

APPENDIX 9 – SBA OFFICES

Office of Capital Access

The Office of Capital Access (OCA) assists small businesses in obtaining the loans necessary for growth by being a gap lender, providing assistance to small businesses that would otherwise would not qualify for un-guaranteed financing, obtaining equity, or taking advantage of procurement opportunities.

- The 7(a) loan program requires SBA's lending partners to certify that the applicant was unable to qualify for loans elsewhere on reasonable terms.
- The 504 program, which has a statutorily mandated job creation component, fills another lending gap by providing long term, fixed rate financing for major assets such as real estate and heavy equipment.
- The Surety Bond Guaranty is a program that serves as a gap surety bond credit provider expanding the bond credit and capacity of small contractors that would not otherwise be able to compete for public and private work.
- Small Business Investment Center (SBIC) financings generally support smaller transactions that may not otherwise receive funding from private venture firms or financial institutions.
- The Office of International Trade (OIT) develops, oversees, and delivers SBA's technical assistance and export finance programs to small business exporters.

Office of Government Contracting and Business Development

The Office of Government Contracting and Business Development (GCBD) promotes increased small business participation in the Federal procurement market for goods and services. The office fulfills SBA's statutory mission to ensure that a fair share of Federal procurement goes to small businesses.

Working with Federal agencies, SBA negotiates procurement goals, monitors performance, encourages the use of small business sources, provides procurement training and technical assistance to small firms, and provides policy direction and guidance to Federal agencies. Several of the government-wide goals are statutory, including small businesses, small disadvantaged businesses, women-owned small businesses, HUBZone small businesses, and service disabled veterans-owned small businesses.

Office of Entrepreneurial Development

The Office of Entrepreneurial Development (OED) serves the small business community through outreach and public/private sector collaborative ventures and other creative mechanisms, with the purpose of providing counseling and training to America's small businesses that otherwise would not be able to afford this type of assistance. OED provides entrepreneurs with free and low-cost education and training, topical information, and management assistance critical for sound decision-making "in the startup and growth phases of the business cycle." The tools used to accomplish this are OED's SCORE, Small Business Development Center, Women's Business Center programs, and delivery systems such as SBA's district offices and business information centers.

Executive Secretariat

The Office of the Executive Secretariat (ExecSec) works with senior management officials to formulate SBA's Administrator and Deputy Administrator's written correspondence to SBA's constituency. Under the leadership of the Associate Deputy Administrator for Management and Administration, ExecSec reviews, edits, and manages correspondence, rules, and regulations. ExecSec also reports products to and from the Office of the Administrator, Deputy Administrator and Chief of Staff. Together with SBA's partners in CLA, OGC, and Program Offices, the Agency ensures that correspondence and written products are delivered in the most timely and efficient manner, while providing useful, reliable information, and advice to Congress, other Federal Agencies, and small business owners nationwide.

Center for Faith-Based and Community Initiatives

Faith-based and community organizations can play an important role in helping the SBA identify, train, and finance the entrepreneurs whose businesses will bring jobs and hope to economically distressed communities all across the Nation. SBA's Center for Faith-Based and Community Initiatives seeks to empower faith-based and other community organizations to apply for Federal social service grants. It supplies information and training, but does not make the actual funding decisions. Those decisions are made through procedures established by each grant program, generally involving a competitive process. There are no grant funding set-asides for faith-based organizations. Instead, the Faith-Based and Community Initiative creates a level playing field for faith-based as well as other community organizations to work with the government to meet the needs of America's communities.

Office of Administration

The Office of Administration plans, directs, and executes all administrative management functions within SBA Headquarters, and monitors administrative programs in field offices. The Office of Administration develops policies and procedures for the procurement of supplies, equipment, and non-personnel services. This office also implements and manages approved grants and cooperative agreements.

Office of Advocacy

The Office of Advocacy is an independent voice for small business within the Federal Government. The Office of Advocacy represents the interests of all small entities including small businesses, small organizations, and small governmental jurisdictions. Appointed by the President and confirmed by the U.S. Senate, the Chief Counsel for Advocacy directs the office. The Chief Counsel advances the views, concerns, and interests of small business before Congress, the White House, Federal agencies, Federal courts, and State policy makers. Economic research, policy analyses, and small business outreach help identify issues of concern. Regional Advocates and an office in Washington, DC, support the Chief Counsel's efforts. The Office of Advocacy's economic research, regulatory interventions, and model State legislation initiative reduce regulatory barriers that impede small business growth and development.

Office of Communications and Public Liaison

The Office of Communications and Public Liaison (CPL), has the principal responsibility for developing and implementing effective communications strategies to ensure that SBA's mission, programs, services, and initiatives are articulated clearly and consistently to the American public in general and the small business community in specific.

It supports field and program offices with planning and implementation of effective communications strategies. CPL plays the chief role in articulating, explaining and promoting Agency policy and goals to the national news media and thereby has a key role in shaping the American public's view of the SBA.

Office of Congressional and Legislative Affairs

The Office of Congressional and Legislative Affairs (CLA) assists in the development and passage of SBA legislative programs and serves as SBA's communications focal point on legislation and congressional activity. The CLA monitors legislation and policies introduced by Congress and Government agencies to determine their effects on the SBA and small business. It furthers the goals of the SBA and enables Members of Congress to best serve their small business constituency by promptly providing accurate, current, and continuous information to Members of Congress, congressional committees, and others interested in SBA programs. It also devises and implements legislative strategy and has primary responsibility for all matters relating to the congressional and legislative functions of SBA. It provides liaison with legislative personnel at the White House, the Office of Management and Budget, and various Federal departments and agencies. It coordinates with program offices and field offices to ensure continuity and consistency in the SBA's communications with Congress.

Office of Disaster Assistance

The Office of Disaster Assistance (ODA) plays a vital role in the aftermath of disasters. Through ODA, the SBA is responsible for providing affordable, timely, and accessible financial assistance to homeowners, renters, and businesses of all sizes affected by disaster. Financial assistance is available in the form of low-interest, long-term loans. SBA's disaster loans are the primary form of Federal assistance for the repair and rebuilding of non-farm, private sector disaster losses. For this reason, the disaster loan program is the only form of SBA assistance not limited to small businesses. ODA makes two types of disaster loans:

- Physical disaster loans are for permanent rebuilding and replacement of uninsured or underinsured disaster-damaged privately-owned real and/or personal property. SBA's physical disaster loans are available to homeowners, renters, businesses of all sizes and nonprofit organizations.
- Economic injury disaster loans provide necessary working capital until normal operations resume after a disaster. Economic injury disaster loans are restricted to small businesses only.

Office of Equal Employment Opportunity and Civil Rights Compliance

To advance Agency-wide diversity at all levels, and equal access to programs and activities receiving SBA financial assistance, this office works to prohibit discrimination against all SBA employees and applicants based on: race, color, sex, age, religion, disability, national origin, and retaliation for opposition to discriminatory practices or participation in the EEO process. The office of EEO and CRC also works to achieve equal employment opportunity for all qualified employees consistent with the Nation's workforce diversity.

The office ensures that no person in the United States is denied the benefits of, excluded from participation in, or subjected to discrimination under any program or activity receiving SBA financial assistance, based on race, color, sex, age, disability, national origin, and marital status (extension of credit). In addition, the office ensures that individuals with disabilities have equal access to SBA conducted or co-sponsored programs and activities.

Office of Field Operations

The Office of Field Operations represents SBA field offices at Headquarters. This office:

- Provides policy guidance and oversight to regional administrators and district directors in implementing Agency goals and objectives, and in solving problems in specific operational areas;
- Establishes and monitors performance goals for district offices;
- Provides Associate Deputy Administrators, Associate Administrators and General Counsel with a vehicle for overseeing field office program and policy implementation;
- Provides feedback to Headquarters management regarding the performance of their programs;
- Ensures that field offices have adequate input into all policy formation and participate in policy deliberations at Headquarters;
- Organizes reviews of field offices;
- Informs the SBA Administrator of field activity;

Office of General Counsel

The Office of General Counsel provides legal advice for senior management, as well as legal support for all of the Agency's programs, initiatives, and administrative responsibilities. The Office of General Counsel conducts litigation necessary to resolve legal issues, collect sums due and defend the Agency.

Office of Hearings and Appeals

The Office of Hearings and Appeals (OHA) was established in 1983 to provide an independent, quasi-judicial appeal of certain SBA program decisions. OHA formally adjudicates disputes arising in numerous jurisdictional areas. These include appeals from SBA formal size determinations; appeals from contracting officer designations of North American Industry Classification System codes for procurements government-wide; appeals from certain SBA determinations relating to development companies; and appeals from Agency and private certifier small disadvantaged business determinations, all of which, by regulation, may be decided either by an Administrative Judge or an Administrative Law Judge. OHA's jurisdiction also includes 8(a) BD program eligibility, suspension, and termination appeals, and salary offset appeals (all of which, by statute, must be decided by an Administrative Law Judge).

Office of Human Capital Management

The Office of Human Capital Management (OHCM) develops and provides innovative human capital strategies. The OHCM advises SBA management with respect to selecting, developing and managing a high-quality, productive workforce. This office sets SBA's workforce development strategy; assesses current workforce characteristics and future needs based on SBA's strategic plan; aligns human resources policies with organization mission, strategic goals, and performance outcomes; develops and advocates a culture of continuous learning to attract and retain employees with superior abilities; identifies best practices and benchmarks studies; and creates systems for measuring intellectual capital and identifying links of that capital to organizational performance and growth. This position also implements laws, rules and regulations governing the civil service.

Office of Strategic Alliances

The SBA forms alliances with for-profit corporations, small businesses, non-profit organizations, trade and professional associations, academic institutions, and public-sector agencies. Through strategic alliances, the SBA and its partners provide quality information, training, outreach, and support to promote the interests and needs of American small businesses. The alliances offer opportunities to network on areas of common interest.

Office of the Chief Financial Officer

The Office of the Chief Financial Officer (OCFO) conducts and promotes effective financial management activities for the SBA; including budget, credit subsidy, financial operations, financial systems and internal controls. It develops and maintains integrated accounting and financial management systems; directs, manages, and provides policy guidance and oversight of all Agency financial management personnel, activities, and operations; approves and manages financial management systems design and enhancement projects; develops budgets for financial management operations and improvements; implements Agency asset management systems; and monitors the financial execution of the Agency budget in relation to actual expenditures. This office also helps the Agency develop better performance measures in order to facilitate SBA's continued movement from measuring activity outputs to measuring programmatic outcomes. OCFO provides tools and guidance to assist the Agency in expanding its capacity to conduct and utilize the results of program evaluations. It builds Agency capacity for results-based management through training and outreach to program offices and supports the Agency's strategic planning. It also prepares annual accountability and/or performance reports, and establishes and implements Agency-wide policies for management integrity and audit follow-up, including internal controls.

Office of the Chief Information Officer

The Office of the Chief Information Officer supports and provides guidance for the SBA's nationwide computer automation and information technology efforts. This office helps SBA field and Headquarters program offices identify the ways automation and technology can improve service delivery, acquire new technology and develop new systems. It also administers the SBA's home page (www.sba.gov).

Office of the Inspector General

The Office of Inspector General (OIG) is an independent office created by law, within the SBA to conduct and supervise audits, inspections, and investigations relating to SBA programs and supporting operations; detect and prevent waste, fraud, and abuse; and promote economy, efficiency, and effectiveness in the administration and management of SBA programs.

The Inspector General keeps the SBA Administrator and the Congress fully informed of any problems, recommends corrective actions, and monitors progress in the implementation of such actions. The two operating components of the OIG are the Auditing Division and the Investigations Division. The Auditing and Investigations Divisions each administer their respective activities through field offices around the country. The Management and Policy and Counsel Divisions support both the Inspector General and the operating divisions by providing policy, planning, administrative, and legal services, respectively.

Office of the National Ombudsman

The Office of the National Ombudsman (ONO) fosters a more small-business–friendly Federal regulatory enforcement environment by assisting small businesses when they experience excessive federal regulatory enforcement actions, such as repetitive audits or investigations, excessive fines, penalties, threats, retaliation, or other unfair enforcement action by a Federal Agency. It does this by evaluating how Federal agencies treat small businesses during enforcement or compliance actions. ONO encourages Federal agencies to reduce the number of regulatory enforcement actions taken against small business and increase the number of enforcement actions in which the civil penalty is reduced or waived.

Office of National Women’s Business Council

The Office of the National Women’s Business Council undertakes a variety of programs and initiatives in support of women-owned businesses. The Council holds two public Council meetings and other public roundtable events.

The Council publishes research study reports, *Issue in Brief* reports (which synthesize and summarize Federal and other research information for women business owners and policy makers on topics such as health care and Federal procurement), and *Fact Sheets* on the numbers and growth of categories of women-owned firms. The Council manages two Web sites (www.nwbc.gov and www.womenbiz.gov), and a bimonthly e-newsletter, *Engage!*, it holds a monthly toll-free issues conference call.

Office of Veterans Business Development

Statutes direct the Office of Veterans Business Development(OVBD) to conduct comprehensive outreach on behalf of the Agency, and to be responsible for the formulation, execution, and promotion of policies and programs of the Administration. To accomplish these tasks, OVBD operates its National Outreach Initiative; direct service delivery; through utilization of funding agreements with resource partners; coordination of outreach and service delivery with other Federal agency partners; and; development of Agency program initiatives.