Five business days after the close of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>There are built-in rules behind SBA's input screens through E-tran. These rules cover the maximum loan size by program, maximum guaranteed amount, maximum amount to one borrower, use of proceeds, ineligible businesses by NAICS code and so on. In addition, the Loan Accounting System is periodically audited by the OIG, GAO, and SBA's auditors.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>A large proportion of 7 (a) loan approvals are recorded from entries by lenders using E-tran (a web-based electronic submission system). There can be data entry errors. However, numerous "rules" are built into E-tran to minimize these errors.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p></p> | <p></p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | Check One: <input checked="" type="checkbox"/> Yes High <input type="checkbox"/> No Medium |

Validation of Data Used in Performance Measure

office name: **Office of Financial Assistance - 7(a)**

1 - b

| <u>Performance Indicator Title</u> | Small Businesses Assisted (#) |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of small businesses that have been assisted by SBA receiving approval for an SBA-guaranteed loan. |
| Briefly describe relevance of this indicator for measuring program success | By definition, a lender would not have provided the financing to the small business without SBA's guaranty. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and jobs supported. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing). |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Unknown.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of small businesses that received a 7(a) loan approval.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Number of small businesses with a unique EIN # that received an approval plus number of small businesses with a non-unique EIN but a unique SSN that received an approval.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes.</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p style="text-align: center;">Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated from SBA's budget authority.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data record is captured by SBA's Loan Accounting System at the time of SBA loan approval when budget funds are allocated to the loan approval number.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data file created by OCIO from the "Orig Gross Amt" field.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Five business days after the close of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>There are built-in rules behind SBA's input screens through E-tran. These rules cover the maximum loan size by program, maximum guaranteed amount, maximum amount to one borrower, use of proceeds, ineligible businesses by NAICS code and so on. In addition, the Loan Accounting System is periodically audited by the OIG, GAO, and SBA's auditors.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>A large proportion of 7 (a) loan approvals are recorded from entries by lenders using E-tran (a web-based electronic submission system). There can be data entry errors. However, numerous "rules" are built into E-tran to minimize these errors.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None.</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | Check One: <input checked="" type="checkbox"/> Yes High <input type="checkbox"/> No Medium |

Validation of Data Used in Performance Measure

Office name: **Office of Financial Assistance - 7(a)**

1 - c

| <u>Performance Indicator Title</u> | Jobs Supported (#) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of jobs supported as a result of SBA loans. |
| Briefly describe relevance of this indicator for measuring program success | This indicator shows the impact of SBA loans on small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in helping businesses grow jobs. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | This is self-reporting. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of jobs supported</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>None</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>None</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p style="padding-left: 40px;">Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>This is self-reported by the small business applicant and appears on SBA Form 4, Application for Business Loan; SBA Form 1920 (Part B), Supplemental Information for SBA Express, Pilot Loan Programs and PLP Processing; SBA Form 2301 (Part A), Lender Advantage; and in the electronic submission (E-tran) fields a lender completes when submitting a loan approval request under delegated authority.</p> |
| <p>Identify how the data record is captured:</p> | <p>This information is captured in the Loan Accounting System as part of the loan approval process.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Loans are approved immediately.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Fifteen days to close a fiscal year.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS).</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>15 Days after the close</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>There are filters on the front and back end of the data collection process to flag numbers that appear to be unreasonable based on the size of the loan.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Self-Reported data.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>SBA is looking into more detailed analysis on the reliability of self reported jobs supported figures and filter incoming entries appropriately.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>None</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: **Office of Financial Assistance – 7 (a)**

1 - d

| <u>Performance Indicator Title</u> | Underserved Markets – Number of SB Assisted |
|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of small businesses that have been assisted by SBA by receiving approval for an SBA guaranteed loan in Underserved Markets. |
| Briefly describe relevance of this indicator for measuring program success | This indicators emphasis SBA’s presence in the Underserved Markets. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA’s success in promoting financial assistance to small businesses in the Underserved Markets. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcome would be revenue growth and job supported. Without SBA’s guaranty, the small business would not have received the financing required to establish itself or grow. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Unknown. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of small businesses that received a loan in the Underserved Markets.</p> <p>Underserved Markets are defined as the three geographic cods (HUB Zone, LMI and EZ/EC) and each loan is coded in SBA's loan accounting system based on its business address.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Number of small businesses with a unique EIN # that received an approval plus the number of small businesses with a non-unique EIN but a unique SSN that received an approval.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by the lender through the 1502 process.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | A week after loans is approved. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made and an additional week is needed to geocode each loan. |
| ID the system of record for the indicator, e.g., what system did the information come from? | The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data file created by OCIO using Field – Orig Gross Amt. |
| Identify the date that actual year-end data will be available for reporting. | Five business days after the close of the fiscal year and an additional week afterwards. |
| Describe the process to ensure that the reported data is complete and accurate | There are built-in rules behind SBA's input screens through E-tran. These rules cover the maximum loan size by program, maximum guaranteed amount, maximum amount to one borrower, use of proceeds, ineligible businesses by NAICS code and so on. In addition, the Loan Accounting System is periodically audited by the OIG, GAO, and SBA's auditors. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | A large proportion of 7 (a) loan approvals are recorded from entries by lenders using E-tran. There can be limitations to accuracy due to inaccuracy in reporting business addresses as well as new addresses not being recognized by the geocoding system. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: **Office of Financial Assistance – 7(a)**

1 - e

| <u>Performance Indicator Title</u> | Number of Active Lending Partners (#) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1, 1.6 |
| Why chose this indicator | This indicator identifies the # of Active Lending Partners who have made an SBA 7(a) guaranteed loan as of the first day of a FY. |
| Briefly describe relevance of this indicator for measuring program success | The number of active lenders participating in SBA programs increases the number of access points the agency has to assist small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses by identifying how many lenders participate in our programs. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and jobs supported. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing). |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | None |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The # of unique lenders who have made an SBA guaranteed loan since October, 1st of a fiscal year. This number is zeroed at the close of the FY and begins to count up again as lenders make loans in the following FY.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>None</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>None</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Five business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data file created by OCIO from the "Orig Gross Amt" field.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Five business days after the close of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>There are built-in rules behind SBA's input screens through E-tran. These rules cover the maximum loan size by program, maximum guaranteed amount, maximum amount to one borrower, use of proceeds, ineligible businesses by NAICS code and so on. In addition, the Loan Accounting System is periodically audited by the OIG, GAO, and SBA's auditors.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>A large proportion of 7 (a) loan approvals are recorded from entries by lenders using E-tran (a web-based electronic submission system). There can be data entry errors. However, numerous "rules" are built into E-tran to minimize these errors.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

office name: **Office of Financial Assistance - 504 Loan Program** **2 - a**

| <u>Performance Indicator Title</u> | Loans Approved to Small Businesses (\$) |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the dollar value of small business 504 guaranteed loans that have been approved during the fiscal year. |
| Briefly describe relevance of this indicator for measuring program success | By definition, a Certified Development Company (and the first mortgage lender) would not have provided the financing to the small business without SBA's guaranty. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and job supported. Without SBA's guaranty, the small business would not have received the financing required to grow. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | None |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Dollar value of loans approved to small businesses.</p> <p>Unit of measure: \$</p> |
| Formula used to calculate the indicator (if appropriate) | None |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | None |
| | |
| Section II: Indicator Quality | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated.</p> |
| Identify how the data record is captured: | The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Immediate |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data file created by OCIO. Field – Orig Gross Amt</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Five business days after the close of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Systems are reviewed periodically by the OIG, and GAO.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>There can be data entry errors. However, numerous “rules” are built into the mainframe to minimize these errors.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: **Office of Financial Assistance - 504 Loan Program** 2 - b

| <u>Performance Indicator Title</u> | Number of Small Businesses Assisted |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of existing small businesses that have been assisted by SBA by receiving approval for an SBA-guaranteed loan. |
| Briefly describe relevance of this indicator for measuring program success | By definition, a Certified Development Company (and the first mortgage lender) would not have provided the financing to the small business without SBA's guaranty. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> NO Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and jobs supported. Without SBA's guaranty, the small business would not have received the financing required to grow. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Unknown |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS).</p> <p>EIS data file created by OCIO. Field - Orig Gross Amt.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Five business days after the close of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Systems are reviewed periodically by the OIG, and GAO.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>There can be data entry errors. However, numerous "rules" are built into SBA's loan accounting computer system to minimize these errors.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: **Office of Financial Assistance - 504 Loan Program** **2 - c**

| <u>Performance Indicator Title</u> | Number of Jobs Supported |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of job supported as a result of SBA loans. |
| Briefly describe relevance of this indicator for measuring program success | This indicator shows the impact of SBA loans on small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in helping businesses grow jobs. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> <input checked="" type="checkbox"/> No Output <input type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | This is self-reporting. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Number of jobs supported |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|
| Formula used to calculate the indicator (if appropriate) | None |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | None |
| Section II: Indicator Quality | |
| | |
| Describe the data collection process for the indicator: Identify the event or action that creates a data record (e.g., an approved loan): | This is self-reported by the small business applicant and appears on SBA Form 1244, Application for Section 504 Loans. |
| Identify how the data record is captured: | This information is captured in the Loan Accounting System as part of the loan approval process. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Immediately |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | 15 Days after the close |
| Identify the date that actual year-end data will be available for reporting. | 15 Days after the close |
| Describe the process to ensure that the reported data is complete and accurate | There is no process to verify the data at SBA. |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Self-Reported data. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | SBA is currently looking for an alternative outcome measure (Business Longevity) and believes it will be more accurate than this measure. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | None |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

office name: **Office of Financial Assistance – 504 Loan Program** **2 - d**

| | |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Underserved Markets – Number of SB Assisted |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of small business that has been assisted by SBA by receiving approval for an SBA-guaranteed loan in the Underserved Markets. |
| Briefly describe relevance of this indicator for measuring program success | This indicators emphasis SBA’s presence in the Underserved Markets. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA’s success in promoting financial assistance to small businesses in the Underserved Markets. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcome would be revenue growth and jobs supported. Without SBA’s guaranty, the small business would not have received the financing required to establish itself. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Unknown. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of small businesses in the Underserved Markets to receive a 504 loan.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Number of small businesses with a unique EIN # that received an approval plus the number of small businesses with a non-unique EIN but a unique SSN that received an approval.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes.</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated. The Underserved Markets are defined as the three geographic codes (HUB Zone, LMI and EZ/EC) and each loan is coded in SBA's loan accounting system based on its business address.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data record is captured by SBA's system at the time of SBA loan approval when budget funds are allocated to the loan approval number. For cancellations, the data record is captured by SBA's systems when the loan is identified as cancelled by SBA personnel in the serving centers.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>A week after loans is approved.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made and an additional week is needed to geocode each loan. |
| ID the system of record for the indicator, e.g., what system did the information come from? | The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). The EIS data file is created by the OCIO using the ORIG Gross AMT field. |
| Identify the date that actual year-end data will be available for reporting. | Five businesses days after the close of the fiscal year and an additional week afterwards. |
| Describe the process to ensure that the reported data is complete and accurate | Systems are reviewed by the SBA's Office of Field Operations |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | There can be data entry errors. However, numerous "rules" are built into SBA's loan accounting computer system to minimize these errors. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: **Office of Financial Assistance – 504 Loan Program** 2 - e

| <u>Performance Indicator Title</u> | Number of Active Lending Partners (#) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1, 1.6 |
| Why chose this indicator | This indicator identifies the number of Active Lending Partners who have made an SBA 504 guaranteed loan as of the first day of a FY. |
| Briefly describe relevance of this indicator for measuring program success | The number of active lenders participating in SBA programs increases the number of access points the agency has to assist small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses by identifying how many lenders participate in our programs. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and jobs supported. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing). |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | None |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The number of unique lenders who have made an SBA guaranteed loan since October, 1st of a fiscal year. This number is zeroed at the close of the FY and begins to count up again as lenders make loans in the following FY.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>None</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>None</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Five business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| ID the system of record for the indicator, e.g., what system did the information come from? | The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data file created by OCIO from the "Orig Gross Amt" field. |
| Identify the date that actual year-end data will be available for reporting. | Five business days after the close of the fiscal year. |
| Describe the process to ensure that the reported data is complete and accurate | There are built-in rules behind SBA's input screens through E-tran. These rules cover the maximum loan size by program, maximum guaranteed amount, maximum amount to one borrower, use of proceeds, ineligible businesses by NAICS code and so on. In addition, the Loan Accounting System is periodically audited by the OIG, GAO, and SBA's auditors. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | A large proportion of 7 (a) loan approvals are recorded from entries by lenders using E-tran (a web-based electronic submission system). There can be data entry errors. However, numerous "rules" are built into E-tran to minimize these errors. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – International Trade 3 - a

| <u>Performance Indicator Title</u> | Loans Approved (\$) |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.5 |
| Why chose this indicator | This indicator identifies the dollar value of small business international trade guaranteed loans that have been approved during the fiscal year. |
| Briefly describe relevance of this indicator for measuring program success | By definition, a Certified Development Company (and the first mortgage lender) would not have provided the financing to the small business without SBA’s guaranty. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA’s success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and job supported. Without SBA’s guaranty, the small business would not have received the financing required to grow. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | None. |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Dollar value of loans approved to small businesses.</p> <p>Unit of measure: \$</p> |
| Formula used to calculate the indicator (if appropriate) | None |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | New in FY09 |
| Section II: Indicator Quality | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Event or Action: An SBA guaranteed loan is approved and funds are allocated.</p> <p>Event or Action: If subsequently the guaranteed loan is cancelled, the total number of approvals, year-to-date, is reduced by the number of cancellations.</p> |
| Identify how the data record is captured: | The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Immediate |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data files are created by the OCIO using the Field- ORIG Gross AMT.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Five business days after the close of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Systems are reviewed periodically by the OIG, and GAO.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>There can be data entry errors. However, numerous "rules" are built into the mainframe to minimize these errors.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> NO Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – International Trade 3 - b

| <u>Performance Indicator Title</u> | Number of Small Businesses Assisted |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.5 |
| Why chose this indicator | This indicator identifies the number of existing small businesses that have been assisted by SBA by receiving approval for an SBA-guaranteed loan. |
| Briefly describe relevance of this indicator for measuring program success | By definition, a Certified Development Company (and the first mortgage lender) would not have provided the financing to the small business without SBA’s guaranty. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA’s success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and job supported. Without SBA’s guaranty, the small business would not have received the financing required to grow. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Unknown</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of small businesses that received International Trade loan approval.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Number of small businesses with a unique EIN # that received an approval plus the number of small businesses with a non-unique EIN but a unique SSN that received an approval.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes.</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p style="text-align: center;">Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p style="text-align: center;">Event or Action: An SBA guaranteed loan is approved and funds are allocated.</p> |
| <p style="text-align: center;">Identify how the data record is captured:</p> | <p>The data record is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Immediate |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made. |
| ID the system of record for the indicator, e.g., what system did the information come from? | The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS). EIS data file is created by the OCIO using the ORIG Gross AMT field. |
| Identify the date that actual year-end data will be available for reporting. | Five business days after the close of the fiscal year. |
| Describe the process to ensure that the reported data is complete and accurate | Systems are reviewed periodically by the OIG, and GAO. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | There can be data entry errors. However, numerous "rules" are built into SBA's loan accounting computer system to minimize these errors. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – International Trade 3-c

| <u>Performance Indicator Title</u> | Lenders Counseled/Trained |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal 1 and Strategic Objective 1.1 |
| Why chose this indicator | SBA Goal: |
| Briefly describe relevance of this indicator for measuring program success | This indicator provides the extent to which the USEAC Regional Managers inform and encourage lenders of SBA products that enable small businesses to export. |
| Briefly describe how this indicator is used or will be used to manage the program | When goals are met, we are assured that funds have been properly used for lender outreach. |
| Indicator measures an output (process) or outcome (result) | Output |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | This relates to job growth because it leads to more small businesses getting export loans. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The number of times USEAC Regional Managers make substantive contact with lenders.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Count</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes</p> |
| <p>Describe the data collection process for the indicator:</p> | <p>Data is sent directly to SharePoint and OIT collects the information from SharePoint.</p> |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>USEAC regional managers enter number of contacts into SharePoint;</p> |
| <p>Identify how the data record is captured:</p> | <p>Captured in SharePoint</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Captured weekly</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Daily</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Immediately</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| Describe the process to ensure that the reported data is complete and accurate | A staffer oversees the SharePoint reporting system. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | None |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | None |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance - Microloan Program 4 - a

| <u>Performance Indicator Title</u> | Number of Small Businesses Assisted |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of small businesses that have been assisted by SBA by receiving funding of a Microloan from an intermediary |
| Briefly describe relevance of this indicator for measuring program success | By definition, a lender would not have provided Microloan financing to the small business without SBA's funding the intermediary. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and jobs supported. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing). |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Unknown |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of loans approved to different small businesses; number of SBA loans to microloan intermediaries.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Number of small businesses with a unique EIN # that received an approval plus number of small businesses with a non-unique EIN but a unique SSN that received an approval.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p style="text-align: center;">Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>An SBA funded loan is approved and funds are transferred to the intermediary; an intermediary loans funds to a small business.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number; for loans to small businesses, data is captured when the intermediary enters information into the MPERS system (Micro Loan Electronic Reporting System).</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate in the case of S BA loans; the intermediary is required to enter data into MPERS within 7 days of the closing of the micro loan to the borrower.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>See 3. above for MPERS reporting lag. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS).</p> <p>EIS data file created by OCIO. Field - Orig Gross Amt.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>5 business days after the close of the fiscal year</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Systems are reviewed periodically by the OIG, GAO, and SBA's auditors.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Intermediaries are required to report loan data within 7 days from the closing of the loan; there is general compliance with this requirement, but with approximately 160 intermediaries across the country, there will be some deviation.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p></p> | <p></p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="checked" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance - Microloan Program 4 - b

| <u>Performance Indicator Title</u> | Number of Jobs Supported |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1, 1.6 |
| Why chose this indicator | This indicator identifies the number of jobs supported by the Microloan program. |
| Briefly describe relevance of this indicator for measuring program success | By definition, a lender would not have provided Microloan financing to the small business without SBA's funding the intermediary. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in supporting jobs by promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red; margin: 0;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and jobs supported. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing). |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of jobs supported</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Number of small businesses with a unique EIN # that received an approval plus number of small businesses with a non-unique EIN but a unique SSN that received an approval.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>This is self-reported by the small business applicant and appears on SBA Form 1244, Application for Section 504 Loans.</p> |
| <p>Identify how the data record is captured:</p> | <p>This information is captured in the Loan Accounting System as part of the loan approval process.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediately</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>15 Days after the close</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS).</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>15 Days after the close</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>There is no process to verify the data at SBA.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Self-Reported data.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>SBA is currently looking for an alternative outcome measure (Business Longevity) and believes it will be more accurate than this measure.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>New in FY09</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> NO Medium</p> |

Validation of Data Used in Performance Measure

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance - Microloan Program 4 - c

| <u>Performance Indicator Title</u> | Loans Approved by Microlenders (\$) |
|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1; 1.6 |
| Why chose this indicator | This indicator identifies the number of small businesses that have been assisted by SBA by receiving funding of a Microloan from an intermediary |
| Briefly describe relevance of this indicator for measuring program success | By definition, a lender would not have provided Microloan financing to the small business without SBA's funding the intermediary. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is used by management to identify SBA's success in promoting financial assistance to small businesses that would not have received financial assistance otherwise. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and job supported. Without SBA's guaranty, the small business would not have received the financing required to establish itself (new), or grow (existing). |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>None.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Dollar value of loans to small businesses through microloan intermediaries.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>None</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p style="text-align: center;">Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>An SBA funded loan is approved and funds are transferred to the intermediary; an intermediary loans funds to a small business.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data is captured by SBA's systems at the time of SBA loan approval when budget funds are allocated to the loan approval number; for loans to small businesses, data is captured when the intermediary enters information into the MPERS system (Micro Loan Electronic Reporting System).</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate in the case of SBA loans; the intermediary is required to enter data into MPERS within 7 days of the closing of the micro loan to the borrower.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>As mentioned above, the intermediary is required to enter data into MPERS within 7 days. SBA's accounting office permits 5 business days beyond the end of the fiscal year for adjustments to year-end figures to be made.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The data collection for 7(a), 504 and Microloans is Electronic Transactions (Etran) from which data necessary for accounting entries is uploaded to the mainframe Loan Accounting System (LAS).</p> <p>MPERS for micro loans</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>5 business days after the close of the fiscal year</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Systems are reviewed periodically by the OIG, GAO, and SBA's auditors.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Intermediaries are required to report loan data within 7 days from the closing of the loan; there is general compliance with this requirement, but with approximately 160 intermediaries across the country, there will be some deviation.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| accuracy or completeness of data | |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance - Microloan Program

4 - d

| <u>Performance Indicator Title</u> | Number of Businesses Counseled |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1, 1.6 |
| Why chose this indicator | No. of Businesses Counseled reflects the volume of small businesses receiving training technical assistance services under the Microloan Program lending network. |
| Briefly describe relevance of this indicator for measuring program success | This indicator allows SBA to track the appropriate use of funds, and the delivery of training and technical assistance to microentrepreneurs. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator can be used to compare the reach of Microloan Program non-lending activity from year to year. It will also be used to track the cost of technical assistance on a dollar per client basis |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> NO Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Business start ups/growth and job creation. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Does not reflect the quality of technical assistance provided. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of Businesses Counseled</p> <p>Unit of measure: number</p> <p>Unique: number of business counseled that received loans and number that did not receive loans.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>NA</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Intermediary delivers Technical Assistance to the microenterprise businesses.</p> |
| <p>Identify how the data record is captured:</p> | <p>Intermediary counts the number of businesses provided Technical Assistance in a given time period.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Quarterly or more often</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Lag time of 3 months. Currently developing an electronic system to capture data and associate with the microloans made. Lag time will be reduced.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Self-reported data sent to SBA by the intermediary via grant reimbursement requests.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>October 8 of each Fiscal Year for the previous Fiscal Year (beginning in FY2011).</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Comparison of the Technical Assistance Narrative from quarter to quarter.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Some counseling hours are split between two grants. One for Recovery Act grants. One for non-Recovery Act grants.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>We should develop a standard template/process for the intermediaries to follow.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Ongoing discussions.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>New in FY09</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> No High</p> <p><input type="checkbox"/> Yes Medium Note: After completion of MPERS upgrade, the data indicator will move to High.</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – Microloan Program 4 - e

| | |
|----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | USM – SB Assisted |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1, 1.6 |
| Why chose this indicator | To measure the number of small businesses that receive loans and or technical assistance under the microloan program (i.e., to measure appropriate use of taxpayer dollars). |
| Briefly describe relevance of this indicator for measuring program success | The number of small business assisted per dollar expended allows the Agency to anticipate funding needs and program performance goals. |
| Briefly describe how this indicator is used or will be used to manage the program | Counting clients allows the Agency and the intermediaries to improve marketing strategies, job creation strategies, business development strategies, and use of funds. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes Output</p> <p><input type="checkbox"/> No Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | <p>Job Creation</p> <p>Financial assistance provided for business starts</p> <p>Financial assistance provided for business growth</p> <p>Technical assistance provided for general business, industry specific, and business specific education.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unit of measure = 1 per business assisted</p> <p>Currently we cannot determine whether a loan event is duplicative of a technical assistance event. With the upgrades currently being pursued for the MPERsystem we hope to be able to eliminate duplication by counting pre-loan technical assistance clients and post loan technical assistance clients. Thus, no business is counted twice.</p> |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Microloan made</p> |
| Identify how the data record is captured: | All microloans are reported within seven days of the making of the microloan. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Each time a microloan is made (daily). |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Up to seven days |
| ID the system of record for the indicator, e.g., what system did the information come from? | MPERS, EDMIS |
| Identify the date that actual year-end data will be available for reporting. | Available throughout the year |
| Describe the process to ensure that the reported data is complete and accurate | Analyst review of portfolio reports |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Numbers can be incorrect or incomplete based on whether or not pre-loan TA is counted or post loan TA is double counted. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | Request for system upgrades to improve data quality is underway |
| Describe plans to address limitations to accuracy or completeness of data | Under discussion as part of the upgrade process. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – Microloan Program 4 - f

| <u>Performance Indicator Title</u> | Loans Approved by SBA to Microlenders (\$) |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1, 1.6 |
| Why chose this indicator | Loans Approved by SBA to Microlenders (\$) reflects the capacity of the Microlenders to deliver microloans to disadvantaged entrepreneurs |
| Briefly describe relevance of this indicator for measuring program success | This indicator allows SBA to evaluate the demand for funding from microlenders. |
| Briefly describe how this indicator is used or will be used to manage the program | From year to year the SBA may compare the total amount of loan funding approved to microlenders. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation, revenue growth |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Loan dollar amount approved does not reflect external limitations such as a smaller SBA budget. Loan dollar amount approved also does not capture the dollar amount actually disbursed and received by an intermediary during a particular fiscal year. Does not reflect the varied geographical |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| | demand for microlending between states. |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Unit of measure \$ |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| | |
| Describe the data collection process for the indicator: | |
| Identify the event or action that creates a data record (e.g., an approved loan): | Approved loan |
| Identify how the data record is captured: | Captured in SBA Denver Financial system as well as in Etran system at SBA HQ |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Immediate |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | The compiled total loan \$ amount approved for all Microlenders sheet has a lag time of approx 1 month between releases. |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|
| ID the system of record for the indicator, e.g., what system did the information come from? | Denver Financial Center |
| Identify the date that actual year-end data will be available for reporting. | Approx. Jan 7 th |
| Describe the process to ensure that the reported data is complete and accurate | SBA Financial Analysts spot check the report |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Denver Financial Center must input new loans manually. Sometimes info is missing. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | Better communication between microloan office and Denver Financial |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – Microloan Program 4 - g

| <u>Performance Indicator Title</u> | Number of Active Partners (#) |
|----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1, 1.6 |
| Why chose this indicator | Number of Active Partners allows SBA to anticipate funding needs; lending patterns; SBA’s potential capacity to assist microentrepreneurs through its intermediary lending network; see growth trends or lack thereof; track urban and rural service by county and so forth. |
| Briefly describe relevance of this indicator for measuring program success | Number of Active Partners shows the level of demand for microlenders from year to year. |
| Briefly describe how this indicator is used or will be used to manage the program | Used to evaluate the current volume of microlending services available through SBAs intermediary network, anticipate funding needs, and determine areas into which the program should grow. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes Output</p> <p><input type="checkbox"/> No Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | <p>Increased penetration into underserved areas</p> <p>Job Creation generated by program expansion</p> <p>Small business starts and expansions</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Number of Active Partners does not reflect actual loans made or technical assistance provided to microborrowers, only provides a baseline for anticipating actual business level activity as well as the items touched on above.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unit of measure: Number of Intermediary Lenders</p> <p>Only one unit per entity (are or are not an intermediary).</p> <p>Excludes all organizations that are not intermediaries</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>NA</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Lender is approved for participation</p> |
| <p>Identify how the data record is captured:</p> | <p>Lender information is entered into ETRAN and PIMS.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Lender receives a disbursement so that it can make microloans and is considered active. The information is sent to Denver Financial Center. The list of active lenders is generated monthly.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Upon entry of an active intermediary, the information is reported monthly. Exiting an intermediary takes longer and will be anywhere between the first year that an intermediary does not make a loan, up to decades when intermediaries begin to pay off loans, or exit the program based on performance, or of their own volition.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>E-Tran, PIMS</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Approx Jan 7th</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Analysts spot check the info</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Data does not reflect intermediaries in latency (who are still active in the program but have simply paid off all of their loans.) Does not reflect new intermediaries who have yet to begin making loans.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Update to MPERS that can reflect active vs. inactive intermediaries.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – SBIC

5 - a

| <u>Performance Indicator Title</u> | Small Businesses Assisted (#) |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.5 |
| Why chose this indicator | Measures impact of program in providing capital to small businesses. |
| Briefly describe relevance of this indicator for measuring program success | Patient capital is critical in moving small businesses successfully through their life cycles. The indicator measures how successfully the program is in meeting this objective. |
| Briefly describe how this indicator is used or will be used to manage the program | Data used to evaluate program performance, to focus outreach efforts and in oversight and supervision of SBICs. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> NO Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and job creation. Without SBA's assistance, the small business would not have received the financing required to grow |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | A number of economic factors affect the ability of small businesses to survive and prosper. The receipt of funding is only one variable. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The measures counts the number of unique businesses assisted via the SBIC program</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>None</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Each time an SBIC makes a financing to a small business, the SBIC is required to report information on the financing to the Investment Division using the Portfolio Financing Report (SBA Form 1031).</p> |
| <p>Identify how the data record is captured:</p> | <p>N/A</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>N/A</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ID the system of record for the indicator, e.g., what system did the information come from? | N/A |
| Identify the date that actual year-end data will be available for reporting. | 10 Business days after close of FY. |
| Describe the process to ensure that the reported data is complete and accurate | On a weekly and ultimately on a fiscal year basis, the Investment Division checks the validity of the small business name and its employer identification number by applying edit checks for existence of data and validity of data. The number of small businesses assisted is determined by applying an index of unique small business names to the Form 1031 table and counting the number of businesses |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Although data is accurate as reported, some SBICs may report outside the proscribed time frame. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | As data is collected on an “as reported” rather than “when made” basis, a disclosure is made to inform audiences the basis for data. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – SBIC

5 - b

| <u>Performance Indicator Title</u> | Underserved Markets – Small Businesses Assisted (#) |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.5 |
| Why chose this indicator | Measures impact of program in providing capital to small businesses that have been traditionally underserved by the venture capital industry. |
| Briefly describe relevance of this indicator for measuring program success | Patient capital is critical in moving small businesses successfully through their life cycles. The indicator measures how successfully the program is in meeting this objective, particularly for those portions of the population that have been historically underserved. |
| Briefly describe how this indicator is used or will be used to manage the program | Data used to better focus outreach efforts in an attempt to attract fund managers interested in targeting underserved populations and in oversight and supervision of SBICs. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> NO Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Outcomes would be revenue growth and job creation. Without SBA’s assistance, the small business would not have received the financing required to grow |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>A number of economic factors affect the ability of small businesses to survive and prosper. The receipt of funding is only one variable.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The number of underserved small businesses assisted is calculated by applying an index of unique small business names to the Form 1031 table and then counting the number of businesses that are located in a low income area or that are women, veteran, or minority owned.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>None</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Each time an SBIC makes a financing to a small business, the SBIC is required to report information on the financing to the Investment Division using the Portfolio Financing Report (SBA Form 1031).</p> |
| <p>Identify how the data record is captured:</p> | <p>N/A</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>N/A</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>N/A</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>10 days after close of FY.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>The Investment Division verifies the address information by running programs that check the zip code for a business against a table of zip codes with corresponding cities, states, and counties.</p> <p>After verifying the address information, the Investment Division determines if the business is located in a low-income area by running the Form 1031 data through the PCi Wiz software. The Investment Division verifies the demographic information by running a program that checks the demographic information that was submitted on the most recent Form 1031 is consistent with demographic information that have been received on past Form 1031 submissions. . If the small business is owned 50 percent or more by a woman, veteran, or a minority group, a single character field with Form 1031 data is filled with an "X." The number of underserved small businesses assisted is calculated by applying an index of unique small business names to the Form 1031 table and then counting the number of businesses that are located in a low income area or that are women, veteran, or minority owned.</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Although data is accurate as reported, some SBICs may report outside the proscribed time frame. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | As data is collected on an “as reported” rather than “when made” basis, a disclosure is made to inform audiences the basis for data. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – SBIC

5 - c

| <u>Performance Indicator Title</u> | Amount of Long-Term Capital Deployed (\$) |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.5 |
| Why chose this indicator | Measures SBA’s share of capital committed to the financing needs of small businesses. |
| Briefly describe relevance of this indicator for measuring program success | Directly measures the amount of funding that SBA is committing to small businesses through the SBIC program. |
| Briefly describe how this indicator is used or will be used to manage the program | Will track how effective the Investment Division is in growing the program. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job growth, # of small businesses assisted |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Commitment may not be fully utilized. The small business receipt of funding backed by commitment does not guarantee success of small business. Does not measure the success of the SBIC and potential risk associated with the commitment. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Measures the dollars SBA is committing to SBICs for the purpose of investing in small businesses. The number is in addition to private capital invested by SBICs and substantially in addition to previous amounts committed.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | <p>Tracked by Investment Division information system based upon commitment requests submitted and approved. Data is captured as approved and can be on any given day. Information is reported weekly and is maintained within the ID information system.</p> |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>N/A</p> |
| <p>Identify how the data record is captured:</p> | <p>N/A</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | N/A |
| ID the system of record for the indicator, e.g., what system did the information come from? | N/A |
| Identify the date that actual year-end data will be available for reporting. | 10/07 |
| Describe the process to ensure that the reported data is complete and accurate | Paper backup for electronic records. Figures verified by Office of Operations and CAO within ID and the SBIC receiving the commitment. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | NA |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | NA |
| Describe plans to address limitations to accuracy or completeness of data | NA |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | NA |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – SBG

6 - a

| <u>Performance Indicator Title</u> | Contract Value of Bid and Final Bonds (\$) |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1 |
| Why chose this indicator | This indicator monitors final bond assistance to small contractors. |
| Briefly describe relevance of this indicator for measuring program success | Approved final bonds provide contractors with opportunities to perform contracts, enabling them to grow and sustain their businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator will be used to monitor assistance provided provisions. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red; margin: 0;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation and revenue growth of small contractors. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Value of final bonds</p> <p>Unit of measure: \$</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Approved final bond guarantee.</p> |
| <p>Identify how the data record is captured:</p> | <p>The SBG system captures all approved surety bond guarantees.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Fiscal year end data is available immediately – there is no reporting lag time.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The SBG system.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>October 1st.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>OSG validates its data through its internal reporting system and with OCIO assistance.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Incorrect data may infrequently occur with any information gathering system such as the SBG system.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Data is reviewed and analyzed by OSG staff, who work with OCIO to make necessary corrections.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>New in FY09</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – SBG

6 - b

| <u>Performance Indicator Title</u> | Total Bid and Final Bonds Guarantees (#) |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1 |
| Why chose this indicator | This indicator monitor’s bid bond assistance to small contractors. |
| Briefly describe relevance of this indicator for measuring program success | Approved bid bonds provide small contractors with opportunities to bid on contracts, enabling them to grow and sustain their businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator will be used to monitor assistance provided to small contractors. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red; margin: 0;">Check One:</p> <input checked="" type="checkbox"/> X <input type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation and revenue growth of small contractors. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of Bid bonds</p> <p>Unit of measure: #</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>NA</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Approved bid bond guarantee.</p> |
| <p>Identify how the data record is captured:</p> | <p>The SBG system captures all approved surety bond guarantees.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Fiscal year end data is available immediately – there is no reporting lag time.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The SBG system.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>October 1st.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>OSG validates its data through its internal reporting system and with OCIO assistance.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Incorrect data may infrequently occur with any information gathering system such as the SBG system.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Data is reviewed and analyzed by OSG staff, who work with OCIO to make necessary corrections.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>New in FY09</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> NO Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Financial Assistance – SBG

6 - c

| <u>Performance Indicator Title</u> | Jobs Supported # |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.1 |
| Why chose this indicator | This indicator monitors the number of jobs created/retained as a result of bid and final bond guarantees approved. |
| Briefly describe relevance of this indicator for measuring program success | This is a measure of economic recovery related to bond guarantees. |
| Briefly describe how this indicator is used or will be used to manage the program | This measure will be used to monitor the result of bonding assistance provided. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red; margin: 0;">Check One:</p> <input type="checkbox"/> No Output <input type="checkbox"/> Yes Outcome <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Number of jobs supported Unit of measure: # |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| | |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| | |
| Describe the data collection process for the indicator: | |
| Identify the event or action that creates a data record (e.g., an approved loan): | Approved bid or final bond guarantee. |
| Identify how the data record is captured: | The SBG system captures the number of jobs created/retained for all approved surety bond guarantees. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Immediate |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Fiscal year end data is available immediately – there is no reporting lag time. |
| ID the system of record for the indicator, e.g., what system did the information come from? | The SBG system. |
| Identify the date that actual year-end data will be available for reporting. | October 1 st . |
| Describe the process to ensure that the reported data is complete and accurate | OSG validates its data through its internal reporting system and with OCIO assistance. |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Incorrect data may infrequently occur with any information gathering system such as the SBG system. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | Data is reviewed and analyzed by OSG staff, who work with OCIO to make necessary corrections. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | New in FY09 |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – SBDC

7 - a

| <u>Performance Indicator Title</u> | Multi-Year extended Engagement Clients (#) |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.3 |
| Why chose this indicator | Indicates the long-term counseling relationship established with SBDC clients. |
| Briefly describe relevance of this indicator for measuring program success | SBDC program statutorily is established to provide one-on-one counseling for small businesses. This goal measures clients receiving long-term counseling as long-term counseling has been determined to result in more business start-ups and business expansion over one-time or minimal time technical assistance counseling sessions. |
| Briefly describe how this indicator is used or will be used to manage the program | Goals will be established in the Notice of Award and monitored using EDMIS and during program examinations to determine that counseling hours are being directed towards intensive counseling of long-term clients. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> NO Outcome |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth</p> | <p>New business starts, capital infusion</p> |
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Technical assistance also may be provided to clients by other methods such as email that would not be considered in measuring this goal.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of clients receiving five or more hours of counseling time since tracking began in October 2005.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Unique client that receives counseling during the fiscal year and having five or more cumulative hours of counseling since October 1, 2005.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>This indicator was called Long-Term Client in last year's report. The definition of the indicator is the same.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Counseling session of 30 minutes or more that is reported by an SBDC through EDMIS.</p> |
| <p>Identify how the data record is captured:</p> | <p>The client completes an SBA Form 641 that is entered into the SBDCs local counseling tracking system.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>As the sessions occur.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Data is reported to EDMIS quarterly. End of year reporting is available at the end of each fiscal year. SBDCs have 35 days after the end of the fiscal year to report final year data and correct any data transmission errors.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>EDMIS reporting by SBDCs.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15 of the next year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Validation by SBDCs entering the data and review of goal achievement by OSBDC program managers. SBDCs must be able to produce the actual record that supports the data. Additional SBA validation based on annual ED impact study.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Validation during program examinations.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>None</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – SBDC

7 - b

| <u>Performance Indicator Title</u> | Small Businesses Created (#) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.3 |
| Why chose this indicator | Indicates business success/growth |
| Briefly describe relevance of this indicator for measuring program success | Indicates business start-up or growth. |
| Briefly describe how this indicator is used or will be used to manage the program | Effectiveness of counseling by SBDCs |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Some new business starts may not be reported if the client does not return for subsequent counseling by the SBDC; amount may be higher than reported. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Number of SBDC clients who have started a new business within the last 12 months. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Formula used to calculate the indicator (if appropriate) | Business start-up is recorded during the fiscal year of the next counseling session. |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | None |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: Identify the event or action that creates a data record (e.g., an approved loan): | A new business start is reported by an SBDC through EDMIS. |
| Identify how the data record is captured: | The client completes an SBA Form 641 that is entered into the SBDC local counseling tracking system. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | As the sessions occur. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Data is reported to EDMIS quarterly. End of year reporting is available at the end of each fiscal year. SBDCs have 35 days after the end of the fiscal year to report final year data and correct any data transmission errors. |
| ID the system of record for the indicator, e.g., what system did the information come from? | EDMIS reporting by SBDCs. |
| Identify the date that actual year-end data will be available for reporting. | Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15 of the following year. |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Describe the process to ensure that the reported data is complete and accurate | Validation by SBDCs entering the data and review of goal achievement by OSBDC program managers. SBDCs must be able to produce the actual record that supports the data. Additional SBA validation based on annual ED impact study. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | Validation during program examinations. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | None |
| Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – SBDC

7 - c

| <u>Performance Indicator Title</u> | Capital Infusion (\$ in Billions) |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.3 |
| Why chose this indicator | Indicates business success/growth |
| Briefly describe relevance of this indicator for measuring program success | Indicates business start-up or growth. |
| Briefly describe how this indicator is used or will be used to manage the program | Effectiveness of counseling by SBDCs |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Some capital infusion may not be reported if the client does not return for subsequent counseling by the SBDC; amount may be higher than reported. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Amount of SBA loans, traditional bank loans, non-bank loans, equity and venture capital received by SBDC clients.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Total of amounts reported in capital infusion section of the SBA Form 641.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>None</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Capital infusion is captured on the SBA Form 64 1 and is reported by an SBDC through EDMIS.</p> |
| <p>Identify how the data record is captured:</p> | <p>The client completes an SBA Form 641 that is entered into the SBDCs local counseling tracking system. SBDCs also provide an annual impact statement.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>As the sessions occur. Separate impact reporting is submitted annually at year end.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Data is reported to EDMIS quarterly. End of year reporting is available at the end of each fiscal year. SBDCs have 35 days after the end of the fiscal year to report final year data and correct any data transmission errors.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>EDMIS reporting by SBDCs.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009. Annual impact data is provided 90 days after the close of the program period.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Validation by SBDCs entering the data and review of goal achievement by OSBDC program managers. SBDCs must be able to produce the actual record that supports the data. Additional SBA validation based on annual ED impact study.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>EDMIS calculates the information based upon elements collected on the SBA 641 and entered into the system. Inaccurate data could occur if 641s are not entered into the system</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Validation during program examinations.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>None.</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – WBC

8 - a

| <u>Performance Indicator Title</u> | Small Business Assisted (#) |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: 1</p> <p>Strategic Objective: 1.3</p> |
| Why chose this indicator | To determine that the WBCs are meeting the objectives of the program |
| Briefly describe relevance of this indicator for measuring program success | Indicates small business success by bridging competitive gaps facing entrepreneurs. |
| Briefly describe how this indicator is used or will be used to manage the program | This measure is an indicator of how well the program is meeting the needs of small businesses facing competitive opportunity gaps, as well as provides an indicator for the OWBO to determine that the WBCs are meeting the objectives of the program. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes Output</p> <p><input type="checkbox"/> No Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | There is believed to be a positive correlation between the technical assistance received by businesses with COG and their likelihood of success. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>The positive correlation is presumed, there may be contributing factors equally critical to the success of a small business.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>This indicator is the number of clients receiving both counseling and training assistance.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>A client has a counseling session or attends a training event.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is captured via EDMIS II reporting tool used by OWBO's WBCs.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>WBCs are required to report on a quarterly basis.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>WBCs are given thirty days after the close of the fiscal quarter to report the data and an additional five business days to verify data and make any corrections</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>EDMIS II</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>The EDMIS II system rejects duplicate clients in a given fiscal year. Generates an error report for the resource partner and allows the resource partner to correct any errors.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Training clients are counted by the number of attendees in each training session, a single client can attend multiple sessions, and there is no way to quantify the number of repeat training clients.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>A three year impact study is being conducted on the effect of this program on small businesses facing special competitive opportunity gaps.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – WBC

8 - b

| <u>Performance Indicator Title</u> | Small Businesses Created (#) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: Expand America’s ownership society, particularly in underserved markets.</p> <p>Strategic Objective: 1.3</p> |
| Why chose this indicator | To foster entrepreneurship in all markets and improve the overall access to SBA programs and services. |
| Briefly describe relevance of this indicator for measuring program success | Acquisition of capital, business management assistance, business performance and sustainability. |
| Briefly describe how this indicator is used or will be used to manage the program | Information is used for establishing goals and monitoring performance. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input type="checkbox"/> No Output</p> <p><input checked="" type="checkbox"/> Yes Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation, business start-ups, revenue growth and customer satisfaction. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The performance indicator reports only the number of small businesses created and retained by the WBC Resource Partner.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Counseling and/or training session is conducted.</p> |
| <p>Identify how the data record is captured:</p> | <p>Agency electronic data collection system.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Quarterly</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>OMB Circular A-110 - <i>The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51(f) performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.</i></p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Entrepreneurial Development Management Information System.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Certification and verification process. This function allows the user to certify the uncertified counseling client records -Part I & II that have been manually entered or uploaded for the given time period in the EDMIS II database.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Due to the aggregate nature of the data SBA currently receives, there are concerns about human error, double counting, and incomplete records.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>EDMIS II is being upgraded to handle limitations to accuracy and its use will be required for all Resource Partners.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – SCORE **9 - a**

| <u>Performance Indicator Title</u> | Small Businesses Assisted (#) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: Expand America’s ownership society, particularly in underserved markets.</p> <p>Strategic Objective: 1.3</p> |
| Why chose this indicator | To foster entrepreneurship in all markets and improve the overall access to SBA programs and services. |
| Briefly describe relevance of this indicator for measuring program success | Acquisition of capital, business management assistance, business performance and sustainability. |
| Briefly describe how this indicator is used or will be used to manage the program | Information is used for establishing goals and monitoring performance. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes Output</p> <p><input type="checkbox"/> No Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation, business start-ups, revenue growth and customer satisfaction. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The performance indicator reports only the number of clients counseled and trained by the Resource Partner through SCORE.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Counseling and/or training session is conducted</p> |
| <p>Identify how the data record is captured:</p> | <p>Agency electronic data collection system.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Quarterly</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p><i>OMB Circular A-110 - The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51(f) performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.</i></p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Entrepreneurial Development Management Information System II.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Data standards are in place that prevent many errors. Error reports are sent back to the partner and the partner is given time to correct the reports.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>N/A</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – SCORE

9 - b

| <u>Performance Indicator Title</u> | Small Businesses Created (#) |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: 1</p> <p>Strategic Objective: 1.3</p> |
| Why chose this indicator | To foster entrepreneurship in all markets and improve the overall access to SBA programs and services. |
| Briefly describe relevance of this indicator for measuring program success | Acquisition of capital, business management assistance, business performance and sustainability. |
| Briefly describe how this indicator is used or will be used to manage the program | Information is used for establishing goals and monitoring performance. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input type="checkbox"/> No Output</p> <p><input checked="" type="checkbox"/> Yes Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation, business start-ups, revenue growth and customer satisfaction. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | The performance indicator reports only the number of clients counseled and trained by the Resource Partner through SCORE. |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| | |
| Section II: Indicator Quality | |
| | |
| Describe the data collection process for the indicator: | |
| Identify the event or action that creates a data record (e.g., an approved loan): | Counseling and/or training session is conducted |
| Identify how the data record is captured: | Agency electronic data collection system. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Quarterly |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>OMB Circular A-110 - <i>The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51(f) performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.</i></p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Entrepreneurial Development Management Information System II.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Data standards are in place that prevent many errors. Error reports are sent back to the partner and the partner is given time to correct the reports.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>N/A</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the</p> | |

Validation of Data Used in Performance Measure

| | |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – DFWP **10 - a**

| | |
|-----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Small Businesses Educated (#) about the benefits of a Drug Free Workplace Program |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.3 |
| Why chose this indicator | This indicator measures major contributions that the program makes to the achievement of SBA's outcome. SBA is trying to increase the positive impact of SBA assistance upon the number and success of small business start-ups; Maximize the sustainability and growth of existing small business assisted by the SBA; and Significantly increase successful small business ownership within segments of society facing special competitive opportunity gaps. |
| Briefly describe relevance of this indicator for measuring program success | The belief is that the higher the number of small businesses educated about a DFWP the higher the number of small businesses will implement a DFWP. |
| Briefly describe how this indicator is used or will be used to manage the program | None. Even though the SBA is unable to force small businesses to implement a DFWP, the information is used for establishing goals and monitoring performance of the Grantees. |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> NO Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Increase in the number of small businesses facing special competitive opportunity gaps receiving SBA assistance. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | The SBA has no recourse to verify if these numbers are correct, however, we place great emphasis on trusting that the grantees are reporting accurately. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | N/A |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | |
| Identify the event or action that creates a data record (e.g., an approved loan): | An SBA DFWP grantee schedules an event for small businesses to receive training and education regarding the DFWP. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify how the data record is captured: | When a small business signs up for the education/training either by phone, in-person, or via computer. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Data is reported quarterly to the SBA. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | The lag time is the time between the completion of the implementation and the reporting date. Can vary widely from the beginning of a quarter to the end. |
| ID the system of record for the indicator, e.g., what system did the information come from? | The DFWP has its own web based database through the GLS system. |
| Identify the date that actual year-end data will be available for reporting. | January 1 |
| Describe the process to ensure that the reported data is complete and accurate | None |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | The SBA has no recourse to verify if these numbers are correct, however, we place great emphasis on trusting that the grantees are reporting accurately. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | None |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development – DFWP

10 - b

| | |
|-----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Programs Implemented (#) |
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.3 |
| Why chose this indicator | This indicator measures major contributions that the program makes to the achievement of SBA's outcome. SBA wants to Increase the positive impact of SBA assistance upon the number and success of small business start-ups; Maximize the sustainability and growth of existing small business assisted by the SBA; Significantly increase successful small business ownership within segments of society facing special competitive opportunity gaps. |
| Briefly describe relevance of this indicator for measuring program success | The main goal of the program is to have a great number of small businesses implement a DFWP. This indicator is evidence of that goal. |
| Briefly describe how this indicator is used or will be used to manage the program | None. Even though the SBA is unable to force small businesses to implement a DFWP, the information is used for establishing goals and monitoring performance of the Grantees. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> Yes Output <input checked="" type="checkbox"/> No Outcome |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth</p> | <p>Increase in the number of small businesses facing special competitive opportunity gaps receiving SBA assistance.</p> |
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>The SBA has no recourse to verify if these numbers are correct, however, we place great emphasis on trusting that the grantees are reporting accurately.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>N/A</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>An SBA DFWP grantee schedules a series of meeting with a specific small business to start the process of implanting a DFWP.</p> |
| <p>Identify how the data record is captured:</p> | <p>When a small business completes the implementation process.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is reported quarterly to the SBA.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>The lag time is the time between the completion of the implementation and the reporting date. Can vary widely from the beginning of a quarter to the end.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The DFWP has its own web based database through the GLS system.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>January 1</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>None</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>The SBA has no recourse to verify if these numbers are correct, however, we place great emphasis on trusting that the grantees are reporting accurately.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>None</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Business Development - 7(j)

11 - a

| | |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | SB Assisted (#) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.6 |
| Why chose this indicator | Provides a business development training to 8(a) Eligible Firms |
| Briefly describe relevance of this indicator for measuring program success | It measures the program’s contribution to SBA outcomes. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator measures the number of firms receiving 7(j) face-to-face training. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Provides businesses with the knowledge base to increase revenue and increase job creation - outcome |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | None |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of events to the number of entrepreneurs trained. Number of attendance to each of the five different courses offered</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Actual Number</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>In class training: DVD training</p> |
| <p>Identify how the data record is captured:</p> | <p>7(j) provider will provide the number of courses taught to data, to include number at firms in attendance. Districts will provide the number of firms trained using the DVD training package</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Monthly progress reporting Weekly updates on training and number of attendees</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of</p> | <p>Progress reporting will have a lag time up to 30 days</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| days/weeks/months it takes to close a fiscal year): | Weekly training reports will have a 7 day lag time |
| ID the system of record for the indicator, e.g., what system did the information come from? | 7(j) Provider will be providing reports to both the Office of Business Development and to the Office of Field Operations concurrently. An Excel tracking system has been created to account for training events. |
| Identify the date that actual year-end data will be available for reporting. | Fiscal Year End Reporting will be available by the last week in October |
| Describe the process to ensure that the reported data is complete and accurate | Contract close-out reporting procedures for final invoicing |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | No on-line tracking system is currently being used to prevent constant real time reporting |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | Nothing planned to date. A Share Point Tracking System can be created to assist in this area of concern |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | New 7 (j) Provider being used this year. |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Business Development - 8(a)

12 - a

| | |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | SB Assisted (#) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.6 |
| Why chose this indicator | Provides business development to 8(a) Eligible Firms |
| Briefly describe relevance of this indicator for measuring program success | Indicates the number of small businesses assisted as 8(a) BD during the fiscal year |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator measures the number of small businesses assisted as 8(a) BDfirms. This contributes to SBA's outcomes |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Indicates the net number of small businesses assisted in the 8 (a) Business Development Program during the fiscal year. (Output) Promote business development to small businesses have a better opportunity to increase their revenue growth and job creation. (Outcome) |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | None |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | The new BDMIS documents the progress of each firm through the required annual revenue |
| Formula used to calculate the indicator (if appropriate) | 8(a) and now 8(a) Revenue |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Case received ; Case Screened; Case returned to applicant ; Case returned to SBA ; Case screened; Case placed into Processing; Case returned, Denied or Approved Annual Reviews</p> |
| Identify how the data record is captured: | Each data field requires an input action by the analyst working the case and/or team leader |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Data is captured on a daily basis |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Data is captured on a daily basis and uploaded into the Share Point Master file at the end of the day. (one day lag time) and to Official Database e-Oracle.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>The system of record is the BD MIS; however, we are also using in conjunction the Share Point Tracking Tool.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Fiscal Year End Reporting will be available by the next business day after the FYE</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>The analyst and the team leaders certify the accuracy of their reporting</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>None</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>None</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>The BDMIS system has been automated and deployed on July 28, 2008.</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: HUBZone Program

13 – a

| <u>Performance Indicator Title</u> | Small Businesses Assisted (#) |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.6 |
| Why chose this indicator | This measure allows HUBZone to track its total volume of clients. |
| Briefly describe relevance of this indicator for measuring program success | This measure tracks the number of businesses that connect with the HUBZone Program office seeking HUBZone certification or continuing certification and allows the program office to allocate the necessary resource to service these businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | To ascertain resources. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation and revenue growth |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>N/A</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Certification and continuing eligibility actions include: initial applications, program exams, re-certifications, material changes, protests as currently required by 13 cfr 126.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Sum of all actions</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>There has been a backlog in the processing of re-certifications and this has increased the number of annual program certification actions.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>A firm applies for certification or re-certification; submits a material change; is selected for program exam or its HUBZone status is protested in connection with a solicitation.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data is stored in HUBZone Certification Tracking System (HCTS).</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | The data is captured quarterly. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | None |
| ID the system of record for the indicator, e.g., what system did the information come from? | HCTS |
| Identify the date that actual year-end data will be available for reporting. | Available 5 business days after end of fiscal year. |
| Describe the process to ensure that the reported data is complete and accurate | The data is captured and stored in HCTS. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | As a result of an extensive business process reengineering, the HUBZone certification tracking system has been significantly compromised due to additional workflows. Manual data monitoring and reporting is being used until the new system is deployed (expected in FY12). |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | There are no outstanding OIG or GAO recommendations that affect this indicator. |
| Describe plans to address limitations to accuracy or completeness of data | HUBZone plans to review its measures after it has completed the implementation of the business process re-engineering recommendations and the deployment of the new certification and tracking system. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | The changes relate to the additional workflows which present data integrity challenges, addressed by manual monitoring and reporting. |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input type="checkbox"/> NO High</p> <p><input checked="" type="checkbox"/> Yes Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: HUBZone Program

13 – b

| <u>Performance Indicator Title</u> | Annual Value of Federal Contracts (\$ in Billions) |
|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.6 |
| Why chose this indicator | It determines the number of federal dollars awarded to HUBZone firms. |
| Briefly describe relevance of this indicator for measuring program success | HUBZone firms are eligible for federal contracts and this measure tracks the total value of the contracts awarded to HUBZone firms. |
| Briefly describe how this indicator is used or will be used to manage the program | It will be used to determine statutory compliance. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation and revenue growth |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Total sum of dollars in federal contracts awarded to all HUBZone firms |
| Formula used to calculate the indicator (if appropriate) | Sum of dollars in federal contracts awarded to all HUBZone firms |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | A contract is awarded to a HUBZone firm. |
| Identify the event or action that creates a data record (e.g., an approved loan): | |
| Identify how the data record is captured: | The data is stored in Federal Procurement Data System (FPDS). |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Annually |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | The Small Business Procurement data is made final in Q2 or Q3 of the following fiscal year to allow procuring agencies to validate their data in FPDS |
| Identify the date that actual year-end data will | Please write "Q2 or Q3 of the following fiscal year |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|
| be available for reporting. | |
| Describe the process to ensure that the reported data is complete and accurate | Government Contracting received certification from procuring agencies. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | N/A |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Prime Contracting

14 – a

| | |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Federal Contract dollars awarded to small businesses (\$ Billions) |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.2 |
| Why chose this indicator | Data is available that reflects award of contracts to small businesses. |
| Briefly describe relevance of this indicator for measuring program success | We believe there is a direct positive relationship between the receipt of increased Federal contract revenue and revenue growth reported to small firms. |
| Briefly describe how this indicator is used or will be used to manage the program | Results are used to guide program emphasis in annual operating plan. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | This PI results in nearly \$100B of federal contracts being awarded to small businesses. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | There are no known limitations to the relationship between this PI and the outcome. PI will be examined under a planned evaluation of procurement assistance programs. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Dollars in billions</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>The value of total contract actions awarded to small businesses in a given fiscal year is divided by the value of total contract actions awarded to small businesses in the preceding fiscal year.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes required</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Award of contracts are recorded in the Federal Procurement Data System – Next Generation (FPDS-NG).</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is entered into FPDS-NG by the contracting officer or other acquisition staff, manually or by transmission from contract writing system.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Ongoing</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Data is not available until the 2nd or 3rd quarter of the next fiscal year.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Federal Procurement Data System – Next Generation (FPDS-NG)</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data has historically become available during the second or third quarter of the next fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Responsibility for determining the accuracy, reliability, and quality of data reported in FPDS-NG rests with reporting agencies. However, SBA routinely reviews FPDS-NG data and provides guidance to agencies to increase data reliability and timeliness. Agencies must attest to data reliability to the Director of Office of Federal Procurement Policy.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Responsibility for data integrity rests with reporting agencies. Data is entered into FPDS-NG by import from contract writing applications and manually. It is subject to data entry error, however, logical edits are built into the system to mitigate some data limitations. Additionally, each agency must certify to the data quality in FPDS-NG annually to OMB.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>We are continually working with agencies to ensure contracts in FPDS-NG.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Annually agencies are required to attest to the completeness and accuracy of the information entered into the system.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Prime Contracting

14 - b

| | |
|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Jobs Supported (#) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.2 |
| Why chose this indicator | Reliable data is available on both contract activity and employment that will reflect the relationship between the two. |
| Briefly describe relevance of this indicator for measuring program success | We believe there is a direct relationship between the number of jobs created or retained in the small business sector and the value of Federal contract awards to small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | Results are used to guide program emphasis in annual operating plans. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | The number of jobs created or sustained by award of Federal contracts to small businesses. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | There are no known limitations to the relationship between this PI and the outcome. This PI will be examined under a planned evaluation of procurement assistance programs. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of jobs</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>The value of contract awards to small businesses, published in the Annual Goaling Report, is divided by the average revenue supported by one employee.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes required</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Creation of contracting records in data system.</p> |
| <p>Identify how the data record is captured:</p> | <p>Contracting data is extracted from data system through generator of Small Business Goaling Report. Employment data is captured from U.S. Census Bureau.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Collection of contracting data is dynamic, while the reporting upon which this PI is based is annual.</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Data is not available until the 2nd or 3rd quarter of the next fiscal year.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Federal Procurement Data System – Next Generation (FPDS-NG)</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data has historically become available during the second or third quarter of the next fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Contracting data in FPDS-NG upon which this PI is calculated is certified by acquisition agencies as to completeness and accuracy.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Records in FPDS-NG may be incorrectly characterized as contracts having been awarded to small businesses, when they may have been awarded to large concerns. Inaccurate coding may result in understatement of award to small businesses.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>We have worked with the Office of the Inspector General to ensure contracts characterized in FPDS-NG as award to small businesses are awarded to eligible concerns. This has been largely accomplished through issuance of regulations stipulating periodic recertification of size on long-term contracts.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Continued monitoring of the quantity of contracting data in FPDS-NG.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>None</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the</p> | |

Validation of Data Used in Performance Measure

| | |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | Check One: <input checked="checked" type="checkbox"/> Yes High <input type="checkbox"/> No Medium |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Prime Contracting

14 – c

| | |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Federal Contract dollars awarded to small businesses (% of Total Applicable Federal Contract dollars) |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.2 |
| Why chose this indicator | Data is available that reflects award of contracts to small businesses. |
| Briefly describe relevance of this indicator for measuring program success | We believe there is a direct positive relationship between the receipt of increased Federal contract revenue and revenue growth reported to small firms. |
| Briefly describe how this indicator is used or will be used to manage the program | Results are used to guide program emphasis in annual operating plan. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | This PI results in nearly \$100B of federal contracts being awarded to small businesses. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | There are no known limitations to the relationship between this PI and the outcome. PI will be examined under a planned evaluation of procurement assistance programs. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Dollars in billions</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>The value of total contract actions awarded to small businesses in a given fiscal year is divided by the value of total contract actions awarded to small businesses in the preceding fiscal year.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes required</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Award of contracts are recorded in the Federal Procurement Data System – Next Generation (FPDS-NG).</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is entered into FPDS-NG by the contracting officer or other acquisition staff, manually or by transmission from contract writing system.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Ongoing |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Data is not available until the 2 nd or 3 rd quarter of the next fiscal year. |
| ID the system of record for the indicator, e.g., what system did the information come from? | Federal Procurement Data System – Next Generation (FPDS-NG) |
| Identify the date that actual year-end data will be available for reporting. | Data has historically become available during the second or third quarter of the next fiscal year. |
| Describe the process to ensure that the reported data is complete and accurate | Responsibility for determining the accuracy, reliability, and quality of data reported in FPDS-NG rests with reporting agencies. However, SBA routinely reviews FPDS-NG data and provides guidance to agencies to increase data reliability and timeliness. Agencies must attest to data reliability to the Director of Office of Federal Procurement Policy. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Responsibility for data integrity rests with reporting agencies. Data is entered into FPDS-NG by import from contract writing applications and manually. It is subject to data entry error, however, logical edits are built into the system to mitigate some data limitations. Additionally, each agency must certify to the data quality in FPDS-NG annually to OMB. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | We are working with the Office of the Inspector General and agencies to ensure contracts in FPDS-NG as awards to small businesses are, in fact, awarded to eligible concerns. |
| Describe plans to address limitations to accuracy or completeness of data | Annually agencies are required to attest to the completeness and accuracy of the information entered into the system. |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: GCBD – Prime Contracting

14 - d

| | |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Contracts to Small Disadvantaged Businesses – 8(a) Program Participants (%) |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.2 |
| Why chose this indicator | There is a statutory goal to award 5% of federal contracting dollars to small disadvantaged businesses. |
| Briefly describe relevance of this indicator for measuring program success | This indicator determines how successful the government is in awarding contracts to small disadvantaged businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is monitored weekly and helps us determine where we need to focus our efforts. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red; margin: 0;">Check One:</p> <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | This indicator is not final until after the official goaling numbers are reported for the fiscal year, therefore any number reported before that is preliminary. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Percent of federal contracting dollars awarded to small disadvantaged businesses |
| Formula used to calculate the indicator (if appropriate) | Total dollars awarded to small disadvantaged businesses divided by total eligible small business dollars (as reported in FPDS-NG) |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | Data is available on daily basis; we pull on a weekly basis to review and monitor. |
| Identify the event or action that creates a data record (e.g., an approved loan): | |
| Identify how the data record is captured: | Data is captured and pulled from FPDS-NG |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Weekly; data is updated daily |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Data is available and updated daily with the exception of DOD's data which has a 90-day lag due to security issues. |
| ID the system of record for the indicator, e.g., what system did the information come from? | FPDS-NG |
| Identify the date that actual year-end data will be available for reporting. | Q3 of the following fiscal year |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
| Describe the process to ensure that the reported data is complete and accurate | There is a comprehensive review and anomaly report process to ensure the data is complete and accurate. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | SBA does not own the majority of the data used to calculate this indicator so we must work with and rely on other agencies. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | We are and continue to improve our efforts to work with agencies to ensure data quality and integrity. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: GCBD – Prime Contracting

14 - e

| <u>Performance Indicator Title</u> | Contracts to Women-Owned Small Businesses (%) |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.2 |
| Why chose this indicator | There is a statutory goal to award 5% of federal contracting dollars to women-owned small businesses. |
| Briefly describe relevance of this indicator for measuring program success | This indicator determines how successful the government is in awarding contracts to women-owned small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is monitored weekly and helps us determine where we need to focus our efforts. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | This indicator is not final until after the official goaling numbers are reported for the fiscal year, therefore any number reported before that is preliminary. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Percent of federal contracting dollars awarded to women-owned small businesses.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Total dollars awarded to women-owned small businesses divided by total eligible small business dollars (as reported in FPDS-NG).</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Data is available on daily basis; we pull on a weekly basis to review and monitor.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is captured and pulled from FPDS-NG.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Weekly; data is updated daily</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Data is available and updated daily with the exception of DOD's data which has a 90-day lag due to security issues.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Q3 of the following fiscal year</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
| Describe the process to ensure that the reported data is complete and accurate | There is a comprehensive review and anomaly report process to ensure the data is complete and accurate. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | SBA does not own the majority of the data used to calculate this indicator so we must work with and rely on other agencies. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | We are and continue to improve our efforts to work with agencies to ensure data quality and integrity. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: GCBD – Prime Contracting

14 - f

| | |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Contracts to Service-Disabled Veteran Owned Small Businesses (%) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.2 |
| Why chose this indicator | There is a statutory goal to award 3% of federal contracting dollars to service-disabled veteran-owned small businesses. |
| Briefly describe relevance of this indicator for measuring program success | This indicator determines how successful the government is in awarding contracts to service-disabled veteran-owned small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is monitored weekly and helps us determine where we need to focus our efforts. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input type="checkbox"/> No Output <input type="checkbox"/> <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | This indicator is not final until after the official goaling numbers are reported for the fiscal year, therefore any number reported before that is preliminary. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Percent of federal contracting dollars awarded to service-disabled veteran-owned small businesses.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Total dollars awarded to service-disabled veteran-owned small businesses divided by total eligible small business dollars (as reported in FPDS-NG).</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Data is available on daily basis; we pull on a weekly basis to review and monitor.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is captured and pulled from FPDS-NG.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Weekly; data is updated daily</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Data is available and updated daily with the exception of DOD's data which has a 90-day lag due to security issues. |
| ID the system of record for the indicator, e.g., what system did the information come from? | FPDS-NG |
| Identify the date that actual year-end data will be available for reporting. | Q3 of the following fiscal year |
| Describe the process to ensure that the reported data is complete and accurate | There is a comprehensive review and anomaly report process to ensure the data is complete and accurate. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | SBA does not own the majority of the data used to calculate this indicator so we must work with and rely on other agencies. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | We are and continue to improve our efforts to work with agencies to ensure data quality and integrity. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: GCBD – Prime Contracting

14 - g

| <u>Performance Indicator Title</u> | Contracts to HUBZone Firms (%) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.2 |
| Why chose this indicator | There is a statutory goal to award 5% of federal contracting dollars to HUBZone firms. |
| Briefly describe relevance of this indicator for measuring program success | This indicator determines how successful the government is in awarding contracts to HUBZone firms. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator is monitored weekly and helps us determine where we need to focus our efforts. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | This indicator is not final until after the official goaling numbers are reported for the fiscal year, therefore any number reported before that is preliminary. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Percent of federal contracting dollars awarded to HUBZone firms.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Total dollars awarded to HUBZone firms divided by total eligible small business dollars (as reported in FPDS-NG).</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Data is available on daily basis; we pull on a weekly basis to review and monitor.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is captured and pulled from FPDS-NG</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Weekly; data is updated daily.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Data is available and updated daily with the exception of DOD's data which has a 90-day lag due to security issues.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>FPDS-NG</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
| Identify the date that actual year-end data will be available for reporting. | Q3 of the following fiscal year |
| Describe the process to ensure that the reported data is complete and accurate | There is a comprehensive review and anomaly report process to ensure the data is complete and accurate. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | SBA does not own the majority of the data used to calculate this indicator so we must work with and rely on other agencies. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | We are and continue to improve our efforts to work with agencies to ensure data quality and integrity. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Veterans

15 - a

| <u>Performance Indicator Title</u> | Veterans Assisted (#) |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: Expand America’s ownership society, particularly in underserved markets.</p> <p>Strategic Objective: 1.6</p> |
| Why chose this indicator | To foster entrepreneurship in all markets and improve the overall access to SBA programs and services. |
| Briefly describe relevance of this indicator for measuring program success | Acquisition of capital, business management assistance, business performance and sustainability. |
| Briefly describe how this indicator is used or will be used to manage the program | Information is used for establishing goals and monitoring performance. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes Output</p> <p><input type="checkbox"/> No Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation, business start-ups, revenue growth and customer satisfaction. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | The performance indicator reports only the number of clients counseled and trained by the Resource Partner through SCORE. |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| | |
| Section II: Indicator Quality | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | Counseling and/or training session is conducted. |
| Identify how the data record is captured: | Agency electronic data collection system. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Quarterly |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>OMB Circular A-110 - <i>The Federal awarding agency shall prescribe the frequency with which the performance reports shall be submitted. Except as provided in paragraph .51(f) performance reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the grant year; quarterly or semi-annual reports shall be due 30 days after the reporting period.</i></p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Entrepreneurial Development Management Information System II.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is usually available mid November. SBA performs additional verification on year end data to ensure proper reporting. This is completed by January 15, 2009.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Data standards are in place that prevent many errors. Error reports are sent back to the partner and the partner is given time to correct the reports.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>N/A</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p></p> | <p></p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Veterans

15 - b

| <u>Performance Indicator Title</u> | Customer Satisfaction (%) |
|----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: Expand America’s ownership society, particularly in underserved markets.</p> <p>Strategic Objective: 1.6</p> |
| Why chose this indicator | An independent Customer Satisfaction Survey provides objective feedback as to how a program is meeting its goal and achieving its mission. |
| Briefly describe relevance of this indicator for measuring program success | This indicator provides an objective evaluation of the performance of the centers in fulfilling the education, training and counseling needs of the markets served. |
| Briefly describe how this indicator is used or will be used to manage the program | The survey assists each center in identifying, eliminating or modifying duplicative services. It also assists centers to tailor its programs to meet the general and specific needs of the veteran business communities they serve. |
| Indicator measures an output (process) or outcome (result) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes Output</p> <p><input type="checkbox"/> No Outcome</p> |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | This output contributes to the following outcomes: Program Impact, Milestones, Jobs Created & Retained, Counseling, Training, and Information Transfers. |

Validation of Data Used Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <ul style="list-style-type: none"> • #'s • Not Applicable <p>The SBA places special emphasis on groups, e.g., veterans, that own and control little productive capital and have limited access to markets.</p> |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| | |
| Section II: Indicator Quality | |
| | |
| Describe the data collection process for the indicator: | |
| Identify the event or action that creates a data record (e.g., an approved loan): | Client web-portal that generates client communications for services (counseling & training). |
| Identify how the data record is captured: | The system has a built-in scorecard module to see a balanced view of performance. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Frequency of data capture – immediate. |

Validation of Data Used Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Quarterly Reporting.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>WebCats – Outreach Systems</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>90 days after funding year ends.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>WebCats – a web-based client activity tracking system</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>N/A</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used Performance Measure

Validation of Data Used Performance Measure

Office name: Office of Advocacy

16 - a

| <u>Performance Indicator Title</u> | Published Research Reports |
|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2 |
| Why chose this indicator | Best available measure |
| Briefly describe relevance of this indicator for measuring program success | Measure is an indicator of productivity (and budget), and a measure of fulfilling statutory mandates on producing small business research. |
| Briefly describe how this indicator is used or will be used to manage the program | Resources will be needed to continue conducting in-house research and contract research; resources will also be used to print, publish, distribute and publicize research products. |
| Indicator measures an output (process) or outcome (result) | Check One: Yes Output No Outcome |
| If an output, list the outcome(s) this PI contributors to, e.g., job creation, revenue growth | Greater understanding of small business annually is a direct reflection of the budget allocated to the office; also, the scope, significance and content of each report varies. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | The number of research reports published annually is a direct reflection of the budget allocated to the office; also, the scope, significance and content of each report varies. |
| | |

Validation of Data Used Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Each time a unique/new research product is published, it is counted. Some of the products include updated quarterly publications, some are annual reports to Congress & the President, some are one-time reports on current small business issues. Advocacy’s research was mandated by Congress when the office was created in 1976. See 15 USC § 634a et seq.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Counting number of reports published annually.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year’s data.</p> | <p>No change.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>When a new research product is completed and published.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data is captured in an internal database.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>The data is captured as soon as the research product has been completed and published; it is presented quarterly in a report.</p> |

Validation of Data Used Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Quarterly.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Internal database</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Year-end data is available on or about the last day of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Report goes through an internal clearance process to ensure accuracy.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>None.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No changes.</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used Performance Measure

Office name: Office of Advocacy

16 - b

| <u>Performance Indicator Title</u> | Regulatory Cost Savings to Small Businesses (\$ Billions) |
|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2 |
| Why chose this indicator | Best available measure |
| Briefly describe relevance of this indicator for measuring program success | Advocacy's intervention during the rulemaking proves results in cost savings for small business; the annual cost savings achieved by Advocacy far exceed the cost of the program; Small business dollars saved by not having to comply with unnecessary federal regulations and be used to grow or maintain affected small businesses. |
| Briefly describe how this indicator is used or will be used to manage the program | Advocacy will continue its statutorily-mandated regulatory interventions in order to achieve cost savings that benefit small entities. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>The indicator is difficult to predict for goal-setting purposes despite methodology for establishing target values; there is no way to determine in advance what rules will cost in any given year or what cost saving modifications will be made based on Advocacy's intervention; Advocacy must generally rely on federal agency or industry- supplied data as Advocacy does not create the data.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Indicator measured in billions of dollars based on a goal of \$5.5 billion annually.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>An average of 6 years' cost savings, minus outliers equals the goal of \$5.5 billion annually.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>In previous 5 years, measure was based on the average of existing years' savings, minus outliers, increasing at a rate of 10% annually; new indicator is based on an average of 6 years' savings, minus outliers (with no annual increase predicted).</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>When an Advocacy intervention (comment letter, congressional testimony, or other action) results in federal agency action to reduce small business regulatory burden which can be disclosed publicly (-- some cost savings occur during confidential interagency negotiations and cannot be disclosed publicly)</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify how the data record is captured: | The data is captured in an internal database. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | The data is captured quarterly, but further validated/verified throughout the year. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Final data is reported annually in the Jan/Feb timeframe when Advocacy submits its report on Regulatory Flexibility Act compliance by federal agencies to Congress. |
| ID the system of record for the indicator, e.g., what system did the information come from? | Internal database |
| Identify the date that actual year-end data will be available for reporting. | Year-end data is available in Jan/Feb of each year. |
| Describe the process to ensure that the reported data is complete and accurate | Report goes through an internal clearance process to ensure accuracy. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Advocacy does not create the data and must rely on industry or federal agency-supplied data. The data is only as complete and accurate as those sources provide. In many cases, federal agencies underestimate the cost of regulations, therefore the savings calculated may also be an underestimate; Not all cost savings can be included in the final tabulation because the savings are a result of confidential interagency communications and cannot be made public. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None. |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Describe plans to address limitations to accuracy or completeness of data | Currently using the best available measure |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | No changes. |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Advocacy

16 - c

| | |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Regulatory Staff with In-House Regulatory Flexibility Act (RFA) Expertise |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2 |
| Why chose this indicator | Best available measure |
| Briefly describe relevance of this indicator for measuring program success | Measure is an indicator of productivity and fulfilling executive order mandate to train federal agencies on how to comply with the RFA. |
| Briefly describe how this indicator is used or will be used to manage the program | Indicator is used to increase level of federal agency expertise in understanding the RFA; and ultimately, to minimize the burden of regulations on small entities as the regulations are being drafted. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>The number of regulatory staff trained is based on federal agency cooperation in agreeing to training; although Advocacy is required to conduct the training, federal agencies are not required to take it.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Each time a federal employee is trained (at a 3.5-hour training session), it is counted. Training is required by Executive Order 13272.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Counting number of employees trained annually.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>For the previous 5 years the measure counted agencies that promulgate regulations impacting small businesses; the new indicator is based on the number of employees trained (since most agencies have had at least one training session and agencies have requested repeat training for new employees).</p> |
| <p>Section II: Indicator Quality</p> | |
| <p> </p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>When a new training session is completed.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data is captured in an internal database.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>The data is captured as soon as the training session occurs; it is presented quarterly in a report.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Quarterly.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Internal database</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Year-end data is available on or about the last day of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Report goes through an internal clearance process to ensure accuracy.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>None.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No changes.</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Advocacy

16 - d

| | |
|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | States Considering Legislative/Executive Regulatory Flexibility Action |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2 |
| Why chose this indicator | Best available measure |
| Briefly describe relevance of this indicator for measuring program success | Will help ensure that each state is equipped with the education and the necessary laws to reduce small business regulatory burden. |
| Briefly describe how this indicator is used or will be used to manage the program | Indicator used to help manage regional advocate outreach activities and travel budget. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Success of the indicator cannot be predicted with accuracy; there is no guarantee that legislation or an executive order can be achieved despite Advocacy's efforts; for instance, the political climate in a particular state may impact success of - - the indicator. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Each time legislation or an executive order is introduced, or each time there is an example of successful state implementation of existing laws, it is counted.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Counting.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>Previous 5 years used a measure of the number of new states considering regulatory flexibility legislation or executive orders. New indicator includes amendments to previously enacted legislation, re-introduced legislation, and executive orders converted into-legislation; also includes examples of successful state implementation of regulatory flexibility.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>When legislation is introduced, an executive order is drafted or when there is an example of successful implementation of existing laws.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data is captured in an internal database.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>The data is captured when the trigger for counting occurs; it is presented quarterly in a report.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Quarterly.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Internal database</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Year-end data is available on or about the last day of the fiscal year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Report goes through an internal clearance process to ensure accuracy.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>None.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No changes.</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Advocacy

16 - e

| <u>Performance Indicator Title</u> | Research Publications and Data Reports Used in Curricula |
|----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2 |
| Why chose this indicator | Best available measure |
| Briefly describe relevance of this indicator for measuring program success | Increases the number of academic institutions with access to vital small business data; increases number of students/institutions interested in the study of small business issues and entrepreneurship; increases the body of research in the field by spurring similar research. |
| Briefly describe how this indicator is used or will be used to manage the program | Gaps in usage of research/data will determine where outreach resources should be spent; budget resources are needed to ensure that Advocacy's regional team can travel to universities to conduct lectures and/or encourage use of Advocacy research products in the classroom. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Some institutions may not use Advocacy’s research or data despite Advocacy’s outreach efforts.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Each time there is a demonstrated use of our research products in college/university curricula, it is counted.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Counting.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year’s data.</p> | <p>Previous 5 years used a number of universities from <i>Entrepreneur</i> magazine’s top 100 entrepreneurship universities/colleges; new indicator includes all universities/colleges (beyond top 100), and includes repeat universities/colleges if a new use is demonstrated.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>When a university/college uses Advocacy research products in their curricula.</p> |
| <p>Identify how the data record is captured:</p> | <p>The data is captured in an internal database.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>The data is captured when the trigger for counting occurs; it is presented quarterly in a report.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Quarterly. |
| ID the system of record for the indicator, e.g., what system did the information come from? | Internal database. |
| Identify the date that actual year-end data will be available for reporting. | Year-end data is available on or about the last day of the fiscal year. |
| Describe the process to ensure that the reported data is complete and accurate | Report goes through an internal clearance process to ensure accuracy. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | None. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None. |
| Describe plans to address limitations to accuracy or completeness of data | N/A. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | No changes. |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Advocacy

16 - f

| <u>Performance Indicator Title</u> | Cost Per \$1 Million Savings |
|-----------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2 |
| Why chose this indicator | Best available measure |
| Briefly describe relevance of this indicator for measuring program success | Advocacy’s intervention during the rulemaking process results in cost savings for small businesses. The annual cost savings achieved far exceeds the cost of the program, and these savings can be used to grow or maintain affected small firms. This indicator measures the cost for Advocacy to achieve these savings. |
| Briefly describe how this indicator is used or will be used to manage the program | Because Advocacy has little control over when regulatory cost savings are realized – regulatory agencies, not Advocacy, determine when their rules are finalized – this indicator is of limited use in managing this program, and wide variations occur from year to year that cannot be anticipated or controlled. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth</p> | <p>N/A</p> |
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>This indicator can vary widely from year to year, and Advocacy does not have direct control over the amount of regulatory cost savings achieved in any given year – the actions of other agencies determine this. Nonetheless, Advocacy’s cost per million dollars in regulatory cost savings averaged \$1,778 during the five-year period from FY 2005 through FY 2009, that is, only \$1 for every \$562 in savings.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The unit of measure is: dollars in Advocacy administrative costs per million dollars in regulatory cost savings attributable to Advocacy intervention. The cost savings estimates are based on first year cost savings only. Advocacy also reports on recurring annual savings, but these savings, which accumulate over time, are not used in this annual indicator.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Total annual regulatory cost savings divided by total administrative costs for Advocacy in that year. Both are expressed in terms of dollars.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year’s data.</p> | <p>No changes.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>SBA's Office of Performance Management calculates this indicator in connection with the drafting of the agency's annual congressional budget justification and performance report.</p> |
| <p>Identify how the data record is captured:</p> | <p>The calculation of this indicator requires two factors. Advocacy supplies data on total regulatory cost savings for a given fiscal year, and the Office of the Chief Financial Officer supplies data on Advocacy's administrative costs for that year.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Cost savings for a given rule are captured in the fiscal year in which the agency agrees to modify a rule as a result of Advocacy intervention. Advocacy captures its regulatory cost savings on an ongoing basis and provides the Administrator with quarterly internal reports on them.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Final annual totals of regulatory cost savings are reported publicly in Advocacy's annual report to Congress pursuant to the Regulatory Flexibility Act. This report is usually transmitted in January following the prior fiscal year.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Total Administrative Resources (Budget Full Cost or Cost Allocation Report)/Total for Advocacy divided by Regulatory Cost Savings to Small Businesses (16b).</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Year-end Data is available in January/February of each year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Advocacy cost savings are generally based on agency estimates. These estimates are conservative and documented for each rule on which savings are scored in Advocacy's annual Regulatory Flexibility Act report.</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Advocacy must rely on data supplied by federal regulatory agencies and by industry sources. This data is only as complete and accurate as those sources provide. In many cases, agencies underestimate the cost of regulations, with the result that estimated savings may be understated. Also, not all cost savings can be included in the final annual tabulation because savings achieved as a result of confidential interagency communications and deliberative consultations cannot be made public.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Advocacy economists constantly assess the accuracy and completeness of data used in regulatory cost savings calculations. They also work with rule writing agencies to help them better estimate the costs of their proposals. Advocacy economists also work to improve the quantification and verification of costs and savings wherever possible.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>None</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: **Business Gateway**

17 - a

| <u>Performance Indicator Title</u> | Number of visits to SBA.gov monthly average) (#) |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: Two Strategic Objective: 2.1 |
| Why chose this indicator | The metric for visits provides a baseline for analyzing other key metrics for the site. |
| Briefly describe relevance of this indicator for measuring program success | Indicates level of user activity on the site. |
| Briefly describe how this indicator is used or will be used to manage the program | Indicator can be used to determine if there is a trend (upward or downward) in number of visits to the site and if there is a correlation with any particular activity. Can also be used to determine, on average, how many visits a unique visitor makes. |
| Indicator measures an output (process) or outcome (result) | Output |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | It's a baseline number – hard to derive any information beyond that w/o a correlation to outcome. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of | Number of visits to any page on SBA.gov. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| underserved market used | |
| Formula used to calculate the indicator (if appropriate) | NA – based on Google Metrics tool. |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year’s data. | N/A |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: Identify the event or action that creates a data record (e.g., an approved loan): | Someone opens up (downloads) the SBA.gov Web page. |
| Identify how the data record is captured: | This metric is captured in the database for future analysis. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Immediate. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | One week. |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Google Analytics</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>One week following request.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>We assume the data is accurate.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>N/A</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>N/A</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>N/A</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Business Gateway

17 - b

| <u>Performance Indicator Title</u> | Percentage of surveyed visitors who found what they were looking for (%) |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: Two Strategic Objective: 2.1 |
| Why chose this indicator | This indicator allows SBA to determine a transaction success rate. |
| Briefly describe relevance of this indicator for measuring program success | Indicates how successful the site is organized across different content types. |
| Briefly describe how this indicator is used or will be used to manage the program | This indicator allows us to determine what percentage of site visitors who cannot find what they were looking for within the site. It also serves as a baseline for making improvements in search, navigation and site layout. |
| Indicator measures an output (process) or outcome (result) | Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Indicates success in locating agency information. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Those who indicate they could not find what they were looking for by the time the survey was presented to them may have found their information after taking the survey. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Aggregate responses to survey question. |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | Random pop-up survey on SBA.gov. |
| Identify the event or action that creates a data record (e.g., an approved loan): | |
| Identify how the data record is captured: | Survey results are electronically captured by a third party tool. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Data is captured immediately. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Reporting lag is daily. |
| Identify the date that actual year-end data will be available for reporting. | One month at end of reporting cycle. |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| Describe the process to ensure that the reported data is complete and accurate | Data comes from both third party generated reports and an online tool used to query results. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Data is predicated on honesty of survey takers and what point in the online search experience the survey is taken. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Business Gateway

17 - c

| <u>Performance Indicator Title</u> | Percentage of satisfied customers (%) |
|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.1 |
| Why chose this indicator | Customer satisfaction is a common measurement of web sites. |
| Briefly describe relevance of this indicator for measuring program success | In order for Business.gov to be useful to businesses and save them time and money, visitors must be satisfied with the site and what they find there. The ACSI score is one of several factors that help us understand the public's opinion of the site. |
| Briefly describe how this indicator is used or will be used to manage the program | The ACSI score is used to gauge whether businesses are finding useful information when they visit the site. We closely monitor what folks are searching on and then add specific featured content on those topic. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Not applicable |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>There are studies that content that surveys of this nature may not accurately portray customer satisfaction since those most likely to complete the pop-up survey are either very happy or very unhappy. Accordingly, we use this as only one indicator of overall satisfaction with the site.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Measure of customer opinion across several factors (e.g., design, search, etc.) of the web site. The individual measures are aggregated into a single index number.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Index is calculated by the software tool that administers the survey and reported to SBA.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>This indicator was used in the previous reporting cycle. There are no changes to the definition that would impact comparability.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | <p>The Foresee Results survey tool is integrated into the Business.gov web site. Triggers are set that cause the survey to pop up to 30% of visitors to the site. Additionally, before the survey displays, the visitor must go to 2 pages (i.e., not just the home page.)</p> |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Three hundred responses must be received in order for the index to be calculated. After the first 300 were collected, the index is recalculated for every 60 new responses (i.e., the oldest 60 responses are dropped and the newest 60 responses are added to what remains.)</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify how the data record is captured: | When a sufficient sample size has been met, the software calculates a new index. Reports on all factors of the index are available electronically any time the Business Gateway Team logs into the vendor's web site. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | N/A |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | N/A |
| ID the system of record for the indicator, e.g., what system did the information come from? | N/A |
| Identify the date that actual year-end data will be available for reporting. | The data is available now. |
| Describe the process to ensure that the reported data is complete and accurate | The ACSI methodology is a widely used approach for measuring customer satisfaction. It is used in both the public and private sectors. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | While the results of the survey are considered to be statistically valid, because information is self-reported there is the possibility for bias to be introduced in the responses. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | There are no outstanding OIG or GAO findings or recommendations affecting this indicator. |
| Describe plans to address limitations to accuracy or completeness of data | There are no current plans to change the process for collecting this information. |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>This indicator was used in the prior year. There are no changes that affect the data quality.</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: **Business Gateway**

17 - d

| | |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Percentage of satisfied customers using search (%) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: Two Strategic Objective: 2.1 |
| Why chose this indicator | Since the SBA.gov site is new, both old and new customers may need to rely on the search function to find information. |
| Briefly describe relevance of this indicator for measuring program success | It is one key indicator on whether site users are able to locate information on SBA.gov regarding SBA's programs and services. |
| Briefly describe how this indicator is used or will be used to manage the program | It will allow us to assess if the search tool is fulfilling the needs of users as they search the site. |
| Indicator measures an output (process) or outcome (result) | Result |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Only 20%-30% of site users currently use search. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>User satisfaction score based on an algorithm tied to survey questions that measures feedback on site usability.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Random pop-up survey on SBA.gov.</p> |
| <p>Identify how the data record is captured:</p> | <p>Survey results are electronically captured by a third party tool.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is captured immediately.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Reporting lag is daily.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>One month after end of reporting cycle.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| | |
| Describe the process to ensure that the reported data is complete and accurate | Data comes from both third party generated reports and an online tool used to query results. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Data is predicated on honesty of survey takers and what point in the online search experience the survey is taken. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Field Operations

18 - a

| <u>Performance Indicator Title</u> | Completed Annual 8(a) Reviews (% and #) |
|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goals: 1 & 2 Strategic Objective: 1.1, 1.2, 1.3, 2.1 |
| Why chose this indicator | This performance measure is mandated by regulation. |
| Briefly describe relevance of this indicator for measuring program success | By regulation/SOP, OFO through coordination with the Office of Business develop must ensure all district offices perform their required site visits for each 8(a) participant in their portfolio. |
| Briefly describe how this indicator is used or will be used to manage the program | This measure will be used to track the compliance of all required 8(a) site visits in the E(8a) System. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Eligibility of the 8(a) participant |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Number of Active firms as of 8/1 each year |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | No changes. |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | BDMIS is updated when 8(a) site visits are performed. |
| Identify the event or action that creates a data record (e.g., an approved loan): | |
| Identify how the data record is captured: | Firm is approved and active in the 8(a) Business Development Program. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Daily |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | 1 business day. Uploaded after approval to the 8(a) Business Development Program from BDMIS |
| ID the system of record for the indicator, e.g., what system did the information come from? | E(8a) Review System |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| | |
| Identify the date that actual year-end data will be available for reporting. | October 15 th |
| Describe the process to ensure that the reported data is complete and accurate | BDS enters correct data in Activity Log in e8(a) Review System. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Incorrect data in e8(a) and AR not completed for fiscal year. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | BD has requested that data integrity be included in all field staff PBCP. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | Not Applied in prior years |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Field Operations

18 - b

| <u>Performance Indicator Title</u> | HUBZone site Visits (% & #) |
|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goals: 1 & 2 Strategic Objective: 1.1, 1.2, 1.3, 2.1 |
| Why chose this indicator | The HUBZone application process is performed by desk audit methodology. Site visits adds by verifying Principal Office and 35% eligibility requirements. |
| Briefly describe relevance of this indicator for measuring program success | Number of firms found not to be in compliance from these reviews. |
| Briefly describe how this indicator is used or will be used to manage the program | If the site visits report a 10% variance in compliance issues, then management will review the application and certification process. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Compliance is to ensure only legitimate HUBZone firms are receiving benefit from this program. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Time and distance to from a district office to conduct these reviews.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Site visits are only reviewing Principal Office and 35% employee requirements.</p> <p>No documentation is being gathered.</p> <p>Mainly reviewing firms that we recently recertified.</p> <p>Reviewing limited number of applicant firms, where documentation brings up questions.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>SharePoint Directory by OF</p> |
| <p>Identify how the data record is captured:</p> | <p>Site Visit Reporting Sheets by HZ Program Office</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Data collection is done in real time. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | N/A |
| ID the system of record for the indicator, e.g., what system did the information come from? | N/A |
| Identify the date that actual year-end data will be available for reporting. | Completed site visits are in real time. Firms brought up on compliance issues will be closed out on or about March 2011. |
| Describe the process to ensure that the reported data is complete and accurate | Districts are entering their data into an OFO SharePoint directory and providing hard copies to the HUBZone Program Office. Hard copies are being reviewed, logged and processed for action if action is required. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | We are operating this task without an electronic data collection system with an integrated reporting system. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None to report at this time. |
| Describe plans to address limitations to accuracy or completeness of data | For 2011 site visit reviews we are working towards having a web-based data collection system. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of Disaster Assistance

19 - a

| <u>Performance Indicator Title</u> | Disasters having field presence within 3 days (%) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to arrive at Disaster sites to deliver the program. |
| Briefly describe relevance of this indicator for measuring program success | Coordinate SBA response and promote SBA disaster loan program after a declared disaster. |
| Briefly describe how this indicator is used or will be used to manage the program | Determine loan processing staff requirements and training needs. Determine budget requests. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Promote SBA disaster program in disaster area. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>SBA staff deployed to disaster area immediately after a disaster to coordinate SBA response and promote SBA disaster loan program.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Disaster response creates data record.</p> |
| <p>Identify how the data record is captured:</p> | <p>Record captured by Disaster Field Office certification.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Month certification</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Certification of Field presence is submitted within the first week of the month.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Disaster Office certification</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Identify the date that actual year-end data will be available for reporting. | Data is available the first week of the new fiscal year. |
| Describe the process to ensure that the reported data is complete and accurate | Disaster Office certification is correct and complete. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | No issues |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | No issues |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | No change |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Disaster Assistance

19 - b

| | |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Loans with initial disbursements within 5 days of loan closing (%) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to disburse loan funds is an important measure of how effective we are at delivering the program. |
| Briefly describe relevance of this indicator for measuring program success | Provides for timely start of replacing or rebuilding disaster damaged property. |
| Briefly describe how this indicator is used or will be used to manage the program | |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Replace or rebuild disaster damaged property. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unit of measure is %.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Data record created by SBA receiving signed and dated loan closing documents from Borrower.</p> |
| <p>Identify how the data record is captured:</p> | <p>Loan closing document information manually entered in DCMS.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data capture is immediately after loan closing documents are entered into DCMS.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Reports are generated within the first week of month.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Data is reported on Disaster Credit Management System (DCMS) reports #200 Monthly Report and #201 Cumulative Report.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Reports are generated within the first week of month.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Reports reviewed by management.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Data is correct and complete.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No issues</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Disaster Assistance

19 - c

| <u>Performance Indicator Title</u> | Average Time to Process Home Applications (Days) |
|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to render a decision is an important measure of how effective we are at delivering the program. |
| Briefly describe relevance of this indicator for measuring program success | Restore homes affected by disaster. |
| Briefly describe how this indicator is used or will be used to manage the program | N/A |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Home reconstruction or restoration. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unit of measure is #</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Loan application creates data record.</p> |
| <p>Identify how the data record is captured:</p> | <p>DCMS captures record at loan processing decision.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is captured immediately.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Reports are generated within the first week of month.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Data is reported on DCMS reports #200 Monthly Report and #201 Cumulative Report.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Reports are generated within the first week of month.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Reports reviewed by management.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Data is correct and complete.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No issues</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Disaster

19 - d

| <u>Performance Indicator Title</u> | Home Loans Processed Within Standard (%) (1) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to render a decision is an important measure of how effective we are at delivering the program. |
| Briefly describe relevance of this indicator for measuring program success | Restore homes affected by disaster. |
| Briefly describe how this indicator is used or will be used to manage the program | Used to monitor how effective we are at delivering the disaster home loan program. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Home restoration or reconstruction. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Unit of measure is %. |
| Formula used to calculate the indicator (if appropriate) | Number of loans decisions rendered within standard (currently 14 days) divided by the total decisions rendered for the time period. |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | No change |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | Loan application creates data record. |
| Identify the event or action that creates a data record (e.g., an approved loan): | |
| Identify how the data record is captured: | DCMS captures record at loan processing decision. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Data is captured immediately. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Reports are generated within the first week of the month for the month, quarter and year-to date. |
| ID the system of record for the indicator, e.g., what system did the information come from? | Data is reported on DCMS Report 85 |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|
| | |
| Identify the date that actual year-end data will be available for reporting. | Reports are generated within the first week of the month. |
| Describe the process to ensure that the reported data is complete and accurate | Reports reviewed by management. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | No issues. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | Data is correct and complete. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | No issues. |

Validation of Data Used in Performance Measure

Office name: Office of Disaster Assistance

19 - e

| <u>Performance Indicator Title</u> | Average Time to process business physical applications (days) |
|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to render a decision is an important measure of how effective we are at delivering the program. |
| Briefly describe relevance of this indicator for measuring program success | Restore businesses affected by disaster. |
| Briefly describe how this indicator is used or will be used to manage the program | N/A |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job retention, job creation, and revitalization business |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unit of measure is #</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Loan application creates data record.</p> |
| <p>Identify how the data record is captured:</p> | <p>DCMS captures record at loan processing decision.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is captured immediately.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Reports are generated within the first week of month.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Data is reported on DCMS reports #200 Monthly Report and #201 Cumulative Report.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Reports are generated within the first week of month.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Reports reviewed by management.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Data is correct and complete.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No issues</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Disaster

19 - f

| <u>Performance Indicator Title</u> | Business Loans Processed Within Standard (%) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to render a decision is an important measure of how effective we are at delivering the program. |
| Briefly describe relevance of this indicator for measuring program success | Restore businesses affected by disaster. |
| Briefly describe how this indicator is used or will be used to manage the program | Used to monitor disaster business loan processing. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Businesses restored |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unit of measure is %</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Number of decisions rendered within the standard (currently 18 days) divided by the total decisions rendered in the time period.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Loan application creates data record.</p> |
| <p>Identify how the data record is captured:</p> | <p>DCMS captures record at loan processing decision.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is captured immediately.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Reports are generated within the first week of the month for monthly, quarterly and year-to date performance. |
| ID the system of record for the indicator, e.g., what system did the information come from? | Data is reported on DCMS Report 85 |
| Identify the date that actual year-end data will be available for reporting. | Reports are generated within the first week of the month. |
| Describe the process to ensure that the reported data is complete and accurate | Reports reviewed by management. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | No issues. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | Data is correct and complete. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | No issues. |

Validation of Data Used in Performance Measure

Office name: Office of Disaster Assistance

19 - g

| <u>Performance Indicator Title</u> | Average Time o Process EIDL Applications (Days) |
|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to render a decision is an important measure of how effective we are at delivering the program. |
| Briefly describe relevance of this indicator for measuring program success | Restore businesses economically affected by disaster. |
| Briefly describe how this indicator is used or will be used to manage the program | |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job retention, job creation, and revitalize business |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unit of measure is #</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Loan application creates data record.</p> |
| <p>Identify how the data record is captured:</p> | <p>DCMS captures record at loan processing decision.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is captured immediately.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Reports are generated within the first week of month.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Data is reported on DCMS reports #200 Monthly Report and #201 Cumulative Report.</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Identify the date that actual year-end data will be available for reporting. | Reports are generated within the first week of month. |
| Describe the process to ensure that the reported data is complete and accurate | Reports reviewed by management. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | No issues |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | Data is correct and complete. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | No issues |
| Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Disaster Assistance

19 - h

| <u>Performance Indicator Title</u> | EIDL Loans Processed Within Standard (%) |
|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Time it takes to render a decision is an important measure of how effective we are at delivering the program. |
| Briefly describe relevance of this indicator for measuring program success | Restore businesses economically affected by disaster. |
| Briefly describe how this indicator is used or will be used to manage the program | |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job retention, job creation, and revitalize business |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Unit of measure is % |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | No change |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | Loan application creates data record. |
| Identify the event or action that creates a data record (e.g., an approved loan): | |
| Identify how the data record is captured: | DCMS captures record at loan processing decision. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Data is captured immediately. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Reports are generated within the first week of month. |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Data is reported on DCMS reports #200 Monthly Report and #201 Cumulative Report.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Reports are generated within the first week of month.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Reports reviewed by management.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Data is correct and complete.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No issues</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Disaster

19 - i

| | |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | SB Sustaining Economic Injury That Remain in Operation 6 Months After Final Disbursement (%) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Measure customer service in delivery of the program. |
| Briefly describe relevance of this indicator for measuring program success | Measures customer service that program makes to the achievement of SBA's outcomes. |
| Briefly describe how this indicator is used or will be used to manage the program | Evaluate disaster loan program impact. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Survey of disaster loan applicants and borrowers conducted by American Customer Satisfaction Index (ACSI) in conjunction with the University of Michigan.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>ACSI Survey – ODA provides a random sample of loans by type and by approval / decline decision for ACSI to conduct survey.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is collected on yearly basis.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>ACSI will survey disaster loan applicants and borrowers and provide a written report to ODA at the end of the Fiscal Year.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Surveyors need to contact applicants or borrowers for sufficient sample to calculate survey percentages.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>ACSI provides a written report to SBA Disaster Assistance program.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>End of Fiscal Year or first month of new Fiscal Year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>SBA has used ACSI survey since 2003.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>No issues</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No Change</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Disaster

19 - j

| | |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | SB Sustaining Physical Damage that are in Operation 6 Months after Final Disbursement (%) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Measure customer service in delivery of the program. |
| Briefly describe relevance of this indicator for measuring program success | Measures customer service that program makes to the achievement of SBA's outcomes. |
| Briefly describe how this indicator is used or will be used to manage the program | Evaluate disaster loan program impact. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Survey of disaster loan applicants and borrowers conducted by ACSI in conjunction with the University of Michigan.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>ACSI Survey – ODA provides a random sample of loans by type and by approval / decline decision for ACSI to conduct survey.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is collected on yearly basis.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>ACSI will survey disaster loan applicants and borrowers and provide a written report to ODA at the end of the Fiscal Year.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Surveyors need to contact applicants or borrowers for sufficient sample to calculate survey percentages.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| ID the system of record for the indicator, e.g., what system did the information come from? | ACSI provides a written report to SBA Disaster Assistance program. |
| Identify the date that actual year-end data will be available for reporting. | End of Fiscal Year or first month of new Fiscal Year. |
| Describe the process to ensure that the reported data is complete and accurate | SBA has used ACSI survey since 2003. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | No issues |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | No issues |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | No Change |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Disaster

19 - k

| | |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Renters that Completed Eligible Repairs Within 6 Months After Final Disbursement (%) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Measure customer service in delivery of the program. |
| Briefly describe relevance of this indicator for measuring program success | Measures customer service that program makes to the achievement of SBA's outcomes. |
| Briefly describe how this indicator is used or will be used to manage the program | Evaluate disaster loan program impact. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Survey of disaster loan applicants and borrowers conducted by ACSI in conjunction with the University of Michigan.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>ACSI Survey – ODA provides a random sample of loans by type and by approval / decline decision for ACSI to conduct survey.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is collected on yearly basis.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>ACSI will survey disaster loan applicants and borrowers and provide a written report to ODA.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Surveyors need to contact applicants or borrowers for sufficient sample to calculate survey percentages.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>ACSI provides a written report to SBA Disaster Assistance program.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>End of Fiscal Year or first month of new Fiscal Year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>SBA has used ACSI survey since 2003.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>No issues</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No Change</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Disaster Assistance

19 - I

| <u>Performance Indicator Title</u> | Customer Satisfaction Rate (Approvals and Declines) (%) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Measure customer service in delivery of the program. |
| Briefly describe relevance of this indicator for measuring program success | Measures customer service that program makes to the achievement of SBA's outcomes. |
| Briefly describe how this indicator is used or will be used to manage the program | Used to Determine Training Needs |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Survey of disaster loan applicants and borrowers conducted by ACSI in conjunction with the University of Michigan.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>ACSI Survey – ODA provides a random sample of loans by type and by approval / decline decision for ACSI to conduct survey.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is collected on yearly basis.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>ACSI will survey disaster loan applicants and borrowers and provide a written report to ODA at the end of the Fiscal Year.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal</p> | <p>Surveyors need to contact applicants or borrowers for sufficient sample to calculate survey percentages.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>year):</p> <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>ACSI provides a written report to SBA Disaster Assistance program.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>End of Fiscal Year or first month of new Fiscal Year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>SBA has used ACSI survey since 2003.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>No issues</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No Change</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Disaster

19 - m

| | |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| <u>Performance Indicator Title</u> | Homeowners that Completed Eligible Disaster Repairs Within 6 Months of Final Disbursement (%) |
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.4 |
| Why chose this indicator | Measure customer service in delivery of the program. |
| Briefly describe relevance of this indicator for measuring program success | Measures customer service that program makes to the achievement of SBA's outcomes. |
| Briefly describe how this indicator is used or will be used to manage the program | Evaluate disaster loan program impact. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Survey of disaster loan applicants and borrowers conducted by ACSI in conjunction with the University of Michigan.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No change</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>ACSI Survey – ODA provides a random sample of loans by type and by approval / decline decision for ACSI to conduct survey.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is collected on yearly basis.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>ACSI will survey disaster loan applicants and borrowers and provide a written report to ODA.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year</p> | <p>Surveyors need to contact applicants or borrowers for sufficient sample to calculate survey percentages.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>ACSI provides a written report to SBA Disaster Assistance program.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>End of Fiscal Year or first month of new Fiscal Year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>SBA has used ACSI survey since 2003.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No issues</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>No issues</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No Change</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Chief Information Officer

20 - a

| <u>Performance Indicator Title</u> | IT Systems Availability (%) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.1 |
| Why chose this indicator | Shows readiness of most commonly used IT systems within Agency. |
| Briefly describe relevance of this indicator for measuring program success | Delivery of key agency programs is tied to the use of Internet, databases, applications, & E-mail. |
| Briefly describe how this indicator is used or will be used to manage the program | Systems availability is a broad health indicator that signals when attention to the most-used IT resources and systems is needed. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Output |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | In some instances, will measure availability but not actual usage. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>The measure is based on automated monitoring of IT systems that alert when a system resource becomes unavailable to intended users.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Average of seven individual availability measures: e-mail, PDA, mainframe, databases, applications, Internet and Portal, as reported monthly.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>Not reported in prior cycle.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Systems monitoring devices report failures or anomalous performance.</p> |
| <p>Identify how the data record is captured:</p> | <p>By e-mail, system recording, warning message or other alert notification.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Immediate for all monitored systems.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Lag time ranges between immediate and 4 hours depending on the IT system and frequency of human monitoring.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>E-mail system plus several contractor-attended IT operations not themselves within a system of record.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>At month or year end, plus 2 weeks.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Standard quality assurance methods; review of all customer reported problems; cross checking using other automated tools for anomaly detection.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>None indicated</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None indicated</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>None indicated</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No changes</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> NO Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of the Chief Information Officer

20 - b

| <u>Performance Indicator Title</u> | Unauthorized Network and Data Breaches |
|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.1 |
| Why chose this indicator | A Standard measure of IT network safety. |
| Briefly describe relevance of this indicator for measuring program success | IT networks safe from intrusion (breach) can reliably be used by customers; consistently safe use is the primary goal of IT security efforts . |
| Briefly describe how this indicator is used or will be used to manage the program | Occurrence of breaches signal a treatable weakness that would have to be promptly addressed. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> No Output <input type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | This type of indicator signals a problem after it occurs, but typically will not give warning of an impending problem. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Unique events, non-conforming patterns, or pattern anomalies are the characteristics of information security breach indicators.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>Significant information security breaches are reported through US CERT by law, SBA's ability to detect breaches has been strengthened by adopting several technical tools that detect anomalous events in ways SBA previously lacked.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Machine and network performance as monitored by software tools.</p> |
| <p>Identify how the data record is captured:</p> | <p>Data is reported to authorized operators through the software tool(s) as part of their normal operation.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is collected at varied intervals: daily, bi-weekly or monthly depending on tools and systems in question are available immediately but certain data is evaluated at bi-weekly or monthly intervals. Summary reports are prepared at specified intervals, normally monthly.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Generally, this data is collected continuously and accessed by operators on a regular basis, sometimes daily, with alerts generated if an unusual condition presents itself.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Information is derived from SBA's IT infrastructure. i.e., IT networks, and selected devices such as database servers, communications routers and agency-owned computer hardware.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>By October 20 annually</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Reported information is examined by professional staff and researched if "false positive" signs are suggested; data is taken directly from machine-generated reports with no editing possible.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>Some limitations conceivably could exist as a result of outdated software, monitoring devices improperly installed or installed but not consistently monitored by attendants.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>Previous OIG audit findings have emphasized the need for continuous monitoring of IT networks aimed at detecting anomalous events or other indicators that may signal attempts to inappropriately access IT networks, data or resources.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>Review of software product to ensure installation of current version(s); analysis of any presumed false positive signals generated by reports or logs.</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>Not previously used as performance indicator</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of the Chief Financial Officer

21 - a

| <u>Performance Indicator Title</u> | Unqualified Opinion for Audit Year |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.1 |
| Why chose this indicator | It is an independent evaluation of the quality and accuracy of the SBA's financial statements. |
| Briefly describe relevance of this indicator for measuring program success | It is an independent evaluation of the quality and accuracy of the SBA's financial statements. |
| Briefly describe how this indicator is used or will be used to manage the program | The goal is to have clean opinions. If we do not, we must work to get it. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Unique event. An independent audit is held every year to determine the accuracy and quality of the SBA's financial statements. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: Identify the event or action that creates a data record (e.g., an approved loan): | The independent auditors will issue an opinion on the accuracy of the financial statements at the conclusion of their annual audit. |
| Identify how the data record is captured: | N/A |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | N/A |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | N/A |
| Identify the system of record for the indicator, e.g., what system did the information come from? | N/A |
| Identify the date that actual year-end data will be available for reporting. | 11/15 of each year |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| Describe the process to ensure that the reported data is complete and accurate | Annual independent financial statement audit |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | N/A |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
| | |

Validation of Data Used in Performance Measure

Office name: Office of the Chief Financial Officer

21 - b

| <u>Performance Indicator Title</u> | Number of Material Weaknesses identified in the annual financial audit |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 4 Strategic Objective: 4.3 |
| Why chose this indicator | It is an independent evaluation of the quality and accuracy of the SBA's financial statements. |
| Briefly describe relevance of this indicator for measuring program success | It is an independent evaluation of the quality and accuracy of the SBA's financial statements. |
| Briefly describe how this indicator is used or will be used to manage the program | The goal is to have no material weakness. If we do not, we must work to get it. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| Detailed definition of indicator. E.g.: ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Unique event. An independent audit is held every year to determine the accuracy and quality of the SBA's financial statements. |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Identify the event or action that creates a data record (e.g., an approved loan): | The independent auditors will issue an opinion on the accuracy of the financial statements at the conclusion of their annual audit. |
| Identify how the data record is captured: | N/A |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | N/A |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | N/A |
| ID the system of record for the indicator, e.g., what system did the information come from? | N/A |
| Identify the date that actual year-end data will be available for reporting. | 11/15 of each year |
| Describe the process to ensure that the reported data is complete and accurate | Annual independent financial statement audit |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | N/A |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |
| Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Human Capital Management

22 - a

| <u>Performance Indicator Title</u> | Annual Employee Survey of Overall Satisfaction Rating (%) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.2 |
| Why chose this indicator | As required by the Chief Human Capital Officers Act of 2002, agencies are evaluated on their progress in meeting the Human Capital Assessment and Accountability Framework (HCAAF) standards. The annual employee survey provides one source of information for evaluating success in meeting these standards and measuring employee satisfaction. |
| Briefly describe relevance of this indicator for measuring program success | Satisfaction with the job is an indicator/predictor that is highly correlated to overall employee satisfaction. |
| Briefly describe how this indicator is used or will be used to manage the program | The routine uses include collecting this information to study and report attitudes and perceptions about Human Capital Programs and policies that will assist in the formulation of policies which may be needed to improve the working environment. The results from this indicator drive employee engagement activities at an agency-wide level. |
| Indicator measures an output (process) or outcome (result) | Check One: <input type="checkbox"/> No Output <input checked="" type="checkbox"/> Yes Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | N/A |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | No known limitations. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Annual Employee Surveys are distributed to SBA employees and their survey responses are numbered and reported as percentages. Most of the items have six response categories: Strongly Agree, Agree, Neither Agree nor Disagree, Disagree, Strongly Disagree, and No Basis to Judge/Do Not Know. |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>Data collected from Annual Employee Survey respondents are weighted to produce survey estimates that accurately represent the survey population. The weights developed for the survey take into account the variable probabilities of selection across the sample domains, non-response, and known demographic characteristics of the survey population. Thus, the final data set reflects the agency composition and demographic makeup of the SBA. This process does not change any answers; rather, it gives accurate relative importance to a respondent's answers, adjusting for over- and under-represented groups of respondents.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes.</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>The U.S. Office of Personnel Management (OPM) administers the survey, which was first conducted in 2002. It is administered Government-wide.</p> |
| <p>Identify how the data record is captured:</p> | <p>The AES is a self-administered Web survey. Federal employees received the survey invitation via their government email address. They take the survey online and their answers are captured in the OPM survey database.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>The data is captured annually.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>The data is reported within 90 days of the close of the survey.</p> |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>OPM is the owner and custodian of the database/system of record in which the Federal AES data is stored.</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>Data is available by June 30th annually.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>Access to completed surveys are limited to OPM staff and contractors who are involved in collecting or preparing the information for analysis and agencies such as GAO that have specific authority to obtain agency records. Information is captured across a secure-web connection and transmitted to a certified and accredited OPM database.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>No known limitations.</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None.</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>N/A</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>No changes.</p> |
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Human Capital Management

22 - b

| <u>Performance Indicator Title</u> | Number of average Days for SBA "Time-to-Hire" 80 Day Standard (Days) |
|-----------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: 2</p> <p>Strategic Objective: 2.2</p> |
| Why chose this indicator | <p>The End-to-End (E2E) Hiring Roadmap is a product of the partnership between the Office of Personnel Management and the Chief Human Capital Officers Council (CHCOC) Subcommittee for Hiring and Succession Planning. This new approach to Federal hiring, implemented in 2008, is designed to focus on the applicant: his or her expectations, needs and interests. The Roadmap is designed to transform the competitive hiring process for applicants from outside the Federal Government while still complying with applicable law. E2E Hiring Initiative will transform Federal hiring by strategically integrating and reengineering its five components: workforce planning, recruitment, hiring process, security and suitability and orientation. The Roadmap explains each of the five components of hiring, shows how the five are strategically integrated, provides step-by-step implementation</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <p>instructions and establishes key Government-wide measures for effective hiring.</p> |
| <p>Briefly describe relevance of this indicator for measuring program success</p> | <p>One of the challenges facing Federal agencies is how to attract and recruit qualified individuals by meeting their expectations for user-friendly application procedures, clear communication about the hiring process and an engaging orientation experience. In the next five years, the Federal Government will lose a significant portion of its valued workforce through attrition, primarily due to retirement. The Government's ability to replace this loss of skills and experience with new talent will depend on our capability to efficiently and effectively recruit, hire and retain high performing employees. The End-to-End Hiring Roadmap is aimed at providing both Federal agencies and job applicants with a more effective and positive recruitment experience. The Roadmap is designed to transform the competitive hiring process for applicants from outside the Federal Government while still complying with applicable law.</p> |
| <p>Briefly describe how this indicator is used or will be used to manage the program</p> | <p>The roadmap gives agencies comprehensive, step-by-step implementation instructions that provide for an 80-day hiring timeline, beginning with the manager's request for the recruitment action and ending on the new employee's first day on the job. The outcome measures that accompany the Roadmap will be used by OPM and the CHCO Council to assess Government-wide progress toward the initiative's goal to ensure the Federal hiring process is clear, communicative and effective.</p> |

Validation of Data Used in Performance Measure

| | |
|-----------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| <p>Indicator measures an output (process) or outcome (result)</p> | <p>Check One:</p> <div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> Yes Output </div> <div style="display: flex; align-items: center; margin-top: 5px;"> <input type="checkbox"/> No Outcome </div> |
| <p>If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth</p> | <p>The outcome measures that accompany the Roadmap will be used by OPM and the CHCO Council to assess Government-wide progress toward the initiative's goal to ensure the Federal hiring process is clear, communicative and effective.</p> |
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Inadequate analysis tools or systems</p> <p>Lack of workforce planning competencies and expertise</p> <p>Resource constraints for recruiting activities (e.g., staff)</p> <p>Talent shortage in the job market and increased competition across Federal agencies for highly qualified talent</p> <p>Shortage of highly skilled human resources practitioners</p> <p>Existing technology/automation is not always used effectively, especially for tracking and reporting</p> <p>Inattention to recruiting process optimization due to lack of planning, staff, training and resources</p> <p>Availability of trained human resources staff conducting various steps of the hiring process.</p> <p>Availability of managers dedicated to engage in the hiring process, beginning with reviewing workforce requirements, staffing and recruiting plans in order to select individuals best suited for the position.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <p>Obtaining buy-in on revised procedures from all stakeholders, including management officials, human capital practitioners, employees and the like.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Percent of employees hired within 80 days as described in the Hiring Process Component of the E2E Model (source: Hiring Timeline Data).</p> <p>Percent of applicants who indicated they were able to obtain information on current status of their application (source: New Hire Survey).</p> <p>Percent of new employees reporting regular communications throughout the entire process (re: expectations for the hiring process) (source: New Hire Survey).</p> <p>Percent of managers reporting that they were referred applicants with the talent needed to perform the job (source: CHCO Manager Survey).</p> <p>Percent of new hires reporting satisfaction with the hiring process (source: New Hire Survey).</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>The average of all personnel actions with Entry on Duty (EOD) dates for the month the Time to hire (TTH) figure is being calculated. TTH figure for each action is calculated as the period between when the personnel action request is received by OHCM to the employee's EOD date. The annual fiscal year figure is calculated as an average of the monthly calculations for that fiscal year.</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>No changes.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> | |
| <p>Identify the event or action that creates a data record (e.g., an approved loan)</p> | <p>Seven events are tracked during the hiring process: Personnel Action Received in OHCM Date; Job Opportunity Announcement (JOA); Open Date; OA Closed Date; Certificate of Eligibles (Cert) Issued Date; Cert returned to OHCM Date Official Job Offer Made Date; Entry on Duty (EOD), aka, Effective Date</p> |
| <p>Identify how the data record is captured:</p> | <p>Personnel Services Division (PSD) staff in Headquarters and Denver input date information into USA Jobs.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Ongoing, as each step in the process is reached</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>One week</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>USA Jobs is a government-wide system which now has the capability for running time to hire reporting.</p> |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Identify the date that actual year-end data will be available for reporting. | February 1, 2011 |
| Describe the process to ensure that the reported data is complete and accurate | USA Jobs reviewed and analyzed for completeness of data by PSD. PSD Team Lead for Staffing to ensure data is complete and accurate. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | The completeness and accuracy of data is dependent on the timely and accurate documentation of PSD staff. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | Review of staff's USA Jobs data entries by the PSD managers ensure timely, complete and accurate updates to the system |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | None |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Office of Human Capital Management

22 - c

| <u>Performance Indicator Title</u> | Retention Rate for New Hires (%) |
|----------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: Two — Invest in SBA’s people so they can more effectively serve small businesses.</p> <p>2.2.1 Aggressively pursue and retain individuals with the requisite skills and abilities to execute SBA’s mission. Support an environment where employees are engaged. Provide professional development to contribute to the overall success of SBA. Integrate SBA’s payroll and budgeting information systems. Decrease SBA’s average time-to-hire. Use hiring flexibilities to provide hiring officials with available options for selecting highly qualified candidates.</p> |
| Why chose this indicator | This indicator will reflect SBA’s ability to retain the employees it recruits. |
| Briefly describe relevance of this indicator for measuring program success | There is a direct correlation between retention and program offices’ mission execution. Employee turnover negatively effects operational efficiency and productivity, as well as increases operational cost. Moreover, retention directly impacts an agency’s ability to successfully implement effective workforce planning and human capital |

Validation of Data Used in Performance Measure

| | |
|-----------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <p>management strategies. As retirement-eligible and other employees exit an agency's workforce, the retention of new hires is an essential, if not the most critical, component to address manpower shortages and succession planning. Trends in the retention rate allows an agency to forecast and proactively create action plans to incentivize and retain the talent necessary to execute SBA's mission.</p> |
| <p>Briefly describe how this indicator is used or will be used to manage the program</p> | <p>The indicator will be measured against other federal agencies of similar size and/or missions, the federal government-wide average retention rate, or SBA's internal agency-wide and program offices' new hire retention rates once a base two-year average is established. SBA will analyze and determine whether variances are statistically significant and whether the variance adversely impacts SBA's mission. If the answer to this question is yes, SBA will create an action plan to implement human capital changes that are needed to positively influence new hire retention rates.</p> |
| <p>Indicator measures an output (process) or outcome (result)</p> | <p>Check One:</p> <p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/> No Output</p> <p>Yes Outcome</p> |
| <p>If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth</p> | <p>N/A</p> |
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Because SBA is a comparatively small agency, the number of new hires retained annually provides an accordingly small sample size, thereby potentially skewing the results by making the indicator susceptible to greater fluctuations from year to year which may not correspond with actual performance issues. SBA will not be able to draw concrete inferences until the agency has collected and</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | analyzed retention rates for the Base year (FY 2011) +4 years (FY 2015). |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of SBA employees hired during the fiscal year two years previous to the current one.</p> <p>Number of those employees remaining as SBA employees at the end of the current fiscal year.</p> |
| Formula used to calculate the indicator (if appropriate) | The number of those employees hired during the fiscal year two years prior to the current one and remaining as SBA employees at the end of the current fiscal year divided by the number of SBA employees hired during the fiscal year two years prior to the current one. |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | Not Applicable |
| Section II: Indicator Quality | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>There are two events that create a data record:</p> <p>Beginning with the FY 2009, all individuals on-boarded during the fiscal year (excluding internal agency selections) will be the initial population sample size.</p> <p>SBA will calculate the number of employees, on-boarded FY 2009, who are either no longer employees or remain employees at the end of the Base Year FY 2011.</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Identify how the data record is captured: | Reports will be generated from the USDA/National Finance Center (NFC) Payroll system, SBA's payroll system service provider. Two SBA on-board reports will be generated from the NFC Payroll system (1) for all external new hires during FY 2009 and (2) for all FY 2009 external new hires on-board status at the end of FY 2011. The indicator will be calculated as described above. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Annually |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Two weeks |
| ID the system of record for the indicator, e.g., what system did the information come from? | The National Finance Center (NFC) Payroll System |
| Identify the date that actual year-end data will be available for reporting. | November 30, 2011 |
| Describe the process to ensure that the reported data is complete and accurate | The year-end reports will be reviewed for completeness before the indicator is calculated. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | The completeness and accuracy of data on the NFC system. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | The year-end reports will be reviewed for completeness before the indicator is calculated. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | Not Applicable |

Validation of Data Used in Performance Measure

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| <p>Indicator data quality: The program manager will identify whether the indicator data quality is “High” or “Medium” and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - “High”, “Medium”, and “Low”.)</p> | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|

Validation of Data Used in Performance Measure

Office name: Office of Human Capital Management

22 - d

| <u>Performance Indicator Title</u> | Quality of New Hires Based on Hiring Manager Surveys (%) |
|-----------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | <p>Strategic Goal: Two — Invest in SBA’s people so they can more effectively serve small businesses.</p> <p>2.2.1 Aggressively pursue and retain individuals with the requisite skills and abilities to execute SBA’s mission. Support an environment where employees are engaged. Provide professional development to contribute to the overall success of SBA. Integrate SBA’s payroll and budgeting information systems. Decrease SBA’s average time-to-hire. Use hiring flexibilities to provide hiring officials with available options for selecting highly qualified candidates.</p> |
| Why chose this indicator | Hiring managers’ satisfaction is a strong indicator of whether the new employee will be successful. This indicator will reflect SBA’s ability to recruit and hire talented individuals whose knowledge and skills translate to support the SBA mission. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Briefly describe relevance of this indicator for measuring program success</p> | <p>The measure will help SBA measure its internal customer satisfaction. Hiring Managers are in excellent position to provide feedback to SBA's Office of Human Capital Management on employee performance. By measuring hiring managers' satisfaction with the quality of the new hire, SBA both gains insight into how well the new hires' skills and abilities translated to on-the-job contribution to SBA's mission, but also the effectiveness of SBA's recruitment process in achieving Agency goals of advertising, assessing and retaining talent with the requisite skills and abilities to execute SBA's mission.</p> |
| <p>Briefly describe how this indicator is used or will be used to manage the program</p> | <p>The survey results will be analyzed to determine whether system improvements are required.</p> |
| <p>Indicator measures an output (process) or outcome (result)</p> | <p>Check One: <input type="checkbox"/> <input checked="" type="checkbox"/> No Output <input type="checkbox"/> Yes Outcome</p> |
| <p>If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth</p> | <p>N/A</p> |
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>Survey opinions are subjective and results may be skewed by personal bias.</p> <p>Because SBA is a comparatively small agency, the number of new hires annually provides an accordingly small sample size.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Beginning with FY 2010 new hire actions, an opinion survey will be created and distributed to all hiring managers at the end of FY 2011 (the base year). Hiring managers will be asked to complete the survey at the end of the fiscal year.</p> |

Validation of Data Used in Performance Measure

| | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Formula used to calculate the indicator (if appropriate) | Not Applicable |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | Not Applicable |
| Section II: Indicator Quality | |
| | |
| Describe the data collection process for the indicator: Identify the event or action that creates a data record (e.g., an approved loan): | There are several events that create a data record: Beginning with the FY 2010, all individuals, on-boarded during the fiscal year, will be the initial population sample size. SBA will calculate the number of employees, on-boarded FY 2010, who are employees at the end of the Base Year (FY 2011). |
| Identify how the data record is captured: | Reports will be generated from the USDA/National Finance Center (NFC) Payroll system, SBA's payroll system service provider. Two SBA on-board reports will be generated from the NFC Payroll system (1) for all hire actions during FY 2010 and (2) for all FY 2010 hires on-board at the end of FY 2011. At the end of the Base year (FY 2011), a survey will be created in Zoomerang (or other suitable survey tool) for Hiring Managers to provide feedback on the quality of new hires recruited during FY 2010. The Hiring Managers' completed surveys will be collected. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Annually |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Two Months |
| ID the system of record for the indicator, e.g., what system did the information come from? | The surveys |
| Identify the date that actual year-end data will be available for reporting. | November 30, 2011 |
| Describe the process to ensure that the reported data is complete and accurate | Surveys will be distributed to all applicable hiring managers. Follow-up will be conducted to ensure that the highest possible response rate. The results will be reviewed for completeness before the indicator is calculated. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | The cooperation of Hiring Managers in completing the surveys. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | SBA will convey to Hiring Managers the importance of completing the survey and will follow up with them to ensure that they are complete. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | Not Applicable |
| Indicator data quality: The program manager will identify whether the indicator data quality is "High" or "Medium" and will disclose any known or suspected weaknesses. An indicator must be rated at least Medium or it will be replaced with one that is. (Please see the Indicator Certification form which defines the three ratings - "High", "Medium", and "Low".) | <p>Check One:</p> <p><input checked="" type="checkbox"/> Yes High</p> <p><input type="checkbox"/> No Medium</p> |

Validation of Data Used in Performance Measure

Office name: Ombudsman

23 - a

| <u>Performance Indicator Title</u> | Days in processing to send comments to Agencies (#) |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2.2 |
| Why choose this indicator | Controllable and eventually will be electronically measureable through an upgrade to our database. |
| Briefly describe relevance of this indicator for measuring program success | Demonstrates a high-level of customer service. |
| Briefly describe how this indicator is used or will be used to manage the program | Will help to identify bottlenecks and flaws in comment processing. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | ONO processing time |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Incomplete comments from small businesses may skew information in the database. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. | |

Validation of Data Used in Performance Measure

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>days</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>Currently the indicator is calculated by a tedious, manual method. With a pending database upgrade to enable report production calculations should become more efficient.</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p style="text-align: center;">Comment received from a small business concern</p> |
| <p>Identify how the data record is captured:</p> | <p>System notes actual date of receipt.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Each time a comment is received.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>When the upgrade is available lag time should be within 1 day.</p> |
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>Will be the NOCMS – National Ombudsman Case Management System.</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| | |
| Identify the date that actual year-end data will be available for reporting. | If all goes as planned by the end of FY 2011. |
| Describe the process to ensure that the reported data is complete and accurate | Under review. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Under review. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | Unknown at this point. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | Not known at this point. We will be going from a manual to a database reporting system. |

Validation of Data Used in Performance Measure

Office name: Ombudsman

23 - b

| <u>Performance Indicator Title</u> | Days in processing to send Agency responses to commenter (#) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 3 Strategic Objective: 3.2.2 |
| Why choose this indicator | Controllable and eventually will be electronically measureable through an upgrade to our database. |
| Briefly describe relevance of this indicator for measuring program success | Demonstrates a high-level of customer service. |
| Briefly describe how this indicator is used or will be used to manage the program | Will help to identify bottlenecks and flaws in comment processing. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | ONO processing time |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | N/A |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | Days |
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | Currently the indicator is calculated by a tedious, manual method. With a pending database upgrade to enable report production calculations should become more efficient. |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: | |
| Identify the event or action that creates a data record (e.g., an approved loan): | Response received from a Federal Agency. |
| Identify how the data record is captured: | System notes actual date of receipt. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Each time a response is received. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | When the upgrade is available lag time should be within 1 day. |
| ID the system of record for the indicator, e.g., what system did the information come from? | Will be the NOCMS – National Ombudsman Case Management System. |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| | |
| Identify the date that actual year-end data will be available for reporting. | If all goes as planned by the end of FY 2011. |
| Describe the process to ensure that the reported data is complete and accurate | Under review. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Under review. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | Unknown at this point. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | Not known at this point. We will be going from a manual to a database reporting system. |

Validation of Data Used in Performance Measure

Office name: Credit Risk Management

25 - a

| <u>Performance Indicator Title</u> | Number of Onsite Reviews of Lenders (#) |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | |
| Section I: Indicator Definition and Relevance | |
| | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.3 |
| Why chose this indicator | To reduce SBA's overall credit risk |
| Briefly describe relevance of this indicator for measuring program success | Captures enhanced oversight of risky large and mid-size 7(a) lenders and 504 Community Development Companies (CDC). |
| Briefly describe how this indicator is used or will be used to manage the program | Through Onsite Reviews, OCRM holds SBA Lenders accountable for managing their portfolios in a prudent manner, thus reducing SBA's overall credit risk. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Improved 7(a) and CDC portfolio underwriting, servicing and liquidation. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | n/a |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Indicator is number of On-site reviews performed in a given year.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>n/a</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>n/a</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>A data record is created when OCRM completes an on-site review of an SBA Lender.</p> |
| <p>Identify how the data record is captured:</p> | <p>The tracking document is kept manually in an excel spreadsheet and updated weekly or more frequently if needed.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>There is no lag time between review and the availability of data. Data report updated cob every Monday.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>N/A</p> |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| <p>ID the system of record for the indicator, e.g., what system did the information come from?</p> | <p>N/A</p> |
| <p>Identify the date that actual year-end data will be available for reporting.</p> | <p>By the 15th day of October each year.</p> |
| <p>Describe the process to ensure that the reported data is complete and accurate</p> | <p>The report is updated weekly by team leader and then reviewed periodically by 10 financial analysts and management.</p> |
| <p>Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.)</p> | <p>n/a</p> |
| <p>Describe any outstanding OIG or GAO recommendation that affect this indicator</p> | <p>None</p> |
| <p>Describe plans to address limitations to accuracy or completeness of data</p> | <p>n/a</p> |
| <p>If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality.</p> | <p>n/a</p> |

Validation of Data Used in Performance Measure

Office name: Credit Risk Management

25 - b

| <u>Performance Indicator Title</u> | Number of Programmatic Reviews of the 7a, 504 and Microloan programs |
|----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.3 |
| Why chose this indicator | Programmatic Reviews identify and document SBA loan portfolio performance and loan program policy issues. |
| Briefly describe relevance of this indicator for measuring program success | Counts of Programmatic Reviews measure proactive steps taken towards achieving effective management of SBA loan portfolios and to support program and policy development. |
| Briefly describe how this indicator is used or will be used to manage the program | Results of the Programmatic Reviews will be used in decision making and planning OCRM projects aimed at mitigating risk. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Improved monitoring and oversight of the portfolio and discussions among Senior Management on SBA Policy affecting these portfolios. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | n/a |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>Number of Programmatic Review reports completed.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>N/A</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>N/A</p> |
| | |
| <p>Section II: Indicator Quality</p> | |
| | |
| <p>Describe the data collection process for the indicator:</p> <p>Identify the event or action that creates a data record (e.g., an approved loan):</p> | <p>Loan approvals and servicing creates data for the Loan Accounting System (LAS). Loan and Lender Monitoring System (LLMS) gets data from LAS and LLMS is appended quarterly with credit scores.</p> |
| <p>Identify how the data record is captured:</p> | <p>Programmatic Review reports analyze most recent loan portfolio data available to OCRM. Due to loan reporting processes, there is a two month lag between the loan activity month and when OCRM receives the data.</p> |
| <p>Identify the frequency of data capture (e.g., immediate, weekly, quarterly):</p> | <p>Data is captured monthly.</p> |
| <p>Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year):</p> | <p>Six to eight weeks.</p> |
| | |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
| ID the system of record for the indicator, e.g., what system did the information come from? | LAS is SBA's system of record – data is fed to LLMS. |
| Identify the date that actual year-end data will be available for reporting. | Actual year end-data is available in February. |
| Describe the process to ensure that the reported data is complete and accurate | There are multiple levels of internal review at SBA and LLMS is dependent on SBA's data being accurate. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | N/A |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | LLMS is dependent on SBA's data being accurate – Continuous improvement process allows for incremental change. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | n/a |

Validation of Data Used in Performance Measure

Office name: Office of Entrepreneurial Development

25 - c

| <u>Performance Indicator Title</u> | Number of Programmatic and Financial Reviews of Entrepreneurial Development Resource Partners (#) |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.3 |
| Why chose this indicator | Programmatic and Financial Reviews allow OED to identify and document program and financial issues. |
| Briefly describe relevance of this indicator for measuring program success | The indicator is the count of the programmatic and financial reviews completed on individual grantees in the small business development center network (SBDC) and the women’s business center (WBC) network. These reviews demonstrate effective management of SBA resource partners and help ensure accountability within the networks. |
| Briefly describe how this indicator is used or will be used to manage the program | The indicator measures how many reviews have been completed and is a component of OED’s overall program and financial management process of the resource partners. Results of the reviews are used to hold resource partners accountable, and by OED management to make informed decisions regarding program and financial policies and procedures. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Indicator measures an output (process) or outcome (result)</p> | <p>Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome</p> |
| <p>If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth</p> | <p>Improved oversight of grantees.</p> |
| <p>If applicable, describe any limitations on the relevance of this indicator for measuring program success</p> | <p>The indicator reveals how many reviews have been completed, but does not specify if there were outstanding issues or unsatisfactory findings as a result.</p> |
| <p>Detailed definition of indicator. E.g.:</p> <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. ○ Inclusions/exclusions; e.g.: definition of underserved market used | <p>One review (either programmatic or financial) counts as one review.</p> <p>The indicator includes the number of reviews completed for both SBDCs and WBCs.</p> |
| <p>Formula used to calculate the indicator (if appropriate)</p> | <p>The number of reviews to be completed is statutorily mandated.</p> |
| <p>If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data.</p> | <p>n/a</p> |
| <p>Section II: Indicator Quality</p> | |
| <p>Describe the data collection process for the indicator:</p> | <p>Each review is completed either by an SBA employee or an SBA contractor. The review process and criteria has been decided upon by OED management and is standardized across each network.</p> <p>Following the review, the professional completing the review submits a report of their findings to the managing OED program office. OED management</p> |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| | reviews the report and verifies the completion of the review. |
| Identify the date that actual year-end data will be available for reporting. | Reviews, both programmatic and financial, are ongoing. |
| Describe the process to ensure that the reported data is complete and accurate | Professional staff complete the review, and OED management reviews the completed report of the findings. |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Budgetary constraints may limit the number of reviews that can be completed. |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | None |
| Describe plans to address limitations to accuracy or completeness of data | Budgetary constraints are out of the control of the office. |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Credit Risk Management

25 - d

| <u>Performance Indicator Title</u> | Number of Programmatic Reviews of Disaster Assistance Programs (#) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 2 Strategic Objective: 2.3 |
| Why chose this indicator | It provides evidence of Improper Payments improvement |
| Briefly describe relevance of this indicator for measuring program success | Reducing Improper Payments % ensures disaster loan program is providing loan dollars correctly. |
| Briefly describe how this indicator is used or will be used to manage the program | Target training to address errors resulting in Improper Payments determination. |
| Indicator measures an output (process) or outcome (result) | <p style="color: red;">Check One:</p> <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> Outcome - NO |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Contributes to effective program delivery. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Criteria does not result in identifying disaster loan dollars that is actually disbursed in error. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none"> ○ Units of measure (\$, #'s) ○ Unique events versus duplicative; e.g., unique clients trained versus total trained. | Estimate \$ erroneously given to disaster loan applicants. |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ○ Inclusions/exclusions; e.g.: definition of underserved market used | |
| Formula used to calculate the indicator (if appropriate) | Ratio of Improper Payments in sample to total disbursements in reporting period. |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | N/A |
| Section II: Indicator Quality | |
| | |
| Describe the data collection process for the indicator: Identify the event or action that creates a data record (e.g., an approved loan): | Sample is derived from disbursements during the reporting period. QAR completed bi-annually. DCMS generates report of all disbursements during the period and sample is select from population. |
| Identify how the data record is captured: | N/A |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | N/A |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | N/A |
| ID the system of record for the indicator, e.g., what system did the information come from? | N/A |
| Identify the date that actual year-end data will be available for reporting. | Reporting periods 7/1 through 12/31 and 1/1 through 6/30. |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|
| Describe the process to ensure that the reported data is complete and accurate | DCMS report |
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | N/A |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | Management Challenge to improve Improper Payments %. |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |

Validation of Data Used in Performance Measure

Office name: Native American Affairs

26 - a

| <u>Performance Indicator Title</u> | Number of NA Owned Companies Assisted (#) |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| Section I: Indicator Definition and Relevance | |
| Identify the Strategic Goal and Objective that the indicator measures | Strategic Goal: 1 Strategic Objective: 1.6 |
| Why choose this indicator | Measureable Outcome/Output |
| Briefly describe relevance of this indicator for measuring program success | Data supports the objective of outreach, number indicates outreach levels/depths. |
| Briefly describe how this indicator is used or will be used to manage the program | Indicator used to measure outreach efficiency and accomplishment outreach objectives. |
| Indicator measures an output (process) or outcome (result) | Check One: <input checked="" type="checkbox"/> Yes Output <input type="checkbox"/> No Outcome |
| If an output, list the outcome(s) this PI contributes to, e.g., job creation, revenue growth | Job creation, innovation, revenue growth, access to capital and contracts. |
| If applicable, describe any limitations on the relevance of this indicator for measuring program success | Indicator captures only at ONAA work; does not indicate outcome of conflict resolution or advocacy. |
| Detailed definition of indicator. E.g.: <ul style="list-style-type: none">○ Units of measure (\$, #'s)○ Unique events versus duplicative; e.g., unique clients trained versus total trained.○ Inclusions/exclusions; e.g.: definition of underserved market used | Number of people; total numbers – trained, counseled, tech assistance, advocacy, conflict resolution. |
| | |

Validation of Data Used in Performance Measure

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| Formula used to calculate the indicator (if appropriate) | N/A |
| If this indicator was used in the last reporting cycle, identify any changes in the indicator definition that would impact comparability with the prior year's data. | No changes |
| Section II: Indicator Quality | |
| Describe the data collection process for the indicator: Identify the event or action that creates a data record (e.g., an approved loan): | Event Outreach Meetings Calls Emails |
| Identify how the data record is captured: | Captured in spreadsheet. |
| Identify the frequency of data capture (e.g., immediate, weekly, quarterly): | Daily hardcopy; electronic weekly. |
| Identify the reporting lag time between an event/action and the availability of data reporting (e.g., the number of days/weeks/months it takes to close a fiscal year): | Data available immediately. |
| ID the system of record for the indicator, e.g., what system did the information come from? | Excel spreadsheet – No replace system – manual entry |
| Identify the date that actual year-end data will be available for reporting. | 09/30/2011 |
| Describe the process to ensure that the reported data is complete and accurate | One person documenting (repeating for contractor oversight). |

Validation of Data Used in Performance Measure

| | |
|------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|
| Describe any limitations to accuracy or completeness of data (records without data, wrong data, double counting, etc.) | Dependent in outreach reporting (monthly report). |
| Describe any outstanding OIG or GAO recommendation that affect this indicator | N/A |
| Describe plans to address limitations to accuracy or completeness of data | N/A |
| If this indicator was used in the prior year reporting cycle, describe any changes affecting data quality. | N/A |