

LONG-TERM OBJECTIVE 4.1

The SBA's general planning and management will result in clearly defined goals and effective strategies, and the coordination of operational support systems, so as to maximize the Agency's mission performance through a comprehensive performance management system.

- 4.1.1 By FY 2008, through effective policy guidance, leadership and administration, ensure that SBA regularly achieves at least 90% of its Annual Performance Goals.**
- 4.1.2 By FY 2006 and each year thereafter, lead SBA to achieving a rating of Green on each of the five initiatives on the PMA.**
- 4.1.3 By FY 2008, all major SBA programs rated by OMB will receive a PART evaluation of Effective. By FY 2006, SBA will ensure that at least 60% of major SBA programs rated by OMB receive a PART evaluation of Effective and that none is rated less than Moderately Effective.**
- 4.1.4 By FY 2004 and each year thereafter, SBA district offices' goals will consistently, directly and measurably support the Strategic Goals and Long-Term Objectives of the Agency, as established in the Strategic Plan.**

Every office in the SBA contributes to achieving this Long-Term Objective. However, the following offices contribute to the achievement of the SBA's mission mainly through this Objective.

Office of Congressional and Legislative Affairs

The Office of Congressional and Legislative Affairs (CLA) works with senior management to formulate SBA's legislative priorities. CLA then implements strategies for effecting the enactment of such legislation in furtherance of the mission and goals of the Agency. The office serves as the liaison with

SBA's authorization and appropriations committees and as the contact point for the White House and other Federal agencies regarding legislation affecting small businesses.

CLA also acts as the conduit for timely and accurate information about Agency programs and achievements with the Congress via reports and formal or informal correspondence. The office prepares SBA officials for testimony before Congress and for meetings and briefings with Members of Congress and their staff.



Office of Communications and Public Liaison

Through the Office of Communications and Public Liaison (OCPL), SBA initiated a series of projects in FY 2005 to more efficiently enhance the visibility of the Agency. The office designed new informational materials describing services provided by SBA. OCPL, working with the Office of the Chief Information Officer (OCIO), also had a greater management responsibility for the Agency's Web presence, which constitutes SBA's window to the world. OCPL took initial steps to enhance the look and feel of the Agency's Web site and added an interactive feature to attract visitors.

OCPL also took control of the audiovisual capabilities of the Agency and began to integrate these capabilities into internal and external communications. To ensure the field staff had the right skills to conduct marketing and press functions at the local level, OCPL provided online instruction on key topics. Providing the right type of skills is critical to the success of SBA's transformation, since for many field staff these are new functions.

Other actions undertaken included reworking the look and feel of the agency's internal Web presence and improving the flow of news digests to all employees, helping to boost staff morale by enhancing communications.

Office of General Counsel

The Office of General Counsel (OGC) is responsible for providing the legal support for the Agency's programs, initiatives and day-to-day administrative functions. OGC met all of its goals during FY 2005 in support of the Agency's Strategic Goal 4, with key achievements in agency litigation, participation in Agency projects, and supporting its ethics program and A-76 initiative as follows:

Agency Litigation—OGC represents the Agency in formal court actions and administrative proceedings that involve suits filed by participants in the Agency's loan programs, employment and labor litigation, and implementation of SBA's procurement/contracting programs, among others. A few of OGC's successes in this area were:

- Prevailed in 15 formal, personnel-related matters relating to the Agency's transformation efforts.
- Obtained receivership orders for 11 SBICs with over \$394 million in outstanding participating securities leverage and \$31,238,000 in outstanding debenture leverage.
- Received favorable rulings in administrative forums that (i) SBA, not the procuring agency, has the exclusive authority to determine whether an SDB is eligible for the SDB price evaluation adjustment; and (ii) the validity of a size standard for a particular industry may not be challenged in a size protest or size appeal.

Participation in External/Internal Agency Projects—OGC played an integral role in a number of Agency projects that advanced the cause of small businesses. For example:

- OGC attorneys moderated 11 public size-standard hearings conducted around the country.
- The General Counsel served as SBA's representative on the SARA Panel, a select group of procurement experts tasked with the responsibility of devising more effective procurement practices for the Federal Government.
- OGC resolved a number of complex legal issues related to Hurricanes Katrina and Rita on an expedited basis.
- OGC reviewed and helped to draft the Agency's 14 major rulemakings, ranging in topics from cosponsorship/gift acceptance to the Service-Disabled Veteran-Owned Small Business Concern Program.

Supporting SBA's Ethics Program—OGC has met or is on target to meet its goal of modernizing the Agency's Ethics Program and ensuring full compliance with Office of Government Ethics' (OGE) training regulations. During FY 2005, OGC completed the design of an intranet/computer-based training module with automatic completion certification and is on target to implement this system during FY 2006.

Support SBA's A-76 Initiative—During FY 2005, OGC has:

- Provided legal guidance and training to the Agency in support of its competitive sourcing initiative, including Assisting the Office of Government Contracting and Business Development with its competition of the 8(a)/SDB Application Processing function.
- Resolved a number of threshold legal issues relating to the competitive sourcing of the disaster loan servicing function.
- Worked closely with the program offices to respond quickly and accurately to Congressional inquiries regarding A-76.

Office of Hearings and Appeals

During FY 2005, the Office of Hearings and Appeals (OHA) met all of its goals in support of the Agency's Strategic Goal 4. The following initiatives have increased electronic access to information needed to provide guidance and technical assistance to Agency staff and the public; strengthened OHA internal systems and processes to improve program efficiency and effectiveness; and enhanced accountability and availability of reports and statistical data.

- **Develop and Publish the FOIA Annual Report to the Attorney General**
In accordance with the Freedom of Information Act (FOIA), each agency must submit an annual FOIA report to the Attorney General. This report covers the preceding fiscal year and includes Agency-wide statistics of FOIA and Privacy Act requests and appeal activities such as:

the number of determinations made by the Agency not to comply with requests for records and the reasons for each determination; the number of appeals, the result of such appeals, and the reason for the denial of withheld information; the number of requests pending as of September 30 of the preceding year and the median number of days that each request has been pending; the total amount of fees collected; and the total amount expended by the agency for FOIA processing. The FOIA Report is posted on the SBA FOIA Homepage and is available to the public.

- **Revise OHA/FOIA Website**

The OHA/FOIA Website represents an increasingly important service that the Agency provides to the public. The Website will continue to evolve in years ahead as technology advances; public information literacy grows, and as government continues to develop its online services capabilities and personnel. During FY 2005, OHA revised the Website, making incremental changes while planning for periodic major revisions. Through this process SBA fine-tuned existing features and incorporated a number of new features. OHA's enhanced Website has new pages on the Disabled Veterans Program appeal process and procedures and a new Web page for the Agency's Privacy Program.

- **OHA's Roundtable Sessions**

The OHA Judges prepared and conducted a series of Roundtable discussions, focusing on OHA's functions and important case precedents.

Office of Policy and Planning

The mission of the Office of Policy and Planning (OPP) is to "develop strategic policy priorities within the SBA, plan the implementation of policy initiatives that support those priorities, supply timely and relevant policy advice to the Administrator, and synthesize input and ideas from the Administration, the private sector, non-profit organizations and the academic community to enhance the Agency's policy formulation process."

OPP is the only office in the SBA specifically charged with ensuring the vertical integration between new Agency policies and programs and the President's Management and Small Business Agendas. The office acts as SBA's liaison with White House policy development bodies, such as the National Economic Council (NEC) and the Domestic Policy Council (DPC), and coordinates policy issues with other Executive Branch departments. Specifically, the office established working relationships with policy makers at Treasury, Labor, Health and Human Services, the NEC, the DPC, the Office of Federal Procurement Policy, the Department of Transportation, the Department of Homeland Security, and the Department of Defense.

The office accomplishes its mission through providing policy advice to the Administrator, integrating Administration initiatives, evaluating Agency policies, procuring small business research, and acting as a clearing party when conducting routine and strategic document review including policy notices, directives, standard operating procedure revisions, and program changes.