

U.S. Small Business Administration Office of Inspector General



Strategic Plan

Fiscal Years 2012-2017

Message from the Inspector General

I am pleased to provide the Strategic Plan for the U.S. Small Business Administration (SBA) Office of Inspector General (OIG). This Strategic Plan establishes our goals and objectives in promoting the efficiency, effectiveness, and integrity of SBA's programs and operations for fiscal years 2012 through 2017. Under the authority and in fulfillment of the Inspector General Act, the SBA OIG adds value to SBA programs and operations by providing auditing, investigative, and other services to support and to assist SBA in achieving its statutory mission.

The SBA was established to maintain and strengthen the nation's economy by protecting the interests of and assisting small businesses, and by helping families and businesses recover from disasters. We know the SBA faces a number of challenges in carrying out this mission, to include procurement flaws that allow large firms to obtain small business awards, modernization of legacy information systems, and fraudulent schemes. Our office will concentrate its auditing and investigative resources to aid SBA managers in successfully addressing these and other challenges over the next 6 years.

In this Strategic Plan, we are focused on key objectives where substantial short-term progress will not only improve our internal processes but also will move us closer to achieving established goals. SBA OIG employees are central to this effort, with diversity, professionalism, and dedication being embraced. It is through a comprehensive approach that the multi-faceted and complex challenges the SBA confronts will be addressed.

Our goals are ambitious and the challenges many, but I am confident that our work and the work of our many partners will assist the SBA in strengthening the economy of our nation. I am grateful for the support of Congress, and ask for continued support and collaboration as we implement this Strategy.

Peggy E. Gustafson
Inspector General

Mission

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

Vision

To be the most effective OIG in the Federal Government.

Statutory Responsibilities

The OIG is an independent and objective oversight office created within the SBA by the Inspector General Act of 1978, as amended (IG Act). The IG Act specifies that the OIG will:

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

The OIG has other significant oversight responsibilities, including responsibilities under the Small Business Act and the Small Business Investment Act, as well as an increasing number of legislative mandates and Government-wide directives.

Values

We:

- Perform our work with a high level of integrity, excellence, objectivity, and professionalism;
- Maintain a collaborative, challenging, creative, and respectful work environment;
- Promote open and honest communication;
- Foster professional growth and diversity; and
- Deliver products and services of the highest quality that are useful and informative to our stakeholders.

Strategic Goals, Objectives, and Success Measures

Strategic Goals and Objectives

The OIG has established strategic goals and objectives to help ensure that we fulfill our mission, vision, and oversight responsibilities.

Strategic Goal	Objectives
<p><u>Goal 1:</u> Promote the integrity, efficiency, and effectiveness of SBA programs and activities.</p>	<ol style="list-style-type: none"> 1. Conduct timely and efficient audits, investigations, and other analyses. 2. Increase the impact of audits and investigations in high-risk areas.
<p><u>Goal 2:</u> Enhance relationships with Congress, the SBA, and other entities.</p>	<ol style="list-style-type: none"> 1. Ensure continuous communication with stakeholders about critical audit and investigative issues, priorities, work products, and results. 2. Increase and leverage collaborative, working relationships with other OIGs and agencies. 3. Raise the awareness of internal and external stakeholders to recognize and mitigate fraud, waste, and abuse.

<p>Goal 3: Create a work environment that attracts, develops, and retains quality staff and promotes innovation.</p>	<ol style="list-style-type: none"> 1. Improve internal communications and collaborations. 2. Ensure that the OIG has a professional, technically proficient and satisfied workforce. 3. Leverage technology and people to improve OIG methods in carrying out our mission.
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Success Measures

The following success measures will be used to evaluate progress in achieving our strategic goals and objectives.

Strategic Goal 1

Promote the integrity, efficiency, and effectiveness of SBA programs and activities.

Objectives	Success Measures
<p>Objective 1: Conduct timely, relevant, and effective audits, investigations, and other analyses.</p>	<ul style="list-style-type: none"> • OIG audit and investigative products meet established professional standards. • Reduction in average cycle time for audit surveys and report drafting. • Majority of total cases closed during the fiscal period were referred for criminal, civil or administrative action. • Majority of total cases accepted by prosecutors, referred for agency action or closed during the fiscal period were completed within 18 months of case initiation. • Office of Security Operations reviews are completed within mandated timeframes. • Complaints and hotline referrals are acknowledged, evaluated and referred, as appropriate, within 30 days of receipt. • Responses are provided to complainants within 30 days after the completion of investigation or review. • Agency directive clearances are responded to within established timeframes.

<p>Objective 2: Increase the impact of audits and investigations in high-risk areas.</p>	<ul style="list-style-type: none"> • Biennially identify and prioritize SBA high-risk program areas. • Audits, investigations, and legal enforcement reviews focus on high-risk areas. • OIG work is cited and used by external parties. • Develop standard audit methodologies and conduct joint audits with other OIGs for Small Business preferential contracting programs. • Biennially complete a comprehensive systemic root cause analysis for one major contracting program. • Increase the number of government contracting cases with potential losses exceeding \$1 million. • Increase ratio of dollar accomplishments to audit and investigation costs.
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Strategic Goal 2

Enhance relationships with Congress, the SBA, and other entities.

Objectives	Success Measures
<p>Objective 1: Ensure continuous communication with stakeholders of critical audit and investigations issues, priorities, work products, and results.</p>	<ul style="list-style-type: none"> • Develop an outreach process to communicate high impact OIG initiatives. • Develop a communication plan for building relationships with Congress and the SBA.
<p>Objective 2: Increase and leverage collaborative, working relationships with other OIGs and agencies.</p>	<ul style="list-style-type: none"> • Identify, and seek membership with, governmental committees, task forces, working groups, and similar organizations. • Develop presentations that provide lessons learned through anecdotal examples of SBA loan and small business contract fraud.

<p>Objective 3: Raise the awareness of internal and external stakeholders to recognize and mitigate fraud, waste, and abuse.</p>	<ul style="list-style-type: none"> • Provide fraud awareness and other presentations and training to stakeholders and external organizations. • Develop training for the Agency emphasizing detection and reporting of fraud, waste, and abuse.
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Strategic Goal 3

Create a work environment that attracts, develops, and retains quality staff and promotes innovation.

Objectives	Success Measures
<p>Objective 1: Improve internal communications and collaborations.</p>	<ul style="list-style-type: none"> • Establish an effective strategy that promotes regular communication from the Inspector General and OIG managers. • Develop and implement a strategy to promote greater collaboration between OIG components. • Establish an Employee Suggestion Program to solicit views on improvements to the operations of our office.
<p>Objective 2: Ensure that the OIG has a professional, technically proficient and satisfied workforce.</p>	<ul style="list-style-type: none"> • Utilize an annual survey of OIG employees to assess satisfaction with job, supervisor, and OIG leadership. • Develop and implement strategies that promote use of outreach to identify and recruit talented employees and reduce hiring time. • Develop an Employee Recognition Program that highlights significant accomplishments. • Develop and implement an OIG-wide employee development strategy that 1) ensures an annual discussion between supervisor and employee about professional development needs, and 2) includes a rating element in each manager’s annual Personal Business Commitment Plan to assess how they have promoted the development of their employees.

Objective 3:

Leverage technology and people to improve OIG methods in carrying out our mission.

- Involve employees in generating, testing, and implementing opportunities for improvement.
- Implement improvements to OIG processes that increase quality and reduce cycle time.

Relationship to the SBA Strategic Plan

The mission of the Small Business Administration, as stated in its strategic plan for fiscal years 2011 – 2016, is to:

Maintain and strengthen the Nation's economy by enabling the establishment and vitality of small businesses and by assisting in the economic recovery of communities after disasters.

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

Critical Environmental Influences

The achievement of our goals is dependent on a number of external environmental influences that are evaluated on an ongoing basis. Any changes in these factors could significantly impact the achievement of the OIG's goals and objectives, such as:

- Funding limitations;
- A redirection of resources due to unforeseen events;
- Statutory and external mandates requiring a change in focus;
- The Agency's implementation of OIG recommendations for program improvements or enforcement; and
- The initiation or results of judicial or administrative proceedings, or collection of monetary sanctions imposed by the courts or the Agency as a result of our reviews or investigations.

Future Evaluations

Designated OIG staff are responsible for collecting, maintaining and reporting performance data. As appropriate, quantitative data is collected and stored in the OIG's management information systems. Results are reported in accordance with legislative requirements. OIG management will review reported data for consistency with general performance observations.

Each year, we will reevaluate whether our success measures are effectively designed, useful and results-oriented, and whether any of our goals and objectives should be revised.

OIG Organizational Structure

The OIG is comprised of the immediate office of the Inspector General and four divisions: Auditing, Investigations, Counsel, and Management and Policy.

The Auditing Division performs and oversees audits and reviews to promote the economical, efficient, and effective administration of SBA programs and operations.

The Investigations Division manages a program to detect and deter illegal and improper activities involving SBA programs, operations, and personnel. The criminal investigations staff carries out a full range of traditional law enforcement functions. The security operations staff ensures that agency employees and contractors have appropriate background investigations and security clearances to achieve a high level of integrity in the agency's workforce, and that loan applicants and other potential program participants are of good character.

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

The Management and Policy Division provides business support (e.g., budget and financial management, human resources, information technology, and procurement) for the various OIG functions; coordinates preparation of the OIG's *Semiannual Report to Congress, Report on the Most Serious Management and Performance Challenges Facing SBA*, and other OIG-wide reports and documents; maintains the OIG website; and operates the OIG's Hotline.

An organizational chart for the OIG is provided on the next page.

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