

LONG-TERM OBJECTIVE 4.4

Information and related technology will be managed effectively and securely through the SBA leveraging data and systems to support program execution and promote cost efficiency.

The following outcome measures will determine success in meeting this Long-Term Objective:

- 4.4.1 Continue the Agency enterprise architecture aligning Agency programs and systems.**
- 4.4.2 By FY 2008, standardized information technology portfolio selection, control, and evaluation processes and performance metrics will be developed and implemented to gauge the progress of investments and their contribution to program outcomes.**
- 4.4.3 The SBA will continue to achieve efficiencies of business processes and cost reductions by leveraging common E-Government solutions and technologies.**

The core of the SBA information technology strategy is a concerted effort to provide services and products to small firms when they need it, wherever they are, and in a format that is user-friendly, comprehensive, and cost-effective. In FY 2005, the Agency, through its Office of Chief Information Officer (OCIO) continued to use information and communications technology to implement electronic business transactions that offer alternatives to the current paper-intensive processes. Growing use of the Internet by SBA and its customers enabled SBA to be more efficient and informed so that the face-to-face client relationship was more productive.

Among the key accomplishments were these:

- In FY 2005, SBA increased and improved the provision of information and service to small businesses via the Internet, most notably through completion of E-Tran (electronic loan application), improvements to the www.sba.gov Website, the launch of the first phase of the Business Gateway (www.business.gov), implementation of an online 8(a) eligibility and certification application, and expanded distance learning through the Small Business Training Network.
- In FY 2005, SBA's Office of Chief Information Officer made progress in securing and managing the Agency's IT systems by certifying and accrediting all major systems, ensuring that SBA's partners and customers can safely conduct electronic transactions with SBA.
- The Agency's OCIO also began collecting earned-value management project data on systems in development to ensure they remained within strict cost and schedule targets.
- In FY 2005, SBA, through OCIO, focused on maintaining SBA's Green ratings on President's Management Agenda Scorecard for E-Government and implemented new features and capabilities on the www.business.gov site as part of the Business Gateway Initiative.
- In FY 2005, SBA, through the OCIO developed an Agency-wide IT performance measurement framework and reporting model, consisting of two SBA IT portfolio dashboards. It also improved the Agency's IT security program and strengthened internal security policies and processes. The Agency increased technology standardization and the reliability of the Agency's IT infrastructure and networks, institutionalized the roles and structure of the Agency's IT investment decision-

making bodies, and achieved better alignment between IT and the Agency's Strategic Plan.

4.4.1. In FY 2005, complete the Agency enterprise architecture aligning agency programs and systems.

The progress made in Enterprise Architecture and IT Capital Planning and Investment Control (CPIC) demonstrates SBA's commitment to further align IT systems with the Agency's Strategic Plan.

The Federal Enterprise Architecture (FEA) is a comprehensive view of what an organization does, how it does it, and how IT supports it. The FEA provides the following value to IT management:

- Improves decisions about IT system investments (e.g., enables an agency to determine if one system is duplicative of another)
- Aligns IT support with business objectives
- Aligns IT investments with business drivers
- Reduces redundancy
- Improves interoperability between processes and systems
- Supports realization of economies of scale

The FEA is a business-focused framework that provides OMB and Federal agencies with a way to monitor, analyze, and control Federal investments in IT. The FEA governs and guides IT investment decisions within agencies, and supports the identification of opportunities to collaborate on, consolidate, and integrate current and planned initiatives. Also, the FEA will make possible horizontal (cross-Federal) and vertical (Federal, State, and local governments) collaboration and communication with respect to IT investments.

During this fiscal year, SBA established the EA Program Management Office (EAPMO). The EAPMO: established Agency-wide EA policies; published SBA EA Program Policies and Procedures; developed an Agency EA Completion and Use Plan that was recognized by OMB; and updated the Agency EA Blueprint and Migration Plan to reflect the full scope of Agency E-Government activities and OMB E-Government requirements.

In the IT governance area, SBA convened and institutionalized the Agency Technology Review Board (TRB) to ensure enterprise-wide compliance with the Agency's technical and data architectures and to increase technology standardization across the Agency. The use of standardized technologies reduces maintenance costs and increases the reliability of the Agency's IT environment and infrastructure. The TRB includes representatives from the offices of Disaster Assistance, Chief Financial Officer and all SBA principal programs.



4.4.2. By FY 2008, standardized information technology portfolio selection, control and evaluation processes and performance metrics will be developed and implemented to gauge the progress of investments and their contribution to program outcomes.

In FY 2005, SBA initiated a major redesign of the Agency's Capital Planning and Investment Control guidance and developed an Agency-wide IT performance measurement framework and reporting model, consisting of two IT portfolio dashboards. The Agency developed the IT portfolio dashboards, so that, on a quarterly basis, OMB and the Agency's leadership could receive performance information on all of the major IT investments in the Agency's portfolio. The dashboards summarize IT project performance on: cost and schedule progress, repair of IT security vulnerabilities, compliance with technical standards, and conformance to system development and capital planning and investment control policies.

In FY 2005, SBA made significant improvement in disciplined project management. By enforcing sound project management practices, SBA kept projects within the recommended 10% variance of cost and schedule goals. The Agency also provided training to give its managers the opportunity to earn their Project Management Professional (PMP) certification, ensuring the agency's continued ability to consistently deliver IT projects on time and within budget.

In FY 2005, the Agency has fully migrated one mainframe application, created Web-based alternatives for two other systems, and expects to complete an additional migration by the end of FY 2005. In addition, a Web-based reporting alternative was created for the majority of mainframe daily and monthly reporting processes, thereby reducing operational and printing costs. The Agency completed several major application upgrades and conversions from earlier systems that were created using now-obsolete and unsupported technology or tools. These included SBA's Field Cashiering System, Partner Information Management System, TechNet, SubNet, ProNet, Trade Mission Online, and MicroLoan. The technical benefits included:

- Reestablishing the technical capability to maintain systems, a capability that had been lost due to software obsolescence
- Lowering overhead costs
- Increasing reliability, availability and maintainability of applications
- Reducing training requirements and making the application more universal and accessible to a mobile workforce through common Web user interfaces.

To reduce reliance on costly mainframe legacy systems, a business case for mainframe migration was developed and presented to SBA's IT investment review body. On that board's recommendation, SBA issued a Request for Information seeking industry input on the best business solutions for replacing its existing mainframe system. Procurement activities continued in 2005 to better position the Agency for a long-term solution.

SBA's IT infrastructure underwent several improvements in security-related areas such as disaster recovery, intrusion detection, and antivirus measures. For the first time, SBA implemented commercial off-the-shelf software specifically aimed at reducing "spam" and similar unwanted e-mail within the

Agency's electronic messaging system. Selected IT infrastructure components were also consolidated, reducing both the related device count and their total required floor space by 25%.

4.4.3. By FY 2005, SBA will achieve efficiencies of business processes and cost reduction by leveraging common E-Government solutions and technologies.

The progress made in E-Government programs reflects SBA's continued efforts to meet the key PMA milestones of the "Expanding E-Government" initiative of the President's Management Agenda. The key milestones included keeping major IT projects within 10% of their cost/schedule/performance objectives, and ensuring that major IT systems have been certified, accredited or otherwise determined to be properly secured.

In FY 2005, SBA continued its participation in 18 Federal-wide E-Government initiatives. These initiatives are designed to identify and eliminate redundant IT investments across government, increase the government's internal efficiency and effectiveness, and ensure the implementation of Federal and industry best practices in delivering government services to the public. SBA developed a comprehensive Agency-wide E-Government Implementation Plan with milestones to ensure the appropriate planning, management and completion of OMB's required E-Government activities.

One of SBA's E-Government accomplishments in FY 2005 involved progress on the E-Authentication Initiative. SBA entered into a Memorandum of Understanding (MOU) with the General Services Administration and developed a plan to migrate one of the Agency's major systems, the General Log-On System (GLS), to the Government-wide E-Authentication technical solution. SBA purchased the necessary hardware and software and began GLS migration activities. Additionally, the Office of E-Government completed E-Authentication risk assessments for all major outward-facing Agency systems to determine the required authentication and security levels for these applications.

Additionally, the Agency selected an e-travel solution, as required by the MOU with GSA, and selected and implemented the solution through its pilot phase. E-Travel Service handles travel arrangements from beginning to end, including booking reservations, obtaining approvals, vouchering trips, and providing agencies the option to interface with their accounting systems. Over the course of FY 2005, the Agency conducted system testing and made significant progress toward fully implementing the government-wide e-travel technical solution and migrating to the full e-travel operational model.

In FY 2005, SBA secured all of the Agency's IT systems by completing security certifications and accreditations (C&A), ensuring that our partners and customers can safely conduct electronic transactions with SBA.

In FY 2005, SBA made significant improvements to the Agency's overall IT security program. The fiscal year began with a downgrade to Yellow on the President's Management Agenda Scorecard due to shortcomings in the IT security program's Plan of Action and Milestones (POA&M) process. The SBA's Office of the Chief Information Officer quickly conducted an independent validation and verification of the entire IT security program. The purpose was to regain SBA's PMA Scorecard Green rating for E-Government and to identify opportunities and make plans for improving the IT security program. Within 30 days, the team produced a report with five high-level recommendations and implementation timelines. To date, SBA has successfully implemented three of those recommendations.

First, SBA created a special team to review the existing list of 38 mission-critical systems. The team, composed of system owners and key SBA staff, followed a structured methodology and developed a condensed list of 19 mission-critical systems that more accurately reflected SBA's current environment without reducing the Agency's underlying information security within any of those systems. This project reduced needless complexity and improved SBA's security results by concentrating on the residual risks among the 19 key systems. Additionally, the Agency will be able to deliver some potential savings by eliminating the IT security C&A reviews on systems that were determined to be feeder or "non-major" IT systems.

Second, SBA implemented a new POA&M tool and installed a government-owned off-the shelf software product currently in use at several large agencies. This new tool makes POA&M information more timely and accurate because system owners, rather than intermediaries, enter information directly into the online tool. Finally, the Agency re-allocated over 2% of the OCIO IT budget to remediate several long-term POA&M findings. These actions enabled the Agency to re-gain its Green rating on the PMA E-Government scorecard by March 31, 2005.

Third, the SBA assigned responsibility for continuity of operations (COOP) functions to the Office of the Chief Operating Officer (OCOO). The COOP requires broad participation among many SBA organizations to effectively protect and restore Agency operations during a disaster. Assigning the COOP-coordinating role to the OCOO enables that office to integrate and manage both the IT and physical security needs of the SBA.

In FY 2005, SBA also demonstrated its commitment to the President's Information System Security Line of Business Initiative (ISS LoB) by dedicating an OCIO management team member to that initiative on a full-time basis. The purpose of the ISS LoB is to determine whether the Federal Government can identify and implement standardized processes and services, improve government-wide security consistency and performance, and reduce overall IT security costs. The SBA's participation in this activity was integral to establishing the baseline for information systems security and to helping develop an agency-wide business case across the Federal Government.