# FY2010 E-Government Act Report

## Section 1: Innovation and Transparency

*Describe your top three E-Government IT accomplishments related to Open Government and innovation from this year.*

SBA has a number of E-Government IT accomplishments related to Open Government and innovation. The Agency published its Open Government Plan in April 2010. The plan outlined a number of ways the organization already supported the principles of transparency, participation, and collaboration, and identified additional efforts on the horizon.

The Agency's Open Government Flagship Initiative – the redesign of the SBA.gov website – is the highest priority E-Government effort underway. This initiative addresses all principles of the Open Government Directive. Substantial progress has been made on this project and the effort is well into the second phase with the re-launch of the website planned for mid-November. In phase one, the search capability on the existing site was upgraded to significantly improve transparency and access to data. Social media tools were also incorporated to allow citizens to participate in conversations with the Agency on topics of interest. As phases two and three are completed, the public will have even more opportunity for participation and collaboration. The vision for the redesigned website includes:

- Improved navigation and dashboards that provide direct access to data sets, reports, and content on Agency programs.

- Tools to customize user's online experiences and enable faster access to information.

- The ability to interact with the government and other small business owners through community discussion forums and blogs, as well as rate the usefulness of SBA's web content.

SBA published five datasets on Data.gov — three of which are web services that can be used as resources to develop "mashup" applications. For example, one web service consolidates geographic data items. This dataset has been of interest to several non-profit organizations looking to create "localized" applications. SBA support staff is working with these organizations to identify additional data needs and web services to support third-party application development.

Finally, the Agency is actively using public-facing collaborative technologies. Already mentioned are the planned use of page ranking and the current use of social bookmarking and sharing networks. During FY 2010, the Agency provided a forum to allow for public

comment on its proposed five year strategic plan. Also, the SBA Administrator conducted two live webcasts that incorporated opportunities for the public to submit questions in advance and pose real-time questions via Facebook.


# Section 2: Compliance with Goals and Provisions of the Act

## A. Your agency's Information Resources Management (IRM) Strategic Plan and Enterprise Architecture Plan

- SBA Information Technology (IT) Strategic Plan
    http://www.sba.gov/aboutsba/sbaprograms/OCIO/sba_ocio_2007_2011.html

- Enterprise Architecture (EA) Plans
    http://www.sba.gov/aboutsba/sbaprograms/OCIO/ocio_ea.html

## B. For each E-Government initiative, provide final determinations, priorities, and schedules.
Also include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency's information by the public.

SBA participates in and makes financial contributions to 14 E-Government initiatives. The Agency has memoranda of agreements (MOA) and/or Interagency Agreements (IAA) with the managing partners of each of the 14 initiatives. These agreements ensure adherence to the initiatives guidelines and implementation schedules. Also required, SBA places links on its main SBA.gov web site for certain initiatives and has a link to the SBA on the web site of nearly every initiative. By having reciprocal links, SBA ensures that information about E-Government initiatives is cross-linked for the easy access by the public. The following table provides details on SBA's formal E-Government efforts.

| E-Government Initiative | FY10 Contribution | Current Level of SBA's Participation |
|---|---|---|
| GovBenefits.gov | $326,920 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Maintains link from SBA.gov to the Benefits.gov web site |
| USA Services | n/a* | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Maintains link from SBA.gov to the USA.gov web site |
| Disaster Assistance Improvement Plan (DIAP) | $627,750 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative |

| E-Government Initiative | FY10 Contribution | Current Level of SBA's Participation |
|---|---|---|
| E-Rulemaking | $80,484 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Maintains link from SBA.gov to the Regulations.gov web site |
| Grants.gov MOU | $68,730 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative |
| Recruitment OneStop | $25,259 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Posts position openings to USAJobs.gov |
| E-Travel | $138,863 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Uses an eTravel system |
| Integrated Acquisition Environment (IEA) | $156,750 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Provides an FTE to the IEA PMO |
| IAE Grants & Loans | $975,000 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative |
| Financial Management (FM) Line of Business | $44,444 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Adheres to FM guidance |
| Grants Management (GM) Line of Business | $28,460 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Adheres to GM guidance |
| Enterprise Human Resources Integration (EHRI) | n/a* | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Is migrating paper Personal Files to eOPF system |
| Budget Formulation and Execution (BFE) | $50,000 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative<br>• Adheres to BFE guidance |
| Geospatial LoB | 15,000 | • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative |

* Previous multi-year agreement did not require funding for FY10

## C. Identify improved performance (e.g., outcome measures) by tracking performance measures supporting agency objectives and strategic goals.

The Agency assesses performance at both the program and agency-wide levels. SBA uses the Agency Financial Report, the Annual Performance Report, and the Summary Report to report the agency's performance with respect to each of its particular missions,

components, programs, policy areas, and support functions. These annual reports are available at:
http://www.sba.gov/aboutsba/budgetsplans/BUD_PERF_ACCT_REPORT.html

In addition, SBA tracks and reports performance of the Recovery Act through a SBA Recovery Act Report Card and a Program Performance Report. Both reports are updated monthly and available at: http://www.sba.gov/recovery/index.html.

- FOIA Handbook "Small Business Administration Guide to Public Information"
  http://www.sba.gov/aboutsba/sbaprograms/foia/FOIA_HANDBOOK.html

- SBA Primary FOIA Web site
  http://www.sba.gov/aboutsba/sbaprograms/foia/

- URL where frequent requests for records are made available to the public
  http://www.sba.gov/services/lawsandregulations/lawlibrary/serv_laws_records.html

SBA does not receive funding for, and does not participate in, R&D activities. Therefore, the SBA does not have a website dedicated to disseminate or describe such activities or results. However, the SBA's Office of Economic Research website, http://www.sba.gov/advo/research/ provides economic research and statistics associated with small businesses. In addition, the SBA's Office of Technology administers the Small Business Innovation Research (SBIR) Program and the Small Business Technology Transfer (STTR) Program. The Office of Technology's website, http://www.sba.gov/aboutsba/sbaprograms/sbir/index.html, provides relevant research regarding information technology for small businesses.

explaining how each agreement improves the access to and dissemination of government information to the public

> The SBA's Office of Advocacy Small Business Law Library website, http://www.sba.gov/advo/laws/law_lib.html, provides the memorandums of understanding and formal agreements available to the public. Not all of the agreements are available for public viewing.

G. An inventory that describes your agency's NARA-approved records schedules(s) or the link to the publicly-posted records schedules(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02. For the brief explanation please report the number of systems for which a record schedule was submitted to NARA in FY 2010 and the number of systems still requiring records schedules.

> SBA presently has 27 approved electronic systems—one of which comprises 33 subsystems. This system is scheduled under job number NI-309-05-23. During FY 2010 one (1) electronic schedule has been submitted to the National Archives and Records Administration (NARA) for approval. One (1) paper-based schedule has been submitted to SBA's appraisal archivist for preliminary approval. Two (2) electronic schedules are being prepared for submission to NARA. This application is currently available to SBA employees only.

H. Describe how your agency has implemented use of electronic signatures for appropriately secure electronic transactions with Government and established a framework to allow efficient interoperability.

> SBA is on track for a technical implementation of e-signature capability in fiscal year 2011, with an internal PKI infrastructure and a planned January 2011 completion of SBA-wide logical access using HSPD-12 PIV cards. This infrastructure will be used in fiscal year 2011 for selected applications, including personnel-related applications. However, full implementation of electronic signatures in SBA is dependent upon approval and adoption by SBA General Counsel.

I. Describe how your agency has enhanced public participation in Government by electronic means for development and issuance of regulations. (Ex: regulations.gov)

> SBA is an active participant in electronic rulemaking. During Fiscal Year 2010, SBA created 16 rulemaking dockets through the Federal Docket Management System (FDMS) for inclusion on regulations.gov. One of these dockets, the Women-Owned Small Business Federal Contract Program, generated over 1,000 public comments. One docket, proposing changes to the 8(a) Business Development and Small Disadvantaged Business programs, generated 290 comments. The other dockets generated an average of 10 comments per docket. SBA also created one non-rulemaking docket, a request for information on entrepreneurial mentoring and education, which generated 45 comments.

**J. Describe how your agency has linked performance goals to key stakeholders, private sector, other agencies, and internal operations in delivering information and services though use of IT.**

The Office of the Chief Information Officer (OCIO) meets the needs of all key stakeholders through an active management of Service Level Agreements (SLA). SLAs are the foundational metrics used to assess both government and contract service support throughout the SBA enterprise. These performance goals are critical and reviewed weekly by OCIO management to ensure proper oversight. Furthermore, OCIO is the "foundational" layer that provides all IT investments with an integrated and fully executed infrastructure supporting SBA's national mission.

**K. Describe how your agency has reduced errors through use of electronic submissions.**

SBA's Office of Business Development manages the Business Development Management Information System (BDMIS) into which 8(a) firms are required to submit forms and documents electronically.

BDMIS removed an important source of error in the 8(a) program application and annual re-certification processes. Prior to BDMIS, an applicant for admission to the 8(a) program submitted his/her application on paper to the SBA. Once admitted to the program for a period of nine years, the firm submitted the materials in a hardcopy format for its annual re-certification. When these materials were received by the SBA, the data was re-keyed into our internal 8(a) program processing and tracking system. This re-keying process was a constant source of error. The introduction of BDMIS allowed the SBA to completely eliminate such data re-keying errors. Using BDMIS, 8(a) program applicants and already certified 8(a) firms enter their information directly into the electronic forms required for processing and tracking 8(a) program participation. No re-keying of data by a third party takes place.

**L. Briefly describe your agency efforts to comply with Section 508.**

SBA's IT acquisition policy implements Section 508 as prescribed by the Federal Acquisition Regulation (FAR). We review all SBA web applications for compliance with Section 508. In addition, SBA has worked to include appropriate metatags to existing web documents.

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**FY2010 E-Government Report of the U.S. Small Business Administration**

## M. Quantify the cost savings and cost avoidance achieved through implementation of IT programs.

SBA has implemented and re-evaluated two major IT programs (HSPD-12 and Loan Management and Accounting System) resulting in a significant cost savings or cost avoidance:

*Homeland Security Presidential Directive 12 (HSPD-12)* initiative expedites SBAs ability to enable IT solutions that directly address line of business needs for disaster response, automated small business services such as electronic (and paperless) workflow services, and reduction in other existing investments for help desk operations and password management. During FY 2010 SBA made a strategic decision to adjust HSPD-12 implementation strategies from a strictly internal issuance process to working with the General Services Administration (GSA). SBA re-baselined the HSPD-12 investment in March 2010 and moved into an Inter-Agency Agreement (IAA) with GSA for a Managed Service Offering (MSO) with their Office of Integrated Technology Services to provide PIV card issuance for SBA. This change in implementation strategy will yield a savings of $1,614 per card.

*Loan Management and Accounting System (LMAS)* investment was approved to modernize SBA's loan management and accounting systems. After successfully completing work on a number of initial projects, SBA re-evaluated the LMAS program and decided that the agency and its contractors cannot complete the remaining work of the project in an acceptable timeframe, for an acceptable cost, and with an acceptable level of risk. Thus, SBA is terminating the LMAS investment during FY11 and redirecting funding to smaller, more manageable projects. These smaller projects will be separately funded, and will provide more meaningful deliverables and decision points as the program progresses. As a consequence of terminating the existing LMAS, SBA has realized a savings of $43 million.

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